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

(Grant Number: EE0006152, State: IN, Program Year: 2014)

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

V.1 Eligiblility

V.1.1 Approach to Determining Client Eligibility

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

The following information is taken from Indiana's Weatheriziaton Policy and Procedures Manual detailing the expectations of sub grantees as it applies to client income verification and documentation.

The Weatherization Sub-Grantee staff, or its subcontractor, is obligated to review and determine WAP eligibility status for anyone requesting an application. Clients may not be denied the right to submit a WAP application by the Weatherization Sub-Grantee or any of its subcontractors.

A dwelling unit shall be eligible for Weatherization assistance if it is occupied by 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 Office of Management and Budget* and as approved by the Department of Health and Human Services, per the American Recovery and Reinvestment Act of 2009, Public Law 111-005. The ARRA Public Law continues to apply to DOE funded grants.
- Which contains a member who has received cash assistance payments during the twelve-month period under Title IV and XVI of the Social Security Action, Pub. L. No. 88-452, 42 U.S.C. § 2701 et seq. or applicable State or local law.
- Who is eligible for assistance under the Low Income Home Energy Assistance Act of 1981, per 10 CFR 440.22 (a) (3). (Indiana Weatherization's primary eligibility criteria per approved State Plan)

(NOTE: LIHEAP WX grant clients must adhere to the HHS requirement of 150% of the current OMB poverty income)

Denied EAP applications will be referred for eligibility under 10 CFR 440.22 (a) (1) and (2), as noted above. If client is ineligible under the cited regulation, refer to section 103 for denial procedures and notice to appeal.

Each year newly approved poverty guidelines for the program year are issued towards the beginning of the calendar year. To be consistent with the Energy Assistance Program (EAP) intake, Weatherization and EAP will both update their income eligibility guidelines on June 1, 2014 (using Federal Register/Volume 79, Number 14/Wednesday, January 22, 2014, on pages 3593-3594 and WPN 14-3).

102 DOCUMENTING ELIGIBILITY IHCDA requires that all sub-grantees ensure client eligibility during the period in which services are delivered. Clients which are deemed eligible as a result of their LIHEAP eligibility will have their most recent application date transferred into their IWAP record upon import. Sub-grantees must ensure services are delivered within one year of the application date or the client's income must be re-verified.

Files of clients not categorically eligible through the Energy Assistance Program must contain a copy of the application and income documentation. Guidelines for household income calculation are found in the most current version of the Indiana Energy Assistance Program Operations Manual http://www.in.gov/myihcda/2359.htm or DOE Weatherization Program Notice 14-3, dated February 25, 2014.

Households that are categorically eligible have several of the required items in their EAP file. Information, such as income verification, does not need to be duplicated. During monitoring, IHCDA reserves the right to inspect client income verification to insure client eligibility.

In the following circumstances, **exceptions** to the required documentation policy will be permitted:

1. Shelters – An application and eligibility determination is not required for shelters.

Agencies should determine the number of countable completions based on shelter regulations detailing that a weatherization provider may count each 800 square feet of the shelter as a dwelling unit or each floor level as one unit, as noted in 10 CFR 440.22(f).

An individual file should be kept for the shelter job.

For IWAP reporting purposes, each completion should be counted as "Data Unavailable" when reporting income categories and demographics. The box "Demographics Not Available" must be checked at the bottom of the IWAP application page.

2. Multi-Unit Buildings – In the weatherization of multi-unit buildings, DOE regulations require that 66% (50% for duplexes and four unit buildings) of dwelling units in the building must be eligible households or will become eligible within 180 days as referenced in 10 CFR 440.22(b).

An application and eligibility determination are, therefore, not required for non-eligible or empty units.

For IWAP reporting purposes, each non-eligible or empty unit should be counted as "Data Unavailable" when reporting income categories and demographics. The box "Demographics Not Available" must be checked at the bottom of the IWAP application page.

To ensure that the percentage requirement is met, a separate list must be maintained, indication the eligible and non-eligible or empty units.

Sub-grantees should also note that when weatherizing multi-unit building, the amount to be spent on the building is determined by the number of income eligible units. (Example: When weatherizing a 20 unit building, if 15 of the units are eligible, you are only allowed $90,000 (15 x $6,000 (average base cost per home)) for the 20 units.)

In order to weatherize an apartment, all units in the affected building must be weatherized.

Effective May 1, 2013, sub-grantees must obtain permission from IHCDA prior to proceeding to weatherize multi-dwelling units or apartments where five (5) or more units are contained within one building.

Consent must be requested in the form of an email sent to the Community Programs Manager and contain the following information:

Address of the multi-unit building
Current description (ie: total number/income qualified/vacant)
Proposed funding source(s)
Request and Community Program Manager's response should be included in unit file.

More information for weatherizing multi-family dwellings is located within DOE regulations on WAPTAC in 10 CFR 440 (Federal Regulations) and Weatherization Program Notice (WPN) 11-09.

A home that is weatherized while being renovated by a state or local government program must have a client file completed within 60 days of the completion of the work. The file must contain all proper verification documents to ensure that the client meets all eligibility criteria.

The following information is taken from Indiana's Weatherization Policy and Procedures Manual detailing the record keeping responsibilities for the sub grantees.

Client files must be kept in order to verify the work that has been completed and to track expenditures on each house. Sub-grantees will be required to report completions and document which funding sources were used when more than one funding stream is utilized on any one dwelling. The documentation should detail the dollar amount of DOE and HHS grant funds spent on each home.

The file must also contain the paperwork necessary to document that proper procedures were followed in the performance of the work. Some forms, such as the application, are required in all client records. Other documents, such as the rental agreement, will only be contained in the files where applicable.

Below is a listing of the documentation required to be placed in the client file regarding client elgibility.

A client's **Energy Programs Application (EAP)** application must be active at the time the weatherization services are provided and at the time of final inspection. An application is considered active for a twelve month period starting from the date of the approved application. If the version in IWAP is the most current, no paper copy is required. If a client has an expired application in IWAP and recently reapplied, a current paper copy is required in the client file. A paper copy from IWAP may be requested by IHCDA program monitors when reviewing client files.

Income documentation *verifying total household income for the twelve months prior to application should be available. If categorically eligible under EAP, income information does not need to be copied for the weatherization file. For the purposes of monitoring, EAP files must be made available. Sub-grantees must use a form or method of income calculation that is consistent with guidelines as written in the most current version of the Indiana Assistance Program Operations Manual, http://www.in.gov/myihcda/2359.htm Because files are subject to review, both by state and federal agencies, it is imperative that case files accurately reflect the computation of household income.*

The ***Zero Income Claimant Form*** *must be used to verify zero income for* ***each*** *household resident, age 18 and over, that claims no income*

for the 12 months prior to the application date. In addition to a completed form, each zero income claimant must have an attached wage inquiry or income summary from the local Workforce Development office.

According to the U.S. Department of Energy WPN 13-3 under Section D Proof of Eligibility #3 Self Certification, zero income claimants must have a notarized affidavit claiming zero income for Low Income Weatherization Assistance. Starting on November 5, 2012 IHCDA requires a notarized Zero Income Claimant Form to be in each client's file who claims zero income. This form will be implemented in both the EAP and Weatherization programs on the same date. All agencies must use this form with all EAP appointments starting November 5, 2012 and new mail applications sent on or after November 5, 2012. This form is not required for mail applications processed prior to this date.

Your agency may notarize the form at the time of the EAP Application. Incorporating the notary into the EAP application process is highly recommended, but not required. The EAP Program Manager may notarize the form if he or she is the agency's notary, even if the Program Manager processed the file.

The form may be signed by the Zero Income Claimant **or** the person who comes into your office to complete the application on behalf of the household. If the signatory is not the zero income claimant, the person must be listed as a household resident on the EAP application. The EAP program does not require a notarized signature to process the file. This is a Dept. of Energy provision.

During the monitoring process, IHCDA reviews at least 10% of client files to ensure that sub grantees are following all DOE and IHCDA requirements regarding client elgibility.

Describe what household Eligibility basis will be used in the Program

Indiana's Weatherization Policy and Procedures Manual describes client eligibility in the following manner.

A dwelling unit shall be eligible for Weatherization assistance if it is occupied by a family unit that fits the criteria listed below.

Whose income is at or below 200 percent of the poverty level determined in accordance with criteria established by the Director of Office of Management and Budget and as approved by the Department of Health and Human Services, per the American Recovery and Reinvestment Act of 2009, Public Law 111-005. The ARRA Public Law continues to apply to DOE funded grants.

Which contains a member who has received cash assistance payments during the twelve-month period under Title IV and XVI of the Social Security Action, Pub. L. No. 88-452, 42 U.S.C. § 2701 et seq. or applicable State or local law.

Who is eligible for assistance under the Low Income Home Energy Assistance Act of 1981, per 10 CFR 440.22 (a) (3). (Indiana Weatherization's primary eligibility criteria per approved State Plan)

NOTE: LIHEAP WX grant clients must adhere to the HHS requirement of 150% of the current OMB poverty income

Denied EAP applications will be referred for eligibility under 10 CFR 440.22 (a) (1) and (2), as noted above. If client is ineligible under the cited regulation, refer to section 103 of Indiana's Weatherization Policy and Porcedures Manual for denial procedures and notice to appeal.

Each year newly approved poverty guidelines for the program year are issued towards the beginning of the calendar year. To be consistent with the Energy Assistance Program (EAP) intake, Weatherization and EAP will both update their income eligibility guidelines on June 1, 2014 (using Federal Register/Volume 79, Number 14/Wednesday, January 22, 2014, on pages 3593-3594 and WPN 14-3).

IHCDA requires that all sub-grantees ensure client eligibility during the period in which services are delivered. Clients which are deemed eligible as a result of their LIHEAP eligibility will have their most recent application date transferred into their IWAP record upon import. Sub-grantees must ensure services are delivered within one year of the application date or the client's income must be re-verified. Files of clients not categorically eligible through the Energy Assistance Program must contain a copy of the application and income documentation. Guidelines for household income calculation are found in the most current version of the Indiana Energy Assistance Program Operations Manual http://www.in.gov/myihcda/2359.htm or DOE Weatherization Program Notice 14-3, dated February 25, 2014.

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

Indiana's Weatherization Assistance Program will follow the same procedures outlined within Indiana's LIHEAP EAP Program Operations Manual. Indiana's approach to ensuring qualified aliens are eligible for weatherization benefits is as follows:

SECTION 300

ELIGIBILITY AND INCOME STANDARDS

301 RESIDENCY AND CITIZENSHIP REQUIREMENT

The applicant must reside in the State of Indiana at the time of application and for at least one (1) month of the current heating or moratorium season (December 1 through March 15) to be eligible for the Energy Assistance Program.

Current verification of residency and service address must be verified at each application and reapplication for benefits. These two addresses must match to qualify for benefits.

Possible verification sources are as follows (not all inclusive):

- Valid Indiana Driver's License with current address
- Rental/Lease agreement listing the applicant's name and current residence
- Completed Landlord Affidavit form (if applicable)
- Employer's statement or pay stub listing residence address

In addition to the above criteria, all members of the household must be United States (U.S.) citizens, U.S. Nationals or qualified aliens.

A United States citizen is someone born in:

- One of the 50 states
- The District of Columbia
- Puerto Rico
- Guam
- The Virgin Islands
- The Northern Mariana Islands

A United States National is someone born in:

- America Samoan
- Swains Island

To verify a household member is a U.S. Citizen or National, use any of the following documents:

- Birth Certificate
- U.S. Passport
- Report of Birth Abroad of a Citizen of the U.S. (FS-240) issued by the Dept. of State
- Certification of Birth (FS-545) issued by a Foreign Service post

- U.S. Citizens I.D. card (I-197) issued by the Bureau of Citizenship and Immigration Services (BCIS)
- Certificate of Naturalization (N-550 or N-570) issued by BCIS
- Certificate of Citizenship (N-560 or N-561) issued by BCIS
- Northern Marianas I.D. card (I-873)issued by BCIS
- Statement provided by the U.S. consular official certifying the individual is a citizen.

There are secondary sources of verification which may include religious records, U.S. civil service employment records dated before June 1, 1976, early school records, census records, adoption papers, and any other document establishing or denoting a place of birth.

Non-citizens must provide documentation verifying Resident Alien status to be eligible for EAP benefits. The federal government considers the following to be qualified aliens:

- An alien legally admitted for Permanent Resident Alien Status. I 151, commonly referred to as "green card".
- An alien granted asylum. Documentation: I 94 or INS letter
- A refugee admitted to the United States. Documentation: I 94 "Arrival Departure Record".
- An alien paroled in the United States. Documentation: I 94 "Arrival Departure Record".
- An alien whose departure is being withheld. Documentation: I 94 and/or order from an immigrations court judge.
- An alien granted conditional entry. Documentation: I 94 "Arrival Departure Record".
- An alien who is a Cuban/Haitian entrant. Documentation: I 151 "green card".
- An alien who is a battered spouse or child. Documentation: 1) Veteran proof of legal entrance in U.S. DD14 or poof of active military service, birth/marriage certificate; 2) Other-Approval Notice of "Notice of Prima Facie Case" under the 1994 Violence Against Women Act (VAWA).

301.1 Social Security

A Social Security number (SSN) is required for all persons in the household age 1 and older. If not provided, the household is ineligible for assistance.

A SSN can be verified by viewing the SS card, another federal form, pay stub, SSA benefit letter or other acceptable proof. An intentionally invalid SSN entry is unacceptable.

An agency should assist applicants to apply for social security numbers.

The web site for the SSN application form and instructions for applying for a new social security number can be found at: http://www.ssa.gov/online/forms.html (Form SS-5 Application for a Social Security Card).

When a household member exists and cannot provide the intake worker with an SSN at time of application: Enter the household member, fill the space with nines or zeros, and leave the application in pending status until the SSN is verified.

However, after 30 days of application, if the household has not provided SSNs for all eligible adult household members, a denial letter should be generated. The entire household is ineligible for Energy Assistance if any member fails or refuses to provide or verify their SSN or provide proof of application for a SSN.

Individual Tax Identification Numbers (ITIN) numbers cannot be used in lieu of a social security number.

According to the Social Security Administration, noncitizens may apply for a Social Security number if they have permission to work in the United States by the Department of Homeland Security.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

IHCDA will continue to use Energy Assistance Program (EAP) applications to verify the income of clients between 0% and 150% of poverty. Clients between 151% and 200% of poverty will still be subject to the Indiana LIHEAP program's method for calculating income and supplying all related income verification documentation.

Sub-grantees can add clients between 151% and 200% of poverty to their wait list via one of the following ways:

1. Through disqualified EAP applications that are below the 200% of poverty threshold, where an income verification was done by a Community Action Agency; or,
2. Using a separate, sub-grantee determined method that aligns with EAP income verification guidelines. In this case, all income verification documents must be kept in the client's file.

Priortitizing qualified clients will be based upon the criteria outlined in Section 300 of Indiana's Weatherization Policy and Procedures Manual and as listed below. Eligible clients in both the 150% catagory and the 200% catagory follow the same priority system once eligiblity for the WAP has been determined.

Once eligibility has been determined, an agency must follow its client priority policy. Each Weatherization Administrator will develop written procedures by which it assigns priority eligible households. Federal regulation 10 CFR 440.16(b) states that priority is given to households with inhabitants who are elderly (age 60 years and older) or disabled (as defined in Indiana Energy Assistance Program Operations Manual)

With inhabitants who are children, which Indiana defines as people age 18 and under

That are high residential energy users or that have a high energy burden

Sub-grantees are encouraged to use the Energy Assistance Program's (EAP) matrix point system as a first-level sort for client service because matrix scores account for the aforementioned priority criteria. The matrix score already incorporates points for households who meet the priority criteria outlined above.

Agencies that choose to develop their own methods for prioritizing clients must still adhere to federal regulation 10 CFR 440.16(b), develop written procedures, and seek approval of the methodology from IHCDA.

Describe Reweatherization compliance

IHCDA addresses reweatherization of homes for DOE and LIHEAP in the in the following manner:

DOE: Prior to any weatherization activity, a unit must be evaluated to determine whether previous weatherization services have been provided. For homes utilizing DOE funds, if services have been provided ***after September 30, 1994*** the unit is not eligible for additional weatherization services utilizing DOE funds. Please reference WPN 13-1, section V.1.2. A "Reweatherized" unit falls into the category of time indicated above and described under 20 CFR 440.18(e)(2)(iii).

The following actions must be taken on each DOE unit prior to weatherization services to ensure that homes that have received weatherization services after September 30, 1994 are not re-weatherized:

1. Each client's address must be entered into IWAP to identify whether the client's home has been weatherized during or after 2000 (length of IWAP historical records);
2. Each client must be asked whether their home has been weatherized after September 30, 1994; and
3. A visual inspection of each home must be performed by an auditor to identify whether previous weatherization measures have been performed.

If there are no documented, verbal, visual, or physical evidence of previous weatherization services, the Sub-grantee may proceed with weatherization services on the unit.

If any of the above actions indicates or suspects that weatherization services have previously been rendered in a home, the Sub-grantee must check with the local agency that has historically provided weatherization services in the area to inquire about any records pertaining to services previously provided. Incumbent local agencies must cooperate with these inquiries from IHCDA or from new weatherization service providers. Failure of any Sub-grantee to comply with any such request could result in immediate suspension of payments under its DOE award agreement or termination of its award agreement by IHCDA.

LIHEAP: Prior to any weatherization activity, a unit must be evaluated to determine whether previous weatherization services have been provided. For homes utilizing LIHEAP funds, sub-grantees may provide weatherization services to a dwelling unit previously weatherized provided that it was at least **5 years** prior to the beginning of the current LIHEAP program year. (Example: Current LIHEAP grant year starts 10/1/14; 5 years prior to this date is 10/1/09 – the home would have to have received weatherization services through LIHEAP **prior** to 10/1/09 to be eligible for Weatherization services utilizing LIHEAP current year funds.

The following actions must be taken on each LIHEAP unit prior to weatherization services to ensure that homes that have received weatherization services within the last five years as outlined above:

Each client's address must be entered into IWAP to identify whether the client's home has been previously weatherized and determine what the date is

Each client must be asked whether their home has been weatherized previously and when the weatherization took place

A visual inspection of each home must be performed by an auditor to identify whether previous weatherization measures have been performed.

If there are no documented, verbal, visual, or physical evidence of previous weatherization services, the Sub-grantee may proceed with weatherization services on the unit.

If any of the above actions indicates or suspects that weatherization services have previously been rendered in a home, the Sub-grantee must check with the local agency that has historically provided weatherization services in the area to inquire about any records pertaining to services previously provided. Incumbent local agencies must cooperate with these inquiries from IHCDA or from new weatherization service providers. Failure of any Sub-grantee to comply with any such request could result in immediate suspension of payments under its DOE award agreement or termination of its award agreement by IHCDA.

The above information is located in Indiana's Weatherization Policy and Procedures Manual, Section 305, and on pages 42-43.

Describe what structures are eligible for weatherization

Indiana's sub-grantees may Weatherize single site built homes, mobile homes (manufactured housing), shelters and multi-unit dwellings. Indiana's sub-grantees may also Weatherize dwellings for both homeowners and renters.The selection process is based upon client eligibility, established priorty guidelines, and information gathered during the initial audit. Dwelling eligibility is outlined within Indiana's Weatherization Field Guide and Indiana's Weatherization Policy and Procedures Manual and within this DOE Master Plan.

Once a dwelling is determined to qualify for services, it is up to the Energy Auditor to determine if the dwelling is a candidate to receive weatherization services or if the dwelling should be deferred.

Please reference V.3 Priorities, Deferral Process, Rental/Multi Family, Audit Procedures and Client Eligibility descriptions within this Master Plan.

For additional information regarding Indiana's processes for determining structure eligibility, please reference Chapter 1, Wx Process, in the Indiana Weatherization Field Guide.

Describe how Rental Units/Multifamily Buildings will be addressed

Indiana addresses multi-unit buildings in the following manner:

1. Multi-Unit Buildings – In the weatherization of multi-unit buildings, DOE regulations require that 66% (50% for duplexes and four unit buildings) of dwelling units in the building must be eligible households or will become eligible within 180 days as referenced in 10 CFR 440.22(b).

An application and eligibility determination are, therefore, not required for non-eligible or empty units.

For IWAP reporting purposes, each non-eligible or empty unit should be counted as "Data Unavailable" when reporting income categories and demographics. The box "Demographics Not Available" must be checked at the bottom of the IWAP application page.

For reporting purposes, each non-eligible or empty unit should be listed as "Data Unavailable" when reporting income categories and demographics. To ensure that the percentage requirement is met, a separate list must be maintained, indication the eligible and non-eligible or empty units.

Sub-grantees should also note that when weatherizing multi-unit building, the amount to be spent on the building is determined by the number of income eligible units. (Example: When weatherizing a 20 unit building, if 15 of the units are eligible, you are only allowed $90,000 (15 x $6,000 (average base cost per home) for the 20 units.)

In order to weatherize an apartment, all units in the affected building must be weatherized.

DOE, in conjunction with Oak Ridge National Laboratory (ORNL) and the Lawrence Berkely National Laboratory (LBNL), plan to roll out a Multifamily Tool for Energy Audits (MulTEA) during 2014. Upon completion of this audit tool, IHCDA intends to review the new tool with the intent to implement the tool into Indiana's Weatherization Assistance Program during the 2014-2015 Program Year.

More information for weatherizing multi-family dwellings is located within DOE regulations on WAPTAC in 10 CFR 440 (Federal Regulations) and Weatherization Program Notice (WPN) 11-09.

2. The following multi-family rules and regulations apply to both DOE and LIHEAP funded weatherization projects. For energy audit purposes, DOE considers multi-family buildings to be those containing five dwelling units or more. For multi-family buildings containing less than 25 units (5-24 units), and the units are individually heated or cooled, a NEAT run must be performed to determine the proper work scope.

In order to weatherize an apartment, all units in the affected building must be weatherized. In Indiana this includes duplexes, buildings with three or four units and buildings with five or more units.

For multi-family buildings containing 25 or more units per building, sub-grantees must contact IHCDA to begin the process of submitting data to DOE for approval prior to the start of work on the project. IHCDA will run a multi-family audit using Targeted Retrofit Energy Analysis Tool (TREAT) software and submit the results to DOE for approval. This process will include, at a minimum, obtaining the following information as required by DOE and TREAT:

Brief narrative with photos describing the building(s), including its age, its condition, number of units, spatial orientation(s), heating/cooling type (central or distributed) and condition, and any other notable conditions.
Building assessment sheets, such as lighting inventory; heating/cooling equipment and controls; air leakage determination; water usage information; combustion/CO/CAZ testing; insulation type and levels; base load analysis; windows and doors type and orientation; health and safety concerns, etc.
Weatherization statement of work, project timeline, and projected costs (materials and labor), any landlord contributions or buy-down provisions.
Complete copy of the audit showing all inputs/outputs (or engineering assessments and report) including a narrative describing the methodology used to assess the building(s) (i.e. was every building individually audited, or were a sample audited and the others assumed to be the same).

Effective May 1, 2013, sub-grantees must obtain permission from IHCDA prior to proceeding to weatherize multi-dwelling units or apartments where five (5) or more units are contained within one building.

3. Shelters

An application and eligibility determination is not required for shelters.

Agencies should determine the number of countable completions based on shelter regulations detailing that a weatherization provider may count each 800 square feet of the shelter as a dwelling unit or each floor level as one unit, as noted in 10 CFR 440.22(f).

An individual file should be kept for the shelter job.

For IWAP reporting purposes, each completion should be counted as "Data Unavailable" when reporting income categories and demographics. The box "Demographics Not Available" must be checked at the bottom of the IWAP application page.

4. Rental Procedures

The benefits of weatherization to the occupants of rental units are protected in accordance with 10CFR440.22(b)(3). Indiana's policy for the weatherization of rental units complies with 10CFR440.16(i), and all other pertinent regulations.

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Sub-grantees must have the following procedures in place before proceeding with weatherization of a rental unit:

Written permission of the building owner or his agent before commencing;

Benefits of the services accrue primarily to the low income tenants residing in such units;

For a reasonable period of time after completion, the household will not be subjected to rent increases;

No undue or excessive enhancements shall occur to the value of the dwelling unit and

A landlord agreement as required by the Sub-grantee.

The low-income tenants must benefit from the Weatherization Services.

Sub-grantees are required to have and abide by their written policies detailing the terms of the landlord/tenant agreement and any landlord contribution policy the sub-grantee has adopted.

Landlords may be required to contribute financially toward the cost of completing a unit, and/or to complete specific work on the unit. In cases where the landlord meets the definition of low income, and is eligible for services, the sub-grantee cannot require financial participation on the part of the landlord. Furthermore, sub-grantees will ensure that clients realize the primary benefits from the weatherization work. Sub-grantees may also include in their landlord policy a provision that does not require a landlord contribution if the landlord is a 501(c)3 non-profit organization.

Landlord agreement forms must be included in the files of all weatherized rental units. At a minimum, landlord agreements must state that:

For a one-year period after the weatherization work on the unit is completed, rent cannot be increased, unless the increase is not related to weatherization services performed, as noted in 10CFR440.22(b)(3)(ii).

Landlord and/or other contributions shall be expended in accordance with the agreement between the landlord and the weatherization sub-grantee, as noted in 10CFR440.22 (d).

Written permission of the landlord, or the landlord's agent, must be obtained prior to the weatherization of the dwelling.

Landlord contributions are not to be counted as program income, but must be applied to the program in one of two ways.

Agencies that require landlord contributions must use a net system when charging weatherization. As an example, if the cost of the work is $4,000.00, and the landlord contributes 50%, or $2,000.00, weatherization may be charged for only the remaining $2,000.00.

Agencies that do not require landlord contributions, but receive contributions without stipulations as to their use, must then use those funds to enhance the weatherization program.

Sub-grantees are required to develop a written appeals process for dealing with rental units. The process should be available to resolve disputes over raising rent following the weatherization process.

The primary purpose of the weatherization program is to lower the total residential energy expenditures of low-income persons. Agencies are to ensure that no undue enhancement shall occur to increase the value of the dwelling units, as noted in 10CFR440.22 (b) (3)(iv). Undue enhancement is defined by DOE as any improvement to the property that goes beyond the scope of energy conservation work.

Agencies are not required to place liens on rental property that has been weatherized, but must ensure protection of the low-income household from improper eviction or sale of property. Agencies must be aware of the legal protection available and be prepared to make appropriate referrals when necessary.

Describe the deferral Process

While clients may meet eligibility requirements for weatherization, Sub-Grantees may defer a client because the housing unit is not a good candidate for weatherization. A deferral may occur due to problems that are beyond the scope of weatherization such as condition of the structure, area is slated for redevelopment or health and safety reasons.

Deferrals may take place during any phase of the weatherization process, including but not limited to: during or after the energy audit, the work performance phase, or immediately following the identification of a health and safety risk to the occupants or to crew and contractors and must be in writing.

Postponement of work is advisable until deferral issues can be resolved either by the client and/or by alternative sources of assistance. Below are examples of existing conditions under which a dwelling unit can be deferred until certain corrective actions occur:

Elevated carbon monoxide levels where abatement is not possible using WAP funds

Existing moisture problems that cannot be resolved under the health and safety limits

House with sewage or other sanitary problems that not only endangers the client, but the workers who will perform the weatherization work

Occupant's health condition

Building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and these conditions cannot be resolved in a cost effective manner

Client is uncooperative, abusive, or threatening to crew, subcontractors, auditors, inspectors, or others who must work on or visit the house

Extent and condition of lead-based paint in the house would potentially create further health and safety hazards

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

The home is in foreclosure, for sale or condemned and the owner will not be occupying the units throughout the duration of the weatherization work.

Any existing condition that could endanger the health and/or safety of the work crew or subcontractor and cannot be safely abated within the scope of WAP

All agencies will pursue alternative funding resources to reduce the occurrence of deferral. Agencies should establish lines of communication with other funding sources so that referrals can occur in an efficient manner. The following is a list of potential funding sources to help remedy situations in a home:

U.S. Department of Housing and Urban Development (HUD) - HOME Program

HUD - Community Development Block Grant

U.S. Department of Health and Human Services - Community Services Block Grant

U.S. Department of Agriculture - Rural Economic Community Development

State-funded housing and rehabilitation programs

Low-income program funds provided by local utilities

City-funded housing and rehabilitation programs

Donations or financial participation from landlords

Donations from local churches or community groups

All clients who are deferred must receive a letter outlining the reason(s) for the deferral. An Applicant Notification Letter (Appendix Q) must be mailed to the client and a copy included in the client file.

Any client who has received a deferral by a local agency must be allowed to pursue an appeal. The appeal will follow the established procedure set forth in the Section 103 of this manual. The right to appeal information provided to any deferred household must contain the following three processes: Local Review, State Review, and Formal Appeal

Local review involves the written policy of each Weatherization Sub-Grantee Program Manager for handling client complaints or appeals of program decisions. The final step in the local process should involve a written determination by the agency Executive Director.

State review occurs when a denied/deferred weatherization applicant is not satisfied with the local sub-grantee's determination. The applicant appeal must be

made in writing within thirty days of the local denial, to IHCDA's Community Programs Manager. All pertinent material to the case will be requested from the Weatherization Sub-Grantee by IHCDA personnel in order to make a determination.

Formal Appeal is available to an applicant who is dissatisfied with the preceding decisions. The applicant may submit a written request for a formal hearing, within fifteen days of the date of the state notification. The request, which will be provided with state notification to the applicant, is to be sent to IHCDA's Chief Community Programs Officer.

IHCDA's legal staff shall designate a hearing officer who has not participated in any prior decision with regard to the applicant. The hearing officer will provide notice of the date, time and location of the hearing within thirty days of the written request. The hearing may be conducted in person, or by telephone. The applicant, as deemed appropriate, shall have the opportunity to review all documentation submitted to IHCDA.

The costs associated with deferred audits are an allowable charge under Base Program Operations. Those agencies using contractors must be able to document on the deferral invoice that the charge was for a deferred home and is not attributable to any particular completion.

Pictures documenting the conditions leading to deferral must be placed in the client file.

IHCDA monitoring staff reviews at least two deferred client files during monitoring.

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 are served in the general population and will be eligible to receive benefits equivalent to the assistance provided to other low-income persons living in Indiana.

V.2 Selection of Areas to Be Served

Selection of sub-grantees to implement the Weatherization Assistance Program is made in accordance with 440.15(a)(d). IHCDA contracts with twenty-three (23) sub-grantees to cover Indiana's 92 counties. Of the twenty-three (23) sub-grantees, twenty-one (21) are community action agencies, one (1), People Working Cooperatively, is a non-profit agency, and one (1), Job Source (DBA Central Indiana Community Action Program), is a unit of local government.

In August 2013, IHCDA reassigned three counties of service territory from NWICA to NCCAA. This reassignment is temporary unitl IHCDA can either establish that NWICA can improve performance to regain these counties or if a RFP will be necessary to permanently assign this territory.

440.15(a) - Preference is given to any sub-grantee that has administered, or is currently administrating, an effective program, with program effectiveness evaluated by consideration of factors including, but not limited to:

Demonstrated ability to achieve projected goals and objectives,

Quality of weatherization work as demonstrated by past program performance,
Ability to staff program with qualified, trained, and experienced employees,
Previous program experience, both in weatherization and other low-income program, and
Ability to fulfill procedures for fiscal record keeping under Indiana and Federal codes.

If one of the current 23 sub-grantees is unable to administer the Weatherization Program in their respective county or counties, or if their program is cited for non-compliance, corrective actions will be taken. With support from IHCDA and the awarded technical assistance provider, the sub-grantee in question will:

Implement a 120-day quality improvement plan (QIP). A QIP is prescribed to sub-grantees with a significant number of technical findings and/or program deficiencies. The QIP process includes drafting a remediation plan, assigning responsibilities for resolving findings, and fully participating in monthly monitoring visits.

IHCDA also may implement a modified QIP. A modified QIP is prescribed to sub-grantees with less dire, but still numerous, findings and concerns. The modified QIP process includes drafting a remediation plan, assigning responsibilities for resolving findings, and quarterly monitoring visits.

If the QIP does not result in the correction of all issues in question, IHCDA has the option to either extend the QIP period or remove the Weatherization Assistance Program from the sub-grantee. If the State chooses to remove the weatherization program from the sub grantee, IHCDA will go through the following actions to ensure continued service in the sub-grantee's service area:

Removal of the program from the sub-grantee will not be done until a suitable organization can be found to administer the program, either on a temporary or permanent basis. This will ensure that the transfer of the program will not result in a gap in service to clients for any period of time.

If funding is removed in part from a particular sub-grantee, IHCDA will exercise discretion in either redistributing that funding to existing sub-grantees or new sub-grantee(s) using the RFP method indentified below, or awarding funding to those sub-grantees meeting qualifications under 440.15(a) and are capable of handling additional funds, as evidenced by their grant spending in conjunction with production benchmarks.

In selecting an organization to take over the weatherization program, an RFP will be sent out to (in order of priority) neighboring sub-grantees, statewide sub-grantees, local non-profit organizations, and local units of government.

Once an organization is selected, a date will be determined for program transfer. IHCDA will coordinate the transfer with the old and new sub-grantee.

V.3 Priorities for Service Delivery

Once eligibility has been determined, an agency must follow its written client priority policy. Each Weatherization Administrator will develop written procedures by which it assigns priority to eligible households. Federal regulation 10 CFR 440.16(b) states that priority is given to households:

With inhabitants who are elderly (age 60 years and older) or disabled (as defined in Indiana Energy Assistance Program Operations Manual)

With inhabitants who are children, which Indiana defines as people age 18 and under

Persons with disabilities, and

That are high residential energy users or that have a high energy burden

Sub-grantees are encouraged to use the Energy Assistance Program's (EAP) matrix point system as a first-level sort for client service because matrix scores account for the aforementioned priority criteria. The matrix score already incorporates points for households who meet the priority criteria outlined above.

Agencies that choose to develop their own methods for prioritizing clients must still adhere to federal regulation 10 CFR 440.16(b), develop written procedures, and seek approval of the methodology from IHCDA.

Sub-grantees are monitored for compliance with the priority list during the annual file review process.

V.4 Climatic Conditions

Indiana's climatic data is compiled from the records of the National Oceanic and Atmospheric Administration (NOAA) from weather data collected from 150 sites in Indiana. Each sub-grantee has a unique sub-grantee average of heating degree days (HDD) that is determined by the weather data collected over the

past 30 years from the counties the sub-grantee serves. For counties that did not have data collection sites, an average HDD was computed using data from adjoining counties. This step also ensures that sub-grantee service areas are in the same heat zone. Indiana has two heat zones, which are divided based on average HDD by the U.S. Energy Information Administration. The upper two-thirds of the counties in the state are in Zone 2, which means they have between 5,500-7,000 HDD. The lower one-third of the counties in the state are in Zone 3, which means they have between 4,000-5,499 HDD. In conducting tests for the waiver audit, homes are sampled from both climate zones. The formula used to calculate HDDs is as follows:

Take the base temperature of 65 degrees and subtract the average daily temperature for a given calendar day to equal the heating degree days (example: 65-55=10 HDDs);

Only days with average temperatures lower than the base temperature will be counted as HDDs;

Repeat this process for each day of the year; and

Add together the total HDDs for a sub-grantee's HDD's sum.

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

IHCDA will ensure maximum energy savings by making certain that homes weatherized in Indiana receive the highest quality of work. The Indiana Weatherization Program accomplishes this by maintaining an excellent staff of state monitors and a progressive training facility. To ensure that procedures are being properly applied, sub-grantees receive specific technical training along with field visits and enhanced training at the field site.

IHCDA utilizes the Indiana Weatherization Policy and Procedures Manual and the Indiana Weatherization Field Guide to regulate the Weatherization services provided throughout the State of Indiana.

The Indiana Weatherization Field Guide received a major review and overhaul in 2011. Indiana's Weatherization Field Guide recieved addition updates during 2013 in conjunction with the alighnment process with DOE's Standard Work Specifications [SWS]. Indian utilized their State Monitor, Weatherization Training Center [INCAA] and the Technical Committee to perform the needed updates. The refernced Technical Committee is comprised of auditors, trainers, and technicicans from across Indiana. The committee is under the direction of IHCDA's Community Programs Monitor.

During the previous DOE funding cycle of April 2013 through March 2014, IHCDA utilized DOE T&TA funds for INCAA to work on the alignment of Indiana's Weatherization Field Guide with DOE's SWS. This alignment is near completion. The next step is to place the document in an usable form to be accessible and usable by Indiana's Weatherization Network. Indiana has decided to partner with Saturn Resources to complete this process. This partnership will allow Indiana to complete the SWS and Field Guide alignment with sufficient time to implement the new document and provide training to Indiana's Weatherization Network ahead of DOE's deadline of April 1, 2015.

Indiana's Weatherization Policy and Procedures Manual is updated twice a year. The major goal in updating the policy manual is to ensure that Indiana's subgrantees have up to date guidance for properly managing Indiana's WAP. IHCDA attempts to ensure that the information in the policy manual is consistent with Indiana's Field Guide, DOE regulations and guidance as well as HHS, EPA and HUD guidelines where applicable. The policy manual also contains all required forms utilized within Indiana's WAP. The most recent update of Indiana's Policy and Procedures Manual was completed in April 2014. It was supplied to Indiana's Weatherization sub-grantees and training center on April 21, 2014. IHCDA also highlighted the updates to this manual during two recent Semi-Annual Manager Meetings [SAMM]. There was a SAMM held for the southern sub-grantees on April 23, 2014 and a SAMM held for the northern sub-grantees on April 29, 2014.

During the 2014 DOE funding cycle, IHCDA, working in conjunction with INCAA, will perform training on the completed SWS and field guide alignment once that document becomes available.

In addition to the above information IHCDA regularly encourages their sub-grantees to reference the wealth of Weatherization related knowledge contained on the WAPTAC website.

IHCDA also considers the training staff at INCAA, the Community Programs Monitor and the Community Programs Manager as technical guides and resources. These individuals are available by phone, email, and when deemed necessary, local visits. The combined years of Weatherization experience of these individuals make them a valuable resource to Indiana's WAP network.

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Single-Family :	NEAT-based priority list, approved by DOE September 20, 2011. Amended April 2013 as outlined in 111.3.1 above
Manufactured Housing :	MHEA-based priority list, approved by DOE September 20, 2011. Amended April 2013 as outline in 111.3.1 above
Multi-Family :	Handled on a case-by-case basis per DOE multi-family regulations. Requires written permission from IHCDA prior to starting process

Comments

Indiana's waiver audit priority list was compiled by conducting NEAT or MHEA audits on model homes across Indiana that are representative of the typical housing stock served by the state's weatherization program. The results of the audit runs were analyzed by the Indiana Community Action Association (INCAA). Both audits include installing a smart thermostat as a general heat waste measure. IHCDA allows for replacement of incandescent bulbs with compact fluorescent (CFL) bulbs. They are replaced in areas where lights are left on for at least two hours a day. The projected 75% savings in electricity with CFL bulbs over incandescent bulbs justifies the cost of the bulbs.

Refrigerator testing and replacement is not considered an allowable cost under this grant; refrigerator replacement will be allowed only if utility companies cover the entire cost of replacement.

Indiana's audit procedures are described beginning with the next sentence. Sub-grantee auditors conduct a whole-home audit and work is completed based on what the results of the audit specify is required to make the home more energy efficient. All homes being weatherized are treated with the whole-home system approach, with the goal of aligning thermal and pressure boundaries on every home. Additionally, as part of the whole home audit, extensive testing of combustion appliances is conducted to ensure client and worker health and safety. After the initial audit is completed, sub grantee crews or contractors may then complete the weatherization work based on either the approved waiver audit or a site specific audit using tools such as NEAT and MHEA. NEAT/MHEA are to be used when cost restrictions or complicated housing stock make the decision process unclear, if an auditor is unsure how to prioritize the measures a home needs when a sub-grantee does not have enough money to accomplish all the work the home needs, or if an auditor believes a furnace could be replaced for energy efficiency reasons. Indiana's site built and mobile home audit priority list were approved by DOE September 20, 2011. During 2012, as required by WPN 12-09, IHCDA submitted their plan to address incidental repair cost within their priority lists to DOE. This plan was approved by DOE with notification being provided to IHCDA April 9, 2013. The approved incidental repair plan is considered an amendment to Indiana's priority list resulting in Indiana's priority list continuing in effect until September 2016.

The following information explains Indiana's use of and approach to incidental repairs within their Weatherization Assistance Program: IHCDA has implemented new site built and mobile home work orders. The changes to the work orders are a result of properly addressing incidental repair cost as directed and approved by DOE. The new work orders establish price limits for incidental repairs for both individual measures and the entire job/home. The new work orders are available in PDF versions in the updated Indiana Weatherization Policy & Procedures Manual and on INCAA's Intelligent Weatherization website tab. The electronic version of the work orders have been updated and are located on INCAA's Intelligent Weatherization website tab. **There are now incidental cost spending limits specific to each activity based on how cost effective that conservation measure is.** The more cost effective the activity is, the more that can be spent on incidental costs associated with performing that activity. But don't forget, the $500 total incidental cost limit still applies! For example, there is a 1000 square foot attic with no insulation, but it has some water coming in around the roof's chimney penetration. Just to throw a number out there, let's assume there is $900 worth of insulation that you want added to the attic. Based on the spending limits, you could spend up to $1,377 on incidental repairs before the attic insulation is no longer cost effective. However, you cannot spend that full amount, because the $500 total incidental cost limit applies for the entire job! Don't overspend! Likewise, there is a small addition on the back of the house that has a water heater vent going through the roof. There happens to be a roof leak around the water heater vent's roof jack. You would like to insulate the little un-insulated addition's attic. But you can't unless that roof leak is fixed! The addition is only 150 sq. ft. It would cost $135 to insulate just that back attic. Which means you could spend up to $206 repairing that leaky water heater vent. If there is an activity that doesn't have a spending limit (insulating a mobile home belly, installing insider storm windows, or minor air sealing), that means there can be no incidental repairs associated with those activities.

Indiana's approved audit priority lists are as follows:

Site Built Home Waiver Audit:

Health and Safety

Combustion Appliance Efficiency, Repairs, Replacements
Other Health & Safety as needed
(Indiana does not wish to add any General Heat Waste measures to the current DOE approved list.)
Blower door directed air sealing
Major air leaks and bypasses
Duct Sealing
Water heater tank and pipe insulation, low flow shower heads and aerators
Furnace procedure detailed in the Indiana Weatherization Field Guide
Lighting – compact fluorescent bulbs
Blower door directed air sealing limited by economic guidelines and building tightness limits.

General Heat Waste Reduction – (Incidental Repair limited to $500.00)

Client Education

Insulate un-insulated (R-0 to R-7) attics to R-38 final –(Incidental Repair limited to $1.53 per $1.00 of insulation cost)

Insulate un-insulated ducts located outside of the thermal boundary to an R-6 minimum (Incidental Repair limited to $1.25 per $1.00 of insulation cost)

Insulate un-insulated walls to R-15 (high density tube-in)(Incidental Repair limited to $0.99 per $1.00 of insulation cost)

Insulate partially insulated (R-8 to R-19) attics to R-38 final (Incidental Repair limited to $0.82 per $1.00 of insulation cost)

Insulate un-insulated (R-0 to R-7) basement/crawl space ceilings to R-30 whenever they form the thermal boundary OR insulate box sills/plates to R-19 and foundation walls to R-11 minimum whenever they for the thermal boundary(Incidental Repair limited to $0.41 per $1.00 insulation cost)

Minor Air Sealing

*Incidental Repair costs limited to $500.00 for entire dwelling completion.

Mobile Home Waiver Audit:

Health and Safety

Combustion Appliance Efficiency, Repairs, Replacements
Other Health & Safety as needed
(Indiana does not wish to add any General Heat Waste measures to the current DOE approved list.)
Blower door directed air sealing
Major air leaks and bypasses
Duct Sealing
Water heater tank and pipe insulation, low flow shower heads and aerators
Furnace procedure detailed in the Indiana Weatherization Field Guide
Lighting – compact fluorescent bulbs
Blower door directed air sealing limited by economic guidelines and building tightness limits

General Heat Waste Reduction – (Incidental repair limited to $500.00)

Client Education

Insulate walls if the available cavity air space is > 1" (Incidental Repair limited to $0.40 per $1.00 of insulation cost)

Insulate ceilings if the existing insulation is R-11 or less (Incidental Repair limited to $0.25 per $1.00 of insulation cost)

Insulate floors if the existing insulation is R-11 or less (No room for Incidental Repair cost)

Install inside storm windows where there are none present (No room for Incidental Repair cost)

Minor Air Sealing

*Incidental Repair costs limited to $500.00 for entire dwelling completion.

V.5.3 Final Inspection

Each sub-grantee, or its authorized representative, is required to complete a pre- and post-inspection of each unit weatherized. A dwelling that receives furnace work in excess of simply a clean and tune requires an interim audit if the work was not performed by either a BPI certified heating technician or an Indiana-trained "Competent Retrofit Installer-Mechanical". If the home is a total electric home, no interim audit is required. If a job cannot be completed within 45 days of invoice, an interim audit can be conducted on a home with any type of heating system to verify that the heating work is done correctly and payment can be made within 45 days of invoice.

Per DOE WPN 11-03, sub-grantees may not count a unit as completed until any rework mandated by IHCDA monitoring is fixed. IHCDA procedures state that a dwelling unit may not be reported as completed until a final inspection has been performed in accordance with 440.16(g), it has been certified that the work has been completed in a workmanlike manner and in accordance with approved procedures in 440.21, and all materials have been properly installed.

During 2011 IHCDA overhauled Indiana's training curriculum to be aligned with DOE's established JTA's. Part of this overhaul included adding a Final Inspector Competency. Those performing final inspections within Indiana's Weatherization Assistance Program must hold the Indiana Final Inspector Competency. Section 600 of Indiana's Weatherization Policy and Procedures Manual covers training requirements in Indiana.

IHCDA ensures compliance with 440.16 (g) by monitoring at least 10% of client files and at least 5% of homes completed by each sub-grantee.

During the 2013 DOE Funding Cycle Indiana began testing for DOE's Quality Control Inspector (QCI) Certification. Currently all but four of Indiana's twenty three sub grantees have begun the testing procedure for QCI. Indiana's currently pass rate for the written exam is approximately 80% while the pass rate for the skills testing is near 90%. QCI training and testing will continue through the 2014 DOE Funding Cycle. Indiana does not foresee any difficulties in meeting DOE's April 1, 2015 deadline for all completions to be inspected by a certified QCI individual.

Additionally IHCDA has mandated in their Weatherization Policy and Procedures Manaul that effective April 1, 2015 the same individual that performs the initial audit cannot perform the final inspection. Indiana continues to work with their sub-grantees to ensure that this transition is complete by April 1, 2015.

During the 2014 DOE Funding Cycle, IHCDA in conjunctin with INCAA and Indiana's Technical Committee will deveolp a standardized final inspection form to be utilized by Indiana's sub-grantees and State Monitoring Staff. This standardized final inspection form will be compliant with DOE's Standard Work Specifications (SWS) and applicable Indiana specifications. The standardized final inspection form will be completed and implemented on or before April 1, 2015.

IHCDA and INCAA will work during the 2014 DOE funding cycle to write and implement policy that will integrate DOE's national certifications for QCI and Energy Auditor into Indiana's Weatherization Competency Standards. IHCDA will complete and implement new guidance for these competencies and certifications no later than April 1, 2015.

V.6 Weatherization Analysis of Effectiveness

Energy Saving Effectiveness:

Starting in 2010, IHCDA and INCAA transitioned their method of assessment of weatherization effectiveness from Princeton Score keeping Method (PRISM) to work in conjunction with the Building Energy Analysis of Consumption (BEACon) system. This combination allows IHCDA to review a larger selection of homes for energy efficiency improvements, produces better electric savings information, and cuts down on administration costs in the long run since information can be gathered electronically. BEACon will continue to be used in conjunction with PRISM during 2014 as it has provided more reliable savings results both for natural gas and electricity. It has also allowed IHCDA's sample size to be much larger, giving a clearer picture of the actual savings achieved by sub-grantees on a variety of homes and fuel sources.

The reports generated by the BEACon system provides results that are both based upon state wide averages as well as individual sub-grantees. These results are shared with each sub-grantee so that they know how they are performing. The information not only provides overall energy savings but provides indicators as to how each energy auditor, crew and contractor are performing. IHCDA strongly encourages each sub-grantee to utilized the information as a tool to identify where program improvements are needed.

IHCDA reviews the reports generated by the BEACon system to assess incentive pool participation, to gauge performance of sub-grantees in relation to energy savings, to guage success of the State WAP as a whole and project future needs.

Indiana also utilizes an incentive pool process in conjunction with issuing funding allocations that promotes energy savings and sound program management. DOE and LIHEAP allocations are distributed using the census-based allocation formula for 85% of Weatherization Sub-Grantees contracted funds. The remaining 15% of the allocation is distributed out to those Weatherization Sub-Grantees who meet all of the following criteria: 95% or more of the prior program year contract total must have been expended; original, signed, contract Close Out Reports must be submitted on time (45 days after the program year ends), be accurate upon receipt (IHCDA DMS and agency Close Out report must match exactly when final claims are processed), all line items and averages are within allowable limits (production as shown in IWAP and expenditures as shown on the Close Out report and DMS are identical and within program limits); Claims, Close Out Reports, and production must all be on-time, accurate, and allowable in order to meet this criteria for the incentive pool; Weatherization Sub-grantees must demonstrate at yearly monitoring that a sampling of contractors or vendors are issued payment and that payment is utilized within 45 days of invoice; All applicable Competencies and Certifications (OSHA, Lead Renovator, etc.) for all Weatherization Sub-grantee and contractor staff are current and active throughout the previous contract year; A 15% average energy savings as determined by PRISM/BEACon analysis of local Sub-grantee production; No Weatherization Sub-Grantee operating under a 120-day or modified Quality Improvement Plan (QIP) will be permitted to be included in the incentive pool during the QIP period, and Weatherization Sub-grantees must demonstrate regular use of the XRF for lead based paint testing.

Sub-grantee Effectiveness:

To assess sub-grantees' procedural effectiveness, IHCDA monitors use a combination of monitoring and T&TA. Sub-grantees with deficiencies may be required

to attend training specific to the sub-grantee's needs. Sub-grantee deficiencies and subsequent training include but are not limited to: lack of managerial oversight, inadequate technical, fiscal and database management, and client education procedures.

In addition, IHCDA and sub-grantee personnel continuously evaluate the effectiveness of training provided through IHCDA and the awarded technical assistance provider's training program. This is done through a combination of monitoring of sub-grantees, feedback at Semi Annual Managers Meetings, and meetings with Indiana's Weatherization Training Center.

IHCDA's Community Programs Manager reviews all reports prepared by the Community Programs Monitor prior to them being sent to the sub-grantees. This reveiw allows these two individuals to stay current on the issues being faced by each sub-grantee and work toward resolution of problem or weak areas.

During 2013 Indiana began testing individuals for DOE's Quality Control Inspector Certification. Currently all but four of twenty three have begun the testing process to attain the QCI Certification. Indiana will complete this process during the 2014 funding cycle and have made T&TA funds avaialble for training and testing to continue.

Indiana's site built and mobile home priority lists were updated to include proper justification for incidental repair cost. These updates are outlined within this document and will assist Indiana's WAP network by ensuring that the incidental repair cost utilized on each home is appropriate by following the DOE approved guidance.

Indiana plans to perform training for sub-grantee WAP managers and financial personnel during the 2014 funding cycle. This training is deemed necessary by IHCDA monitoring observations and feedback from sub-grantee personnel. This training will be performed with assistance from INCAA (Indiana's Weatherization Training Center).

V.7 Health and Safety

- It is imperative to ensure that weatherization activities do not cause or exacerbate health and safety problems for workers and clients. As such, DOE-approved health and safety measures are undertaken to ensure that the pending weatherization work does not create dangerous living conditions for the client. Health and safety activities are conducted within reasonable cost boundaries that get the home to a condition where weatherization work can move forward.

  Health and Safety Plan Updates
  - In 2011, Indiana was granted approval to utilize up to 20% of our 2011 award for Health and Safety. Without additional grant funds awarded for 2012, Indiana was approved to maintain the increased level of 20% for the unspent funds in 2012. Indiana maintained the level for Health and Safety expenditures at 20% for the FY 2013 funding and intend to maintain the 20% level for the 2014 funding cycle. The Health and Safety expenditures are limited to 20% of Indiana's $6,000.00 average cost per dwelling unit (ACPU) resulting in a Health and Safety average of $1,200 per dwelling.
  - IHCDA has developed a system of guidelines for determining and documenting potential issues that will prevent a dwelling from being weatherized. This system includes determining how/when these issues should be remedied, referred to other agencies, result in partial weatherization, or lead to deferral. Auditors discuss these issues with the client after their initial audit. At this time, they inform the client of potential issues that will not allow their home to be weatherized. Sub grantees document the issues on the moisture assessment form (which is signed by the client at initial inspection), the gas appliance inspection form, and/or the appropriate heating system form. Clients are informed of the issues that caused deferral and what must be remedied prior to weatherization in their official deferral letter sent from the sub-grantee. Auditors and sub-grantees are charged with providing information to the client about how to correct the issue(s) that caused deferral and refer them to appropriate agencies to assist them in getting their home into a condition which would allow for weatherization.
  - In an effort to bridge the gap between deferral and weatherization, IHCDA offered Community Development Block Grant (CDBG) Owner Occupied Rehabilitation (OOR) funds to the current weatherization sub-grantees through a competitive bid process. While the funds are not automatically reserved for Weatherization sub-grantees, each sub-grantee has the opportunity to apply for funding. OOR funds may be used for the following:
    - Hard costs associated with rehabilitation activities
    - Mold remediation
    - Lead-based paint interim controls and abatement costs
    - Accessibility modifications, as part of the required rehabilitation
    - Replacement of gas ranges/stove (allowed only if the gas range/stove is a health and safety issue)

It is IHCDA's intent that these funds ultimately reduce the number of deferrals encountered by the weatherization program and ultimately improve both the structural safety and energy efficiency of the affected homes.

- Sub-grantees are to use DOE health and safety funds when it is determined that the issue can be addressed completely within the confines of allowable health and safety measures and the home can be weatherized upon the completion of those health and safety measures. IHCDA will investigate appropriate uses of health and safety funds at monitoring visits to ensure that homes that can receive health and safety work actually do and ensure that homes that are deferred are not deferred if health and safety funding could have been used to address the issue(s). Additionally, monitors will look into a sub grantee's use of health and safety funds if an excessive amount was used on a home that should have been deferred. Ultimately, the decision to use Health and Safety lies

with the sub grantee when making the call to weatherize or defer a home.

- IHCDA currently provides training for health and safety issues through IHCDA's training and technical services contractor. Training and technical assistance is available for all sub-grantee staff and contractors in the state. IHCDA works with INCAA to ensure that all new and existing health and safety requirements are met.
- Indiana's ASHRAE 62.2 form and procedures were udated during 2013 to meet the most recent changes to the ASHRAE standard.
- INCAA, Indiana's Accrditated Weatherization Training Center, offers courses on Applying the ASHRAE 62.2 and DOE Health & Safety Policy.
- IHCDA installs smoke detectors in every home weatherized that does not have one and tests those in homes with existing detectors.
- IHCDA installs carbon monoxide detectors in every home weatherized (where applicable) that does not have one and tests those in homes with existing detectors.
- Indiana is a cold weather state, as determined by heating degree data. As such, IHCDA does not allow for the installation of air conditioners as a DOE weatherization expense. See the guidelines below for Indiana's protocols on heating system installation.
- If problems are discovered during the testing of combustion gases, sub-grantees will take the necessary steps for repairs or replacements prior to performing any additional work on the home. The sub grantee must then perform all appropriate health and safety testing to verify that issues have been resolved and it is safe to proceed with work on the home. Test results and required repairs are recorded in Indiana's Gas Appliance Inspection Form.
- IHCDA incorporated checking for Material Safety Data Sheets (MSDS) into its monitoring practices in 2011 and that practice continues for the FY 2014 funding cycle. During in-progress visits, IHCDA's monitor will randomly choose an item being used by sub-grantee crews/contractors and will then request to see the MSDS for that particular item. Monitors will also ensure that safe work practices are being followed at the in-progress site visits. Furthermore, IHCDA has contracted with the Environment Management Institute to conduct both the 10 and 30 hour OSHA training for sub-grantee staff and contractors. The OSHA 10 hour training is required for all weatherization workers. The OSHA 30 hour training is required for all crew leaders and HVAC personnel working alone. All new weatherization workers must receive the appropriate OSHA training within six months commencing 45 days from the date of hire. During 2013 all Indiana sub-grantees were required to perform SDS training to meet the federal requirement for the change from MSDS to SDS. Additionally Indiana performed a Semi Annual Technical Training on March 19, 2014 that centered upon OSHA updates and SDS training.
- If an auditor finds mold in a client's home, the client is notified via the moisture assessment form, which the client must sign before the auditor leaves the home. Clients also receive a pamphlet and education on mold and moisture, which outlines the mold issues in their home. The method that auditors use to identify mold is outlined in the section about mold below. All sub grantee field staff and contractors are trained in mold identification.
- Monitors verify Renovator and Lead Firm status at the time of monitoring and track it to ensure that each crew and contractor firm have sufficient renovators to ensure lead safe work practices are adhered to at all applicable job sites. IHCDA requires all crews and contractors to take pictures documenting their use of Lead Safe Work Practices in order to be paid for the procedures.
- Several state agencies and organizations have joined together to devise a holistic approach to creating healthy homes for Indiana citizens. As such, IHCDA added to its auditing procedures that auditors must screen clients for known or suspected health concerns while performing their audit of the home. This step in the weatherization process has been added to the Indiana field guide. Inquires into potential H&S concerns or pre-existing conditions will be addressed by the Auditor on two occasions: when the client is initially contacted to schedule their appointment and when the Auditor meets with the client for the initial audit. Auditors should be keen to the health concerns of the household occupants and ensure that weatherization of the home does not worsen their health concerns. Using the information on the moisture assessment form, following the minimum ventilation rates, and testing combustion appliances allows the auditor to prevent increased health problems for the client. This topic is also discussed in auditor training classes.

IHCDA realizes that deferrals will be necessary at times while administering the WAP. The following underlined information documents Indiana's approach to deferral as conatined in Section 300, Subsection 304 of Indiana's Weatherization Policy and Procedures Manaual.

Deferrals may take place during any phase of the weatherization process, including but not limited to: during or after the energy audit, the work performance phase, or immediately following the identification of a health and safety risk to the occupants or to crew and contractors and must be in writing.

Postponement of work is advisable until deferral issues can be resolved either by the client and/or by alternative sources of assistance. Below are examples of existing conditions under which a dwelling unit can be deferred until certain corrective actions occur:

Elevated carbon monoxide levels where abatement is not possible using WAP funds

Existing moisture problems that cannot be resolved under the health and safety limits House with sewage or other sanitary problems that not only endangers the client, but the workers who will perform the weatherization work Occupant's health condition

Building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and these conditions cannot be resolved in a cost effective manner

Client is uncooperative, abusive, or threatening to crew, subcontractors, auditors, inspectors, or others who must work on or visit the house

Extent and condition of lead-based paint in the house would potentially create further health and safety hazards

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

The home is in foreclosure, for sale or condemned and the owner will not be occupying the units throughout the duration of the weatherization work.

Any existing condition that could endanger the health and/or safety of the work crew or subcontractor and cannot be safely abated within the scope of WAP

All agencies will pursue alternative funding resources to reduce the occurrence of deferral. Agencies should establish lines of communication with other funding

sources so that referrals can occur in an efficient manner. The following is a list of potential funding sources to help remedy situations in a home:

U.S. Department of Housing and Urban Development (HUD) - HOME Program

HUD - Community Development Block Grant

U.S. Department of Health and Human Services - Community Services Block Grant

U.S. Department of Agriculture - Rural Economic Community Development

State-funded housing and rehabilitation programs

Low-income program funds provided by local utilities

City-funded housing and rehabilitation programs

Donations or financial participation from landlords

Donations from local churches or community groups

All clients who are deferred must receive a letter outlining the reason(s) for the deferral. An Applicant Notification Letter (Appendix Q) must be mailed to the client and a copy included in the client file.

Any client who has received a deferral by a local agency must be allowed to pursue an appeal. The appeal will follow the established procedure set forth in the Section 103 of this manual. The right to appeal information provided to any deferred household must contain the following three processes: Local Review, Executive Review, and State Review

Local review involves the written policy of each Sub-grantee for handling client complaints or appeals of program decisions. The final step in the local process should involve a written determination by the agency Executive Director.

State review occurs when a denied/deferred weatherization applicant is not satisfied with the local agency determination. The applicant appeal must be made in writing within thirty days of the local denial/deferral, to the Indiana Housing and Community Development Authority Chief Community Services Officer. All pertinent material to the case will be requested from the Sub-grantee by IHCDA in order to make a determination.

IHCDA's legal staff shall designate a hearing officer who has not participated in any prior decision with regard to the applicant. The hearing officer will provide notice of the date, time and location of the hearing within thirty days of the written request. The hearing may be conducted in person, or by telephone. The applicant shall have the opportunity to review all documentation submitted to IHCDA.

The costs associated with deferred audits are an allowable charge under Base Program Operations. Those agencies using contractors must be able to document on the deferral invoice that the charge was for a deferred home and is not attributable to any particular completion.

Health and Safety Issues

Health and safety issues must be remedied before, or because of, the installation of weatherization materials.

The following provisions apply to the health and safety issues listed further below, where applicable:

- Proper disposal of replaced appliances will include the removal of the old appliance from the client's premises. Recycling is encouraged when possible. In the case of replaced heating systems and water heaters, the replaced units will be disabled at the time of removal to prevent the appliance from being installed or used in a different location.
- Where hazards are identified, clients will be informed in writing of the hazards on the final inspection form, which the client signs. A copy of the form is kept in the client's file.
- State and local codes must be followed while installing health and safety measures.
- Crews and contractors installing health and safety measures must be trained per IHCDA's training guidelines.

Air Conditioning and Heating Systems

Action/Allowability:

If the heating and air conditioning system is operable the system must be run through NEAT or MHEA first to determine if it is allowable to be replaced as an energy conservation measure. If it calls for a replacement, only the heating system would be replaced because Indiana is a heating state. "Red tagged", inoperable or nonexistent heating system replacement, repair, or installation is allowed with DOE funds; IHCDA does not allow DOE funds to be used for replacing air

conditioners. Repairs to an *air conditioning* system may only be made when current operation of the AC unit endangers the operation of the furnace. Repairs can be charged to either DOE or LIHEAP. The sub-grantee will first determine whether repairs can effectively be made to the heating system to enable it to operate safely, rather than require a replacement. Sub grantees are allowed to replace heating systems in certain circumstances, as follows:

- A verifiable condition exists that allows combustion gases to enter the living environment. For example, a breach in the heat exchanger that allows combustion gases to mix with the air in the ductwork.
- An improper application of a non-sealed combustion furnace, installed in a mobile home. Mobile homes are required to have furnaces that draw their combustion air from outside the carriage. The installation of a furnace intended for use in site built homes could cause serious concentrations of combustion gases in the living environment by causing the furnace to back-draft.
- Inefficient furnaces can be replaced when a NEAT or MHEA run shows the replacement to meet a SIR of 1 or greater.

The sub-grantee may not continue with weatherization work, particularly air sealing the structure, until the combustion gases have been appropriately vented away from the living area. In the case of a plugged or non-functioning vent on a combustion appliance, appropriate steps must be taken to repair, or replace, the vent.

Before a furnace is installed in a weatherization dwelling unit, the proper size of the furnace must be determined. Sub grantees will determine the most effective output size of the replacement furnace using Manual J heat load calculations or other appropriate methods.

Furnace replacements in Indiana's Weatherization Assistance Program are justified by Indiana's Heating Degree Days numbering in the range of 4,000 – 5,499 in the lower one-third of the State and 5,500 – 7,000 in the upper two-thirds of the State. This climatic information is incorporated into Indiana's NEAT and MHEA runs as well as their Site Built and Mobile Home Waiver Audits.

Testing:

Health and safety inspections make sure that systems are present, operable, and performing. The health and safety inspection of combustion appliances, including heating systems, includes the following items:

- The rated and measured BTU input of each gas furnace
- A complete electrical inspection of the furnace including proper grounding, polarity, wiring connections, fuse type and size, element amperage (electrical furnace), disconnect requirements and conduit requirements
- An inspection of all gas lines in the home from the source to the gas appliances or line termination. This includes all fittings, connections, shut-off valves, gas valves, sediment traps and end caps
- An inspection for spillage and a reading of the draft of gas furnaces and water heaters (Completion of the Indiana Gas Appliance Inspection Form)
- A visual check for flame interference
- A test of the setting and operation of the high limit control switch
- An evaluation of the adequacy of combustion air for combustion appliances
- A check that there are no open return air ducts/leaks in the Combustion Appliance Zone
- Carbon monoxide testing of all gas appliances
- An inspection, and replacement if necessary, of the furnace filter
- Worst case draft test

Client Education:

Auditors will discuss and provide information on appropriate use and maintenance of units and proper disposal of bulk fuel tanks when not removed.

Training:

Auditors receive extensive training in the evaluation of combustion appliances, including heating systems. Home evaluation forms that document existing combustion appliance functionality and combustion gas presence are required to be in every client file. Measurement and careful consideration of the air leakage rate of the dwelling unit prior to, and during, the course of air sealing, are important steps in the weatherization process to ensure safety and appropriateness of the weatherization measures.

Appliances and Water Heaters

Action/Allowability:

Replacement of water heaters is allowed on a case-by-case basis. Replacement and installation of other appliances, including gas cook stoves, are not allowable health and safety costs. Replacement of gas cook stoves is only allowable with LIHEAP funds and in following appropriate LIHEAP program rules. Repair and cleaning of water heaters, stoves and furnaces are allowed.

Indiana's Weatherization Program justifies a replacement with health and safety funds for the following reasons:

- Existing water heater is leaking beyond repair hindering the Weatherization process from proceeding and causing continuing and worsening moisture conditions in the home,

- Gas burner deficiencies, venting issues [draft],interior baffle issues, or a combination of such that renders the water heater beyond repair and a safety hazard to the household, and/or
- Carbon monoxide production above Indiana's standards that cannot be lowered by cleaning, adjusting or repairing.

If the total repair costs for any of the issues stated above would exceed the cost for installation upon initial inspection, sub-grantees will be required to install a new unit. Sub-grantees are required to document the reasons for replacing the water heater in the client's file.

Testing:

Sub-grantees will determine whether water heaters are performing safely. Combustion safety testing is required when combustion appliances are present. The health and safety inspection of combustion appliances, including water heaters, includes the following items:

- An inspection of all gas lines in the home from the source to the gas appliances or line termination. This includes all fittings, connections, shut-off valves, gas valves, sediment traps and end caps
- An inspection for spillage and a reading of the draft of gas furnaces and water heaters (Completion of the Indiana Gas Appliance Inspection Form)
- A visual check for flame interference
- A test of the water temperature with adjustments made as close to 120 degrees as possible
- An evaluation of the adequacy of combustion air for combustion appliances
- A check that there are no open return air ducts/leaks in the Combustion Appliance Zone
- Carbon monoxide testing of all gas appliances
- Check for a properly installed temperature and pressure relief valve on the water heater
- Worst case draft test

Client Education:

Discuss and provide information on appropriate use, maintenance, and disposal of water heaters.

Training:

Auditors receive extensive training in the evaluation of combustion appliances, including water heaters. Home evaluation forms that document existing combustion appliance functionality and combustion gas presence are required to be in every client file. Measurement and careful consideration of the air leakage rate of the dwelling unit prior to, and during, the course of air sealing, are important steps in the weatherization process to ensure safety and appropriateness of the weatherization measures.

Asbestos- in siding, walls, ceilings, etc.

Action/Allowability:

Removal, cutting or drilling of asbestos siding is not allowed. In homes where asbestos siding exists and exterior wall insulation is needed, IHCDA recommends, where possible, insulating the walls from the interior of the home.

Testing:

Sampling and testing for asbestos may only be performed by Indiana licensed asbestos building inspectors and is not required by IHCDA.

Client Education:

Inform the client that suspected asbestos siding is present and how the presence of asbestos will affect the flow of Weatherization services.

Training:

Asbestos training is available at the Environmental Management Institute (EMI). Neither asbestos training nor certification is required by IHCDA. As such, IHCDA does not cover the cost for asbestos training. Basic knowledge of asbestos is covered within the scope of other Weatherization trainings offered through INCAA.

Client Education:

Inform the client that suspected asbestos siding is present and how precautions will be taken.

Training:

Contractor training courses will teach safe practices for siding removal and replacement and how to identify asbestos containing materials.

Asbestos- in vermiculite

Action/Allowability:

When vermiculite is present, unless testing determines otherwise, IHCDA recommends taking precautionary measures as if it contains asbestos. Safe practices include, but are not limited to, utilizing the appropriate personal protective equipment, limiting dust production, limiting foot traffic from the attic to the home, wetting the area to be disturbed and limiting the amount of vermiculite disturbed. Where blower door tests are performed, it is a best practice to perform pressurization instead of depressurization.

Testing:

Sampling and testing for asbestos may only be performed by Indiana licensed asbestos building inspectors and is not required by IHCDA.

Client Education:

Clients will be notified of the existence of vermiculite in the attic and basic precautions against disturbing the material.

Training:

Asbestos training is available at the Environmental Management Institute (EMI). Neither asbestos training nor certification is required by IHCDA. As such IHCDA does not cover the cost for asbestos training. Basic knowledge of asbestos in vermiculite is covered within the scope of other Weatherization trainings offered by INCAA.

Asbestos- on pipes, furnaces, other small covered surfaces

Action/Allowability:

Auditors receive training within other courses offered at INCAA instructing them on the appearance of asbestos tape and insulation. Upon finding these materials in homes the auditors should assume that these materials contain asbestos and use precautionary measures including, but not limited to, utilizing appropriate personal protective gear, limiting dust production and limiting disturbance of the material.

Testing:

Sampling and testing for asbestos may only be performed by Indiana licensed asbestos building inspectorsand is not required by IHCDA.

Client Education:

Clients should be instructed not to disturb suspected asbestos containing material. Auditors will provide asbestos safety information to the client.

Training:

Asbestos training is performed at the Environmental Management Institute (EMI). Neither asbestos training nor certification is required by IHCDA. As such, IHCDA does not cover the cost for training. Basic knowledge of asbestos is covered within the scope of other Weatherization trainings offered by INCAA.

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

Action/Allowability:

Biological concerns or unsanitary conditions are cause for deferral unless other funds are available or the cost is considered when running NEAT or MHEA. Addressing bacteria and viruses is not an allowable cost. Deferral might be necessary in cases where a known agent is present in the home that might create a serious risk to occupants or weatherization workers.

Testing:

Auditors will conduct a sensory inspection for biological and unsanitary conditions.

Client Education:

Auditors will inform the client of observed conditions. Auditors will provide information on how to maintain a sanitary home and steps to correct deferral conditions.

Training:

Auditors receive training on how to recognize biological and unsanitary conditions and when those conditions are cause for deferral. Auditors are also trained in worker safety when coming into contact with biological and unsanitary conditions.

Building Structure and Roofing

Action/Allowability:

Building rehabilitation is beyond the scope of the Weatherization Assistance Program. Homes with conditions that require more than incidental repairs should be deferred or repaired to a condition where weatherization can occur by using OOR funds (see above for restrictions).

Testing:

Auditors will conduct a visual inspection of the building structure and roofing. Auditors will ensure that access to areas necessary for weatherization is safe for entry and performance of assessment, work, and inspection.

Client Education:

Auditors will notify clients of structurally compromised areas.

Training:

Auditors are trained on how to identify structural and roofing issues.

Code Compliance

Action/Allowability:

Correction of preexisting code compliance issues is not an allowable cost in areas other than where weatherization measures are installed. State and local (or jurisdiction having authority) codes must be followed while installing weatherization measures. Condemned properties and properties where "red tagged" health and safety conditions exist that cannot be corrected under this guidance should be deferred or repaired with OOR funds (see above).

Testing:

Auditors will conduct a visual inspection for local code enforcement inspections.

Client Education:

Clients will be informed of observed code compliance issues.

Training:

Auditors are trained in how to determine what code compliance may be required.

Combustion Gases

Action/Allowability:

All gas furnaces, space heaters, and water heaters must be properly vented to ensure all flue products exit the home. Flue systems must be in compliance with all applicable state and local codes and be verified to vent properly by passing all IHCDA required draft testing. Repair and/or replacement of vent systems are an allowable cost for DOE Health & Safety and LIHEAP Mechanical funding.

The sub-grantee may not continue with weatherization work, particularly air sealing the structure, until the combustion gases have been appropriately vented away from the living area. In the case of a plugged or non-functioning vent on a combustion appliance, appropriate steps must be taken to repair, or replace, the vent.

Testing:

Health and safety inspections make sure that systems are present, operable, and performing. The health and safety inspection of combustion appliances, including heating systems, includes the following items:

- The rated and measured BTU input of each gas furnace
- A complete electrical inspection of the furnace including proper grounding, polarity, wiring connections, fuse type and size, element amperage (electrical furnace), disconnect requirements and conduit requirements
- An inspection of all gas lines in the home from the source to the gas appliances or line termination. This includes all fittings, connections, shut-off valves, gas

valves, sediment traps and end caps
- An inspection for spillage and a reading of the draft of gas furnaces and water heaters (Completion of the Indiana Gas Appliance Inspection Form)
- A visual check for flame interference
- A test of the setting and operation of the high limit control switch
- An evaluation of the adequacy of combustion air for combustion appliances
- A check that there are no open return air ducts/leaks in the Combustion Appliance Zone
- Carbon monoxide testing of all gas appliances
- An inspection, and replacement if necessary, of the furnace filter
- Check for a properly installed temperature and pressure relief valve on the water heater
- A measurement and adjustment, if needed, of the water temperature
- Worst case draft test

Client Education:

Auditors will provide clients with combustion safety and hazards information, including the importance of using exhaust ventilation when cooking and the importance of keeping burners clean to limit the production of CO.

Training:

Auditors receive extensive training in the evaluation of combustion appliances. Home evaluation forms that document existing combustion appliance functionality and combustion gas presence are required to be in every client file. Measurement and careful consideration of the air leakage rate of the dwelling unit prior to, and during, the course of air sealing, are important steps in the weatherization process to ensure safety and appropriateness of the weatherization measures.

Drainage- gutters, down spouts, extensions, flashing, sump pumps, landscape, etc

Action/Allowability:

Major drainage issues are beyond the scope of the Weatherization Assistance Program. Homes with conditions that might create a serious health concern are cause for deferral unless other funds are available, the cost is considered when running NEAT or MHEA, or is funded through the OOR program (see above).

Testing:

Auditors will conduct a visual inspection for drainage issues.

Client Education:

Auditors will inform clients of the importance of cleaning and maintaining drainage systems and relay information on proper landscape design.

Training:

Auditors receive training on how to recognize drainage issues.

Electrical, other than knob-and-tube wiring

Action/Allowability:

Minor electrical repairs are allowed with DOE incidental repairs funds where the health and safety of the client is at risk. Additionally, upgrades and repairs are allowed to electrical systems when those repairs are necessary to perform specific weatherization measures.

Testing:

Auditors will conduct a visual inspection for electrical issues. They will also conduct voltage drop and voltage detection tests when needed.

Client Education:

Auditors will provide information to clients on overloading circuits, electrical safety, and electrical risks.

Training:

Auditors are trained in how to identify electrical hazards and are knowledgeable of local codes for compliance.

Electrical, knob-and-tube wiring

Action/Allowability:

Per the electrical inspection section of the 2011 edition of the Indiana Field Guide, auditors identify any knob and tube wiring found in the dwelling and test if to see if it is live. If it is spliced into conventional circuitry, auditors note the breakers or fuses controlling the circuit. Building performance retrofits must conform to NEC or local code.

Live knob and tube wiring can never be covered or surrounded by insulation as a result of any weatherization measure. Boxing of knob and tube wiring prior to insulation is acceptable.

Testing:

Auditors will inspect for the presence and condition of knob-and-tube wiring and check for alterations that might create an electrical hazard. Voltage drop and voltage detection tests are allowed.

Client Education:

Auditors will provide clients with information on over-current protection, overloading circuits, and basic electrical safety and risks.

Training:

Auditors are instructed to avoid insulating over or dense packing around live knob and tube wiring while installing insulation in attics, floors, or walls. Boxing of knob and tube wiring prior to insulation is acceptable.

Fire Hazards

Action/Allowability:

Correction of fire hazards is an allowable cost when necessary to safely perform weatherization.

Testing:

Auditors will check for fire hazards in the home during the audit and while performing weatherization.

Client Education:

Auditors will inform the client of observed fire hazards.

Training:

Auditors are trained on how to recognize potential hazards and when removal is necessary.

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

Action/Allowability:

Removal of pollutants that might create a serious health concern are cause for deferral unless other funds are available, the cost is considered when running NEAT or MHEA or is funded through the OOR program (see above). If removal cannot be performed or is not allowed by the client, the unit must be deferred.

Testing:

Auditors will conduct a sensory inspection for formaldehyde, VOCs, and other air pollutants.

Client Education:

Auditors will inform clients of the observed conditions and the associated risks. Auditors will provide the client written materials on safety and proper disposal of household pollutants.

Training:

Auditors are trained on how to recognize potential hazards and when removal is necessary.

Injury Prevention of Occupants and Weatherization Workers—measures such as repairing stairs and replacing handrails

Action/Allowability:

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

Testing:

Auditors will observe if dangers are present that would prevent weatherization.

Client Education:

Auditors will inform clients of observed hazards and associated risks.

Training:

Auditors are trained to be aware of potential hazards.

Lead Based Paint

In response to DOE's actions in adopting the EPA's revised lead protocols, Indiana underwent a number of steps in order to adhere to the new EPA standards as outlined in the Renovation, Repair, and Painting Rule (RRP). Indiana is compliant with this rule and the steps taken to be compliant are outlined below:

- All 23 sub-grantees have at least one XRF analyzer. Recalibration of the XRF is not an allowable cost with DOE funds. All recalibration expenses must be paid for with LIHEAP dollars. See the policies and procedures manual for further details.
- All sub-grantees will be required to maintain Lead Firm status through the EPA ·All sub-grantees will have at least one staff member who has achieved their Renovator certification.
- The Environmental Management Institute (EMI) is the training provider for lead renovator training.
- Monitoring has included an LSW component which reviews practices, inventory, and reporting.

The purpose of the steps outlined above is to ensure full compliance with the EPA rule and to ultimately provide a better service to those clients which live in housing built prior to 1978 wherein the weatherization program will be disturbing more than the de minimus levels of painted surface.

Indiana has implemented a policy regarding lead based paint procedures on homes being weatherized. This policy includes providing clients with the pamphlet "Renovate Right: Important Lead Hazard Information for Families, Child Care Providers and Schools" and obtaining certification that they received the form. Sub-grantee staff working in homes are trained on how to work in a safe lead environment to ensure adherence to EPA, OSHA Rule 29 CFR 1926 as well as to HUD's Lead Paint Hazard Control, 24 CFR 35 (Part 35). All sub-grantees performing weatherization services are encouraged to obtain Pollution Occurrence Insurance.

New employees are trained on lead safe work practices within the first six months of employment to protect employees from the hazards of lead during weatherization work, to limit worker exposure to airborne lead during weatherization, and to ensure that employers such as CAA's communicate the hazards of all hazardous chemicals in the workplace by:

1. Labeling all containers of hazardous chemicals
2. Having a written hazard communication program
3. Providing material safety data sheets, including on lead
4. Training workers on safe chemical practices during normal and emergency actions.

What must sub-grantees do?

1. Provide the Lead Paint pre-renovation education form to all clients and landlords.
2. Either:
    1. Use the XRF machine to determine levels of lead in work areas as well as in individual components that might be disturbed when completing weatherization work.
    2. Assume Lead Based Paint and follow Lead Safe Work Practices including clean-up and cleaning verification as outlined in the RRP rule for applicable housing.
3. **Utilize IHCDA's Minor Paint Disturbance Policy as outlined below:**

    - All homes built prior to 1978, where paint will be disturbed and the paint is either verified or assumed to be lead based paint, the following lead safe work practices, at a minimum, shall be used:
        - Lay 6 mil plastic 10' beyond the area where lead based paint is disturbed (exterior)
        - Lay 6 mil plastic 6' beyond the area where lead based paint is disturbed (interior)
        - Wet the area of paint being disturbed
        - Wet all paint chips prior to clean-up and removal

- Limit access to the area where paint is being disturbed
- Ensure that all appropriate personal protective equipment is used
- Ensure proper disposal of trash and material
- Provide pictures for the client file showing use of lead safe work practices
- Use the XRF to limit the need for lead safe work practices

Sub-grantees shall use the following lead-safe work practices whenever known or presumed lead-based paint is disturbed. Please note that additional work practices are required when the work is covered by the HUD rule.

Sub-grantees will not be required to follow Lead-Safe guidelines for the following repairs, per the RRP Rule.

- Renovation or repair to housing built in 1978 or later
- Renovation or repair to zero-bedroom dwellings (studio apartments, dormitories, etc.).
- Renovation or repair to housing or components declared lead-free by a certified inspector or risk assessor
- Minor repair and maintenance activities that disturb 6 square feet or less of paint per room inside, or 20 square feet or less on the exterior of a home or building
- Note: minor repair and maintenance activities do not include window or door replacement and projects involving demolition or prohibited practices

All sub grantees must follow the following pre-renovations education requirements in all homes which do not meet the exemption criteria mentioned above.

- In housing, you must distribute EPA's lead pamphlet to the owner and occupants before renovation starts.
- For work in common areas of multi-family housing or child-occupied facilities, you must distribute renovation notices to tenants or parents/guardians of the children attending the child-occupied facility. Or you must post informational signs about the renovation or repair job.

Informational signs must:

1. Be posted where they will be seen;
2. Describe the nature, locations, and dates of the renovation; and
3. Be accompanied by the lead pamphlet or by information on how parents and guardians can get a free copy (see page 31 for information on obtaining copies).

Sub-grantees must obtain confirmation of receipt of the lead pamphlet (see page 23) from the owner, adult representative, or occupants (as applicable), or a certificate of mailing from the post office.

As of April 22, 2010 all sub grantees must comply with the following guidelines:

- Firms must be certified
- Renovators must be certified
- Lead-safe work practices must be followed

Firm Responsibilities

Firms performing renovations must ensure that:

1. All individuals performing activities that disturb painted surfaces on behalf of the firm are either certified renovators or have been trained by a certified renovator;
2. A certified renovator is assigned to each renovation and performs all of the certified renovator responsibilities;
3. All renovations performed by the firm are performed in accordance with the work practice standards of the Lead-Based Paint Renovation, Repair, and Painting Program
4. Pre-renovation education requirements of the Lead-Based Paint Renovation, Repair, and Painting Program are performed;
5. The program's recordkeeping requirements are met.

Renovator Certification

To become a certified renovator an individual must successfully complete an eight-hour initial renovator training course offered by an accredited training provider (training providers are accredited by EPA, or by an authorized state or tribal program). The course completion certificate serves as proof of certification. Training providers can apply for accreditation for renovator and dust sampling technician training beginning in April 2009. Once accredited, trainers can begin to provide certification training.

Any sub-grantee staff or contractors who have successfully completed an accredited lead abatement worker or supervisor course, or individuals who have successfully completed an EPA, Department of Housing and Urban Development (HUD), or EPA/HUD model renovation training course, need only take a four-hour refresher renovator training course instead of the eight-hour initial renovator training course to become certified.

Renovators at either the sub-grantee or the sub-grantee's contractor must adhere to the following:

1. Must use a test kit or paint chip sample acceptable to EPA, when requested by the party contracting for renovation services, to determine whether components to be affected by the renovation contain lead-based paint
2. Must provide on-the-job training to workers on the work practices they will be using in performing their assigned tasks
3. Must be physically present at the work site when warning signs are posted, while the work-area containment is being established, and while the work-area cleaning is performed
4. Must regularly direct work being performed by other individuals to ensure that the work practices are being followed, including maintaining the integrity of the containment barriers and ensuring that dust or debris does not spread beyond the work area
5. Must be available, either on-site or by telephone, at all times renovations are being conducted.
6. Must perform project cleaning verification
7. Must have with them at the work site copies of their initial course completion certificate and their most recent refresher course completion certificate
8. Must prepare required records

Work Practice Requirements: General

1. Renovations must be performed by certified firms using certified renovators and trained workforce;
2. Firms must post signs clearly defining the work area and warning occupants and other persons not involved in renovation activities to remain outside of the work area. These signs should be in the language of the occupants;
3. Prior to the renovation, the firm must contain the work area so that no dust or debris leaves the work area while the renovation is being performed;
4. Work practices listed below are prohibited during a renovation:
    1. Open-flame burning or torching of lead-based paint;
    2. Use of machines that remove lead-based paint through high speed operation such as sanding, grinding, power planning, needle gun, abrasive blasting, or sandblasting, unless such machines are used with HEPA exhaust control; and
    3. Operating a heat gun on lead-based paint at temperatures of 1100 degrees Fahrenheit or higher.
5. Waste from renovations:
    1. Waste from renovation activities must be contained to prevent releases of dust and debris before the waste is removed from the work area for storage or disposal.
    2. At the conclusion of each work day and at the conclusion of the renovation, waste that has been collected from renovation activities must be stored to prevent access to and the release of dust and debris.
    3. Waste transported from renovation activities must be contained to prevent release of dust and debris.

Work Practice Requirements: Specific to Interior Renovations

1. Remove all objects from the work area or cover them with plastic sheeting with all seams and edges sealed.
2. Close and cover all ducts opening in the work area with taped-down plastic sheeting.
3. Close windows and doors in the work area. Doors must be covered with plastic sheeting.
4. Cover the floor surface with taped-down plastic sheeting in the work area a minimum of six feet beyond the perimeter of surfaces undergoing renovation or a sufficient distance to contain the dust, whichever is greater.
5. Use precautions to ensure that all personnel, tools, and other items, including the exteriors of containers of waste, are free of dust and debris when leaving the work area.
6. After the renovation has been completed, the firm must clean the work area until no dust, debris or residue remains. The firm must:
    1. Collect all paint chips and debris, and seal it in a heavy-duty waste bag.
    2. Remove and dispose of protective sheeting as waste.
    3. Clean all objects and surfaces in the work area and within two feet of the work area in the following manner:
        1. Clean walls starting at the ceiling and working down to the floor by either vacuuming with a HEPA vacuum or wiping with a damp cloth.
        2. Thoroughly vacuum all remaining surfaces and objects in the work area, including furniture and fixtures, with a HEPA vacuum.
        3. Wipe all remaining surfaces and objects in the work area, except for carpeted or upholstered surfaces, with a damp cloth. Mop uncarpeted floors thoroughly using a mopping method that keeps the wash water separate from the rinse water, or using a wet mopping system.
    4. Cleaning verification is required to ensure the work area is adequately cleaned and ready for re-occupancy. See Flow Chart 6 for instructions on performing cleaning verification for interior projects.

Work Practice Requirements: Specific to Exterior Renovations

1. Close all doors and windows within 20 feet of the renovation.
2. Ensure that doors within the work area that will be used while the job is being performed are covered with plastic sheeting in a manner that allows workers to pass through while confining dust and debris.
3. Cover the ground with plastic sheeting or other disposable impermeable material extending a minimum of 10 feet beyond the perimeter or a sufficient distance to collect falling paint debris, whichever is greater.
4. In situations such as where work areas are in close proximity to other buildings, windy conditions, etc., the renovation firm must take extra precautions in

containing the work area, like vertical containment.

5. After the renovation has been completed, the firm must clean the work area until no dust, debris or residue remains. The firm must:
    1. Collect all paint chips and debris, and seal it in a heavy-duty waste bag.
    2. Remove and dispose of protective sheeting as waste.
    3. Waste transported from renovation activities must be contained to prevent release of dust and debris. A certified renovator must perform a visual inspection-is dust, debris, or residue present?
    4. These conditions must be eliminated and another visual inspection must be performed.
6. Once the area has been adequately cleaned you're finished.

Renovators at either the sub grantee or the sub grantee's contractor must adhere to the following:

1. Must use a test kit or paint chip sample acceptable to EPA, when requested by the party contracting for renovation services, to determine whether components to be affected by the renovation contain lead-based paint (EPA will announce which test kits are acceptable prior to April 2010. Please check our Web site at www.epa.gov/ lead).
2. Must provide on-the-job training to workers on the work practices they will be using in performing their assigned tasks.
3. Must be physically present at the work site when warning signs are posted, while the work-area containment is being established, and while the work-area cleaning is performed.
4. Must regularly direct work being performed by other individuals to ensure that the work practices are being followed, including maintaining the integrity of the containment barriers and ensuring that dust or debris does not spread beyond the work area.
5. Must be available, either on-site or by telephone, at all times renovations are being conducted.
6. Must perform project cleaning verification.
7. Must have with them at the work site copies of their initial course completion certificate and their most recent refresher course completion certificate.
8. Must prepare required records.

All sub grantees are also subject to the following recordkeeping requirements:

- All documents must be retained for three years following the completion of a renovation.
- Records that must be retained include:
    - Reports certifying that lead-based paint is not present.
    - Records relating to the distribution of the lead pamphlet.
- Documentation of compliance with the requirements of the Lead-Based Paint Renovation, Repair, and Painting Program (EPA has prepared a sample form that is available at

www.epa.gov/lead/pubs/samplechecklist.pdf <http://www.epa.gov/lead/pubs/samplechecklist.pdf>).

Mold and Moisture

Action/Allowability:

The Weatherization Assistance Program is not a mold remediation program. The use of DOE funds for removal of mold and other related biological substances is not an allowable weatherization expense. DOE funds should not be used to test, abate, remediate, purchase insurance, or alleviate existing mold conditions identified during the audit, the work performance period, or the quality control inspection. Low cost or no cost measures to clean moisture damaged surfaces are allowed and may be charged to Health and Safety. Houses with mold and moisture issues that require more than no cost or low cost measures must be deferred or remedied with the use of OOR money.

Sub-grantees must measure indoor humidity levels and potential sources for excess moisture. Identified problems and sources are documented on the Moisture Assessment Findings form that is signed by the local sub-grantee, client, and/or landlord. The Indiana Moisture Assessment Form lists moisture conditions that exist in the home at the time of initial audit before any weatherization measures were installed. The conditions must also be confirmed by the shell crew/contractor prior to performing their work. This form must be present in every file in compliance with DOE Program Guidance 05-1.

Testing:

Visual assessment is required and diagnostics, such as moisture meters, are recommended at initial audits and prior to final inspections. Mold testing is not an allowable cost.

Client Education:

Solutions for mold remediation and educational talking points are discussed with the homeowner and/or occupants to determine roles in creation of problems and/or mitigation. Occupants are given a copy of the Environmental Protection Agency (EPA) brochure, "A Brief Guide to Mold, Moisture, and Your Home" as part of the client education process.

Training:

Each sub-grantee's crews or contractors receive specialized training in moisture awareness, ventilation, indoor air quality, and mold hazards. A mold awareness course is offered by the training and technical service provider and teaches Weatherization technicians and auditors how to identify the conditions that promote mold growth. This class identifies treatment options for less extensive mold conditions and best Weatherization practices to prevent mold growth. This class also discusses the health aspects related to mold and moisture issues for both workers and clients. This course is intended to prepare technicians and auditors to know how to safely proceed with Weatherization services or when to defer the home until serious mold and moisture conditions have been eliminated.

Occupant Preexisting or Potential Health Conditions

Action/Allowability:

When a person's health may be at risk and/or the work activities could constitute a health or safety hazard, the occupant at risk will be required to take appropriate action based on severity of risk. Appropriate action could include but not be limited to removal of excessive trash and debris, proper cleaning of moisture damaged surfaces, or removal of an unapproved alternative heat source. Failure or the inability to take appropriate actions must result in deferral.

Testing:

Auditors must require the client to reveal known or suspected health concerns as part of initial application for weatherization. Auditors must screen occupants again during the audit.

Client Education:

Auditors provide clients information of any known risks.

Training:

Auditors are trained on how to assess a client's preexisting conditions and determine what action to take if the home is not deferred. They are also trained on awareness of potential hazards.

Occupational Safety and Health Administration (OSHA) and Crew Safety

Action/Allowability:

Workers must follow OSHA standards and Material Safety Data Sheets (MSDS) and take precautions to ensure the health and safety of themselves and other workers. MSDS must be available wherever workers may be exposed to hazardous materials.

Testing:

Sub-grantees must perform assessments to determine if crews are practicing and utilizing safe work practices.

Client Education:

Not applicable.

Training:

The OSHA 10 hour training is required for all weatherization workers. The OSHA 30 hour training is required for all crew leaders and HVAC personnel working alone. All new weatherization workers must receive the appropriate OSHA training within six months commencing 45 days from the date of hire.

Pests

Action/Allowability:

Pest removal is cause for deferral unless other funds are available to cover the cost of extermination.

Testing:

Auditors will assess the presence and degree of infestation and risk to workers.

Client Education:

Auditors will inform clients of the observed condition and associated risks.

Training:

Auditors are trained in how to assess the presence and degree of infestation, associated risks, and need for deferral.

Radon

Action/Allowability:

Whenever site conditions permit, exposed dirt must be covered with a vapor barrier. In homes where radon may be present, precautions should be taken to reduce the likeliness of making radon issues worse. Radon abatement is not an allowable activity with DOE funds; major radon problems are deferred and referred to the appropriate local environmental agency.

Testing:

Radon testing is not currently required by IHCDA.

Client Education:

Auditors discuss the potential existence of radon with the clients where appropriate.

Training:

Auditors are trained on what radon is, how it occurs, what factors might make it worse, and what weatherization measures can be helpful to radon control. Crews and contractors are trained in vapor barrier installation.

Refrigerant

Action/Allowability:

Sub-grantees may reclaim refrigerant per the Clean Air Act of 1990. Section 608, as amended by 40 CFR 82, 5/14/1993.

Testing:

Auditors or contractors use EPA testing protocols.

Client Education:

Clients are instructed not to disturb refrigerants.

Training:

Auditors and contractors are trained on the EPA-approved section 608 type I or universal certification.

Smoke and Carbon Monoxide Alarms and Fire Extinguishers

Action/Allowability:

The installation of smoke and carbon monoxide alarms is an allowable expense with DOE funds where alarms are not present or inoperable. Replacement of operable smoke and/or carbon monoxide alarms is not an allowable cost.

Testing:

Auditors will check existing smoke and carbon monoxide alarms for operation.

Client Education:

Auditors will provide the client with verbal and written information on the use of smoke and carbon monoxide alarms and fire extinguishers where allowed.

Training:

Auditors, crews, and contractors are trained on where to install smoke and carbon monoxide alarms.

Solid Fuel Heating (wood stoves, etc)

Action/Allowability:

Maintenance, repair, and replacement of primary indoor heating units is allowed where a client's health and safety is a concern.

Testing:

Auditors must complete the solid wood fuel inspection form as part of their audit. This form is located in Indiana's 2011 Weatherization Field Guide, Chapter 4 and page 4-92.

Client Education:

Auditors provide clients with safety information including recognizing depressurization.

Training:

Auditors are trained on how to perform a CAZ depressurization test and conduct a proper inspection of solid fuel heating systems.

Space Heaters, Stand Alone Electric

Action/Allowability:

Repair, replacement, or installation of electric stand alone space heaters is not allowed. Removal of these space heaters is recommended. The energy auditor is required to perform a complete evaluation of the heating system on each home weatherized. Part of this evaluation will be determining what modifications or replacements are required. Stand alone electric heaters cannot be left in place as a client's sole source of heat. If provisions cannot be made for the installation of a permanent heating source, the home must be deferred. In instances where a new heating system is installed, the client will be educated on the new heating system and advised against using the stand alone electric space heater. Should the stand alone electric space heater be found to be unsafe for use in the client's home, it must be removed from use prior to weatherization proceeding.

Testing:

Auditors check overall electrical safety of the home as part of their initial audit process.

Client Education:

Auditors must inform the client of hazards associated with the use of standalone electric space heaters and collect a signed waiver if removal is not allowed by the client.

Training:

Auditors are trained to be aware of this guidance.

Space Heaters, Unvented Combustion

Action/Allowability:

Removal of unvented combustion space heaters is required, except as an emergency heat source as allowed by DOE WPN 08-4. Unvented space heaters are only allowed to remain in the home when meeting all requirements as outlined in the Unvented Gas Space Heater Inspection Form, Appendix L, IHCDA's Policy and Procedure Manual. This form must be completed and placed in the client file where either an unvented space heater was removed or remains in the home.

Testing:

Carbon monoxide testing, combustion air requirements and completion of the Unvented Gas Space Heater Inspection Form are required.

Client Education:

Auditors must inform clients of the dangers of unvented space heaters and specifically the dangers of carbon monoxide and moisture production.

Training:

Auditors are trained on the dangers of unvented space heaters and how to perform air-free carbon monoxide tests.

Space Heaters, Vented Combustion

Action/Allowability:

Vented gas combustion space heaters are an acceptable source of heat and must be tested the same as gas furnaces. Replacements, where necessary, follow the same guidelines as gas furnaces.

Testing:

Auditors must test vented space heaters in the same manner as a gas furnace and complete Indiana's Gas Appliance Inspection Form.

Client Education:

Auditors inform clients of the work performed to their space heaters, safe and efficient operating tips, and maintenance issues.

Training:

Auditors are trained on appropriate testing, operation and venting requirements for vented space heaters.

Spray Polyurethane Foam

Action/Allowability:

Use of two-part foam is acceptable where all applicable EPA, OSHA and IHCDA requirements are followed.

Testing:

Auditors determine the most appropriate use for two-part foam based upon pricing, cost effectiveness and conditions in the home.

Client Education:

Auditors notify the client of the plans to use two-part foam and the precautions that may be necessary.

Training:

Auditors, crews and contractors are trained on the proper use, application and safety concerns for two-part foam.

Ventilation

Action/Allowability:

ASHRAE 62.2 is required to be met to the fullest extent possible. Indiana utilizes an automated ASHRAE form that calculates, based upon dwelling information input, the CFM of exhaust required in each home weatherized. IHCDA has sumbitted a request to DOE to establish a 15 CFM minimum threshold for applying the ASHRAE 62.2 standard. A copy of the request is attached to Indiana's SF-424.

Testing:

Each home is evaluated to meet the ASHRAE 62.2 standard at the initial audit. Fans installed as a result of ASHRAE 62.2 are tested for proper flow and adjusted to meet blower door readings at the time work is completed.

Client Education:

Auditors will provide clients with information on function, use, and maintenance of ventilation systems and components. Auditors will include a disclaimer that ASHRAE 62.2 does not account for high polluting sources or guarantee indoor air quality.

Training:

Auditors are required to complete ASHRAE 62.2 training which includes evaluation of existing and new systems, depressurization tightness limits, critical air zones, moisture assessments and completion of Indiana's ASHRAE 62.2 calculation form. Indiana's ASHRAE 62.2 training curriculum includes proper fan selection, operational controlls (timers and switches), fan settings, and client education.

Window and Door Replacement, Window Guards

Action/Allowability:

Replacement, repair, or installation of windows and doors is not an allowable health and safety expense but may be allowed as an incidental repair in Base Program Operations on a case-by-case basis if considered when running NEAT and MHEA and the measure is cost justified. When incidental repair dollars are used for the installation of windows or doors, clear documentation must be present in the client file as to why this decision was made and what conditions were that led to this work being necessary. Required documentation can include but not be limited to: pre and/or post digital photographs, written documentation of the energy auditor's observations at the initial audit, or Moisture Assessment Form notations indicating these measures were necessary for the weatherization services to proceed. IHCDA strongly discourages the installation of doors and windows in Indiana's Weatherization Assistance Program.

Testing:

Not applicable.

Client Education:

Not applicable.

Training:

Auditors are trained on the proper application of incidental repairs, the proper use of NEAT/MHEA and how to recognize the most fitting energy efficient measures for each home weatherized.

V.8 Program Management

V.8.1 Overview and Organization

The Indiana Weatherization Assistance Program is administered by the Indiana Housing and Community Development Authority (IHCDA). IHCDA is a quasi-governmental agency that administers numerous programs including the Low-Income Housing Tax Credit program, First-Time Home Buyer Assistance, Community Development Block Grant, HOME Investment Partnership funds, Emergency Shelter Grant, Low-Income Household Energy Assistance Program, Community Services Block Grant, and Neighborhood Stabilization Program, among others. IHCDA is located within the Family of Business of the Indiana Lieutenant Governor's Office. IHCDA is located in Indianapolis, IN.

IHCDA staff responsbile for the oversight of the Weatherization Assistance Program in Indiana are Chief Community Programs Officer Donna Billiard Wright, Community Programs Manager Ray Judy, Community Programs Analyst Pamela Emery, and Community Programs Monitor Steve Osborne.

IHCDA utilizes the Indiana Community Action Association (INCAA) as the Weatherization Training Center for Indiana. INCAA is IREC acredited in all four of DOE's Job Task Analyses and has three IREC Certified Master Trainers. INCAA is located in Indianapolis, IN.

Additionally IHCDA utilized the Environmental Management Institute (EMI) to peform lead based paint and OSHA training. EMI is located in Indianapolis, IN.

Indiana utilizes twenty-three (23) sub-grantees to administer the Weatherization Assistance Program (WAP). Twenty-one (21) sub-grantees are Community Action Agencies, one (1), People Working Cooperatively, is a nonprofit agency, and one (1), Job Source,(DBA CICAP) is a unit of local government.

In August 2013, IHCDA reassigned three counties of service territory from NWICA to NCCAA. This reassignment is temporary unitl IHCDA can either establish that NWICA can improve performance to regain these counties or if a RFP will be necessary to permanently assign this territory.

V.8.2 Administrative Expenditure Limits

Section 500 of Indiana's Weatherization Policy and Procedures Manual addresses the adminstrative limits for DOE funds as follows:

Administration – ***Actual costs,*** associated with administration include *fiscal, executive, support operations, rent and utilities, supplies, copying, etc.* This applies to staff engaged in program administration.

If this grant is $350,000.00 or more, the sub-grantee may use no more than 5% of total grant amount expenditures for administrative purposes. Grantees with a grant of less than $350,000.00 may use no more than 10% of total grant amount expenditures in this budget line. If an award increases during a program year to more than $350.000.00, the amount over $350,000.00 will be held to the 5% limit.

For the 2014 DOE funding cycle, IHCDA will issue 7% of appropriate funding to thier sub-grantees and retain 3% for State use.

V.8.3 Monitoring Activities

IHCDA has one monitor who spends 100% of his time monitoring on the Weatherization sub grantees. IHCDA's Community Programs Manager oversees and supports both the monitor and contracted staff. In addition to field inspections, IHCDA visits each sub grantee for programmatic, fiscal and technical reviews at least once per program year. All monitoring is performed in real time meaning that monitoring will keep pace with sub grantee production during the course of a grant year. IHCDA's monitoring process includes, when feasible, performing In-Progress site visits. The primary purpose of monitoring visits are to assist the sub grantee in providing high quality energy conservation services to low income homes.

The following information is taken from Section 700 of Indiana's Weatherization Policy and Procedures Manual detailing sub-grantee monitoring procedures in Indiana.

The primary purpose of monitoring visits is to assist the Weatherization Sub grantee in providing high quality energy conservation services to low income people. Monitoring also provides compliance review and information sharing to Weatherization Sub-grantees to ensure that:

High quality, comprehensive weatherization services are provided consistently throughout the state

Healthy, safe, and energy efficient housing improvements are provided to low-income households

Program accountability and efficiencies are in effect and verifiable

Innovative technological advances are promoted as funding allows

702 STANDARDS AND PRACTICES Program Monitoring:

IHCDA will perform real-time Program Monitoring for each Weatherization Sub-grantee at least once a year. The program monitoring includes a review of Program Administration, Procurement, Training & Licensing, Database Input, Fiscal Information, Client File Review and Field Inspections. At least 10% of completed client files will be reviewed. Each area of the Program Review is explained in more detail below.

Program Administration – IHCDA will review agency policies as they apply to awarding priority, wait list maintenance, rental policies, and client redetermination.

Procurement – This section covers materials procurement and selection; contractor selection, procurement, and evaluation; price lists and written procurement standards.

Training and Licensing - IHCDA monitors will review whether the Weatherization Program Manager is using appropriately trained/competent staff to perform various job functions. The use of subcontractors will be reviewed to determine compliance with job function training requirements as outlined in *Section 600* of this manual. Monitors will also review contractors for compliance with local licensing standards. Agency lead based paint practices and compliance with EPA and HUD regulations will also be reviewed.

Database Input – A selection of the client files are checked to ensure information from the client files is getting entered into the IWAP database accurately and completely.

Fiscal – IHCDA will be checking for appropriate payment processing as specified in *Section 500* of this manual. Monitors will also be looking at grant utilization to make sure funding is utilized in allowable combinations, that Weatherization Program Managers have made use of all utility dollars first, that contractors are paid within the allowable payment period, and that the back-up documentation provided with claims is appropriate to the claim made.

Client File Review – Files will be pulled at random from completions entered into the weatherization software. These files will be checked for correct forms, accurate information, appropriate work processes, and eligibility verification. Monitors will also request a sampling of deferred files to review for appropriate documentation and appropriate deferral. A minimum of 10% of all completed units will be reviewed.

Field Inspections (See Technical Monitoring below) – IHCDA staff will conduct on-site inspections of a sample of dwellings pulled from the file review or at random from the IWAP database. The purpose of this monitoring is to ensure that weatherization services are provided in a professional manner in compliance with all standards, regulations and policies set forth by IHCDA. The local sub-grantee is responsible for quality control on all completed units and the final inspection completed by staff or contractors attests to the level of quality, professionalism, and appropriateness of all measures performed. The field inspection will cover the appropriateness of: Base Load, Shell, and Health and Safety measures. During the field inspection, IHCDA staff will be checking for all invoiced materials, justification for the number of labor hours charged, initial and final audit detail, adherence to technical standards, and accuracy of agency diagnostics.

Training and Technical Assistance (T&TA) – The purpose of T&TA is to provide agencies with assistance in the technical aspects of the weatherization program. IHCDA monitors are available for consultation via the phone or email on a daily basis. If agency personnel feel it necessary, and time allows, IHCDA monitoring personnel may be available for T&TA visits to the sub-grantee.

Quality Improvement Plan – Program Monitoring visits uncovering serious, numerous or recurring findings may result in the agency being placed on a 120-day Quality Improvement Plan [QIP]. The intent of the QIP is to help the agency improve the areas of deficiency. As part of the QIP, IHCDA monitors will make additional visits to the agency during the 120-day period to ensure changes are being implemented and all noted findings are being resolved. The QIP may be extended or modified as deemed necessary by IHCDA to accomplish the needed sub-grantee improvement. IHCDA also reserves the right to issue a modified QIP, which could encompass fewer visits or a modified timetable.

Technical Monitoring:

IHCDA will perform real-time Technical Monitoring for each Weatherization Sub-grantee at least once a year. Technical Monitoring will evaluate the appropriateness of Base Load, Shell and Health & Safety measures. The Technical Monitoring will also review and inspect for all invoiced materials, justification for the number of labor hours charged, initial and final audit detail, adherence to technical standards and accuracy of sub-grantee diagnostics. Additionally the Technical Monitoring will cover the quality, professionalism and appropriateness of all measures performed or installed. A minimum of 5% of all completed homes will be monitored.

Sub-grantee responses to technical findings MUST include documentation verifying that all findings have been corrected.

IHCDA's monitor will, when possible, incorporate in-progress visits to client homes as part of the Technical Monitoring visit.

If a client is a "no show" for a scheduled Technical Monitoring visit, an in-progress visit shall be performed during the time of the original appointment. It is the sub-grantees responsibility to know the locations where their contractors or crews are working to facilitate the in-progress visit under these circumstances.

Quality Improvement Plan – Technical Monitoring visits uncovering serious, numerous or recurring findings may result in the agency being placed on a 120-day Quality Improvement Plan [QIP]. The intent of the QIP is to help the agency improve the areas of deficiency. As part of the QIP, IHCDA monitors will make additional visits to the agency during the 120-day period to ensure changes are being implemented and all noted findings are being resolved. The QIP may be extended or modified as deemed necessary by IHCDA to accomplish the needed sub-grantee improvement. IHCDA also reserves the right to issue a modified QIP, which could encompass fewer visits or a modified timetable.

703 MONITORING PROCESS FOR STANDARD DOE ALLOCATIONS Program Monitoring

IHCDA's monitoring staff prepares the monitoring schedule and contacts each sub-grantee to establish the necessary appointments. Requests for Program Monitoring include notification of the client files chosen for review and all additional information such as financial, procurement, training, etc. Upon completion of the Program Monitoring IHCDA's monitor will perform an exit interview to summarize any issues discovered during the monitoring and offer suggestions for improvement. Within thirty business days of the exit interview IHCDA will issue a written report to the sub-grantee. The sub-grantee will then have fifteen business days as outlined within IHCDA's report to respond in writing to IHCDA. Upon receiving the sub-grantee's response, IHCDA's monitor will review the documentation and clear the monitoring as warranted. If additional information is required from the sub-grantee, IHCDA will issue a follow-up response detailing what information is needed with an appropriate deadline for the response. This process will continue until all items in the report are cleared and the monitoring closed.

Technical Monitoring IHCDA's monitoring staff prepares the monitoring schedule and contacts each sub-grantee to establish the necessary appointments. Requests for Technical Monitoring include a list of desired homes to visit as well as alternates should clients not be available the date of the visit. Upon completion of the Technical Monitoring IHCDA's monitor will perform an exit interview to summarize any issues discovered during the monitoring and offer suggestions for improvement. For Technical Monitoring visits, an exit interview may be delayed, conducted via telephone or other means as situations permit and the parties agree. Within thirty business days of the exit interview IHCDA will issue a written report to the sub-grantee. The sub-grantee will then have fifteen business days as outlined within IHCDA's report to respond to IHCDA. Upon receiving the sub-grantee's response, IHCDA's monitor will review the documentation and clear the monitoring as warranted. If additional information is needed from the sub-grantee IHCDA will issue a follow-up response detailing what information is needed with an appropriate deadline for response. This process will continue until all items in the report are cleared and the monitoring closed.

Effective April 1, 2014 sub-grantees are prohibited from revisiting client homes chosen by IHCDA for Technical Monitoring. Homes that are found to have been "revisited" prior to the Technical Monitoring visit will result in at least one additional home being selected for monitoring. Additionally IHCDA may, at their discretion, require a Return of Funds for all expenses associated with the revisited home thereby removing it as a completed unit.

704 LIHEAP PROGRAM AND TECHNICAL MONITORING

Monitoring for LIHEAP and STATE LIHEAP funds will be performed in conjunction with DOE monitoring and/or as deemed necessary by IHCDA. LIHEAP and STATE LIHEAP monitoring practices will be the same as outlined above for DOE with the exception of the percentage of client file and technical completions monitored. The percentages for client file and technical monitoring will be determined by IHCDA based upon funding levels and sub-grantee performance.

For homes utilizing DOE and LIHEAP funds both funding sources are monitored as outlined above. IHCDA estimates that approximately 60% of Weatherization completions in Indiana utilize both DOE and LIHEAP funding.

705 MONITORING NOTES

IHCDA reserves the right to question all associated costs and may require that the sub-grantee repay grant funds to IHCDA out of private agency funds or non-federal dollars. Examples for repayment are the following: insufficient justification for work performed, insufficient documentation, ineligible clients, lack of adherence to policy or Federal guidelines or negligence is evident resulting in a dangerous condition for a client.

IHCDA monitoring staff may use alternate procedures or request additional information to verify compliance when it is necessary or deemed appropriate.

Failure by the sub-grantee to respond in writing to the monitoring report by the established deadline may result in claims being held by IHCDA until the proper response is received.

IHCDA's full time monitor currently carries the following credentials: Indiana Competent Final Inspector expiring August 13, 2015, Indiana licensed Lead Risk Assessor expiring August 27, 2014 and Certified Lead Renovator expiring October 20, 2014 (Expiration date extended to July 2015 by EPA). IHCDA's full time monitor performs administrative, financial and technical monitoring for Indiana's subgrantees. IHCDA's monitor has passed the written exam for DOE's QCI and is scheduled to perform the skills testing.

IHCDA's Community Programs Manager assists with monitoring as needed, especially with struggling or problematic subgrantees. The Community Programs Manager currently carries the following credentials: Indiana Competent Energy Auditor expiring February 15, 2016, Indiana Competent Final Inspector expiring August 13, 2015, Indiana licensed Lead Risk Assessor expiring June 30, 2016 and Certified Lead Renovator expiring October 20, 2014 (Expiration date extened to July 2015 by EPA). IHCDA's Community Programs Manager has received permission to sit for the QCI test and intends to test by the end of June 2014.

IHCDA regularly tracks DOE, LIHEAP and State LIHEAP expenditures, production and average cost per home.

Sub-Grantees failing to spend at least 80% of their awarded grant funds could be subject to funding allocation reduction or redistribution at IHCDA's discretion.

IHCDA may, at their discretion, reallocate funding during the grant cycle should grant tracking reveal low sub-grantee expenditure or production rates.

Sub-grantees eligible for redistributed funds will be determined based on, but not limited to, the following criteria:
Current level of expenditures for all active weatherization related programs
Timely and accurate submission of claims
Depth of existing waiting list
Timely and accurate submission of past closeouts
Financial and program management capacity

IHCDA will devote a portion of Indiana's T&TA funds toward salary and travel expense associated with monitoring of their sub grantees. These amounts are broken down within the budget portion of this application.

The following is IHCDA's proposed Monitoring Schedule for Program Year 2013-2014:

August 2013 – CANI (Program & Technical); SCCAP (Program & Techncal); CAGI (QIP); NWICA (QIP); COWI (QIP)

September 2013 – REAL Services (Program & Technical); NWICA (QIP, Technical, Program); CFS (Program & Technical); CAGI (QIP)

October 2013 – AREA V (Program & Technical); AREA IV (Program & Technical); CAGI (QIP, Program, Technical);

November 2013 – NCCAA (Program & Technical); Job Source (Program & Technical); ICAP (Program & Technical)

December 2013 – PACE (Program & Technical); COWI (Program & Technical); WICAA (Program & Technical)

January 2014 –TRI-CAP (Program & Technical); LHDC (Program & Technical); HUEDC (Program & Technical)

February 2014 – CAPE (Program & Technical); CASI (Program & Technical); OVO (Program & Technical)

March 2014 – PWC (Program & Technical); HSI (Program & Technical); SIEOC (Program & Technical)

IHCDA has prepared a spreadsheet detailing the number of client files and homes to be monitored at each subgrantee and has included the spreadsheet as an attachment to the SF-424 section of this application.

IHCDA has attached a copy of their Program Monitoring Tool to the SF-424 section of this application.

IHCDA has attached a copy of their Technical Monitoring Tool to the SF-424 section of this application.

Section 700 of Indiana's Weatherization Policy and Procedures Manual covers the monitoring practices and requirements followed by IHCDA. A copy of Indiana's Weatherization Policy and Procedures Manual is attached to the SF - 424.

Additional information regarding the potential removal of a sub grantee is contained within Indiana's grant agreements with each sub-grantee. Below is the language from the DOE grant agreements between IHCDA and their sub-grantees regarding possible suspension and termination.

SUSPENSION AND TERMINATION

1. If either party has failed to comply with the terms of this Agreement, the other party may, upon written notice to the party in breach, suspend services or payment in whole or in part or terminate this Agreement. The notice of suspension or termination shall state the reasons for the suspension or termination, any corrective action required of the party in breach, and the effective date. Notice shall be provided by certified or overnight mail.
2. If IHCDA determines that any breach of this Agreement by Grantee endangers the life, health, or safety of its employees or agents, or applicants for or recipients of services under this Agreement, IHCDA may terminate this Agreement by orally notifying Grantee of the termination, followed by the mailing of written notification thereof within three (3) business days specifying the reasons for the termination. Termination pursuant to this paragraph shall become effective at the time of the oral notification.
3. When the Executive Director of IHCDA makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of this Agreement, the Agreement shall be canceled. Such determination by the Executive Director that funds are not appropriated or otherwise available shall be final and conclusive.
4. Grantee agrees that IHCDA may terminate this Agreement if Grantee ceases doing business for any reason. IHCDA will notify Grantee of the termination, in writing, by overnight, registered or certified mail. The termination shall be effective from the date Grantee ceases doing business.
5. The parties acknowledge and agree that this Agreement may be terminated immediately by either party should the other party attempt to assign, transfer, convey, or encumber this Agreement in any way. Any notice of termination pursuant to this paragraph shall be provided in writing to the other party, by overnight, registered or certified mail.
6. This Agreement may be suspended and/or terminated immediately if Grantee has committed fraud or has misused or misappropriated funds received under this Agreement or another agreement between the Grantee and the IHCDA. In this event IHCDA may de-obligate and/or re-distribute all or any portion of this award to another grantee. Further, Grantee's breach or default with respect to other agreements or obligations related to WAP shall constitute a material breach of this Agreement.
7. This Agreement may be terminated, in whole or in part, by the IHCDA whenever, for any reason, the IHCDA determines that such termination is in the best interest of the IHCDA. Termination shall be effected by delivery to the Grantee of a Termination Notice, specifying the extent to which such termination becomes effective. The Grantee shall be compensated for completion of the services or activities properly performed prior to the effective date of termination. The IHCDA will not be liable for activities or services performed after the effective date of termination.
8. Grantee shall provide written notice to IHCDA of any change in Grantee's address,legal name, or legal status including, but not limited to, a sale or dissolution of Grantee's business. IHCDA reserves the right to terminate this Agreement should Grantee's legal status change in any way. Termination pursuant to this paragraph shall be effective from the date of the change in Grantee's legal status. Notice shall be provided by certified or overnight mail.
9. The Grantee and its agents shall abide by all ethical requirements that apply to persons who have a business relationship with the State, as set forth in Indiana Code § 4-2-6 etseq., the regulations promulgated thereunder, and Executive Order 04-08, dated April 27, 2004. If the Grantee is not familiar with these ethical requirements, the Grantee should refer any questions to the Indiana State Ethics Commission, or visit the Indiana State Ethics Commission website at <<<**http://www.in.gov/ethics/**>>>. If the Grantee or its agents violate any applicable ethical standards, IHCDA may, in its sole discretion, begin the appropriate administrative proceeding to terminate this Agreement. In addition, the Grantee may be subject to penalties under Indiana Code § 4-2-6-12.
10. If this Agreement is terminated pursuant to any paragraph in this section, Grantee shall remit to IHCDA, within sixty (60) days of such termination, any unexpended funds and such other payments received by Grantee determined to be due IHCDA. The action of IHCDA in accepting any such amount shall not constitute a waiver of any claim that IHCDA may otherwise have arising out of this Agreement.
11. Upon expiration of any fiscal year period specified in Attachment A, or termination of this Agreement, IHCDA may require that all documents including, but not limited to, client files, data, studies, and reports prepared by Grantee pursuant to this Agreement, and all property purchased by Grantee with IHCDA, state, or Federal funds under this Agreement, be delivered to IHCDA. IHCDA may require the transfer of records or property to its own offices or to a designated successor.
12. IHCDA shall provide a full and detailed accounting of any property or records taken from Grantee and shall make any records available to Grantee as necessary for subsequent audit. IHCDA and Grantee may negotiate amounts of reimbursement related to Grantee's expenses for a period of closeout. In no event, however, shall IHCDA reimburse Grantee an amount exceeding the Grant Amount set forth in Attachment A of this Agreement.
13. If this Agreement is terminated for any reason, IHCDA shall only be liable for payment for services properly provided prior to the effective date of termination. IHCDA shall not be liable for any costs incurred by Grantee in reliance upon this Agreement subsequent to the effective date of termination.
14. Grantee acknowledges and agrees that due to programmatic changes required in the WAP by IHCDA, the United States Department of Energy, and/or Health and Human Services, IHCDA may terminate this Agreement at the end of any fiscal year period specified on Attachment A upon sixty (60) days written notice to Grantee specifying the reasons for termination.
15. In the event this Agreement is terminated pursuant to this section, the Grantee shall cooperate with IHCDA to ensure a smooth transition of services to recipients of the WAP.

Should a sub-grantee need to be suspended or their agreement terminated, IHCDA will not do so until every effort has been made to locate another weatherization provider for the affected area so that clients may continue to receive services. In the event that finding a replacement provider is necessary, IHCDA will follow the guidelines for weatherization sub-grantees detailed in 10 CFR 440 as well as any applicable DOE and IHCDA regulations.

V.8.4 Training and Technical Assistance Approach and Activities

The purpose of T&TA is to provide sub-grantees with additional technical assistance in the technical and administrative aspects of Indiana's Weatherization Assistance Program. IHCDA's monitors and staff are available daily via phone and/or email to answer programmatic questions. Sub-grantees with more serious needs may schedule/request an on-site visit from IHCDA or INCAA training staff.

Indiana's Weatherization Training Center is the Indiana Community Action Association (INCAA). INCAA is IREC Accredited in all four DOE Job Task Analyses and has three IREC accredited Master Trainers.

IHCDA and INCAA work together closely to ensure that Indiana's Weatherization Assistance Network receives the necessary training to meet DOE and IHCDA requirements. Adjustments are made throughout the funding cycle as necessary to meet the T&TA needs of Indiana's Weatherization Network.

INCAA has available the following classes, as deemed necessary, for the 2014 DOE funding cycle:

Retrofit Installer Shell
Retrofit Installer Mechanical
Final Inspector
Energy Auditor
Crew Leader
Introduction to Infrared Thermography
Zone Pressure Diagnostics
High Performance Insulation
Daily Safety Test Out Procedures
Mobile Home Weatherization
Carbon Monoxide and Combustion Analysis
Electric Furnace & Heat Pump Inspections
Oil Furnace Training
Boiler Inspections
Vent Systems & Combustion Air Requirements
Heating System Airflow Diagnostics
Mechanical Systems for Auditors
CAZ Pressure Diagnostics for Auditors and Heating Techs
Introduction to NEAT/MHEA
NEAT/MHEA Follow Up Training
Whole House Heat Load Calculations
New Furnace Installation Inspections
Applying The ASHRAE 62.2
DOE Health & Safety Policy
Lead Safe Weatherization
Moisture Assessment
QCI TRaining
Energy Auditor Transitional Trainng
Testing for DOE's QCI and Energy Auditor Certifications

Indiana currently requires comeptency testing for all individuals performing work as an Energy Auditor, Retrofit Installer Shell, Retrofit Installer Mechanical, Crew Leader and Final Inspector. The requirements and timelines for these competencies are contained in Section 600 of Indiana's Weatherization Policy and Procedures Manual. Subgrantees are required to ensure that all staff and contractors meet IHCDA's training requirements and properly track training documentation. IHCDA reviews the training documentation and tracking during their monitoring process to ensure compliance.

T&TA activities that took place in Indiana during the 2013 DOE grant cycle include the following training activites:

NEAT and MHEA training provided by NREL
NEAT and MHEA follow-up training provided by the Indiana Community Action Association (INCAA)
National DOE Quality Assurance Inspector certification instruction and testing activities
Indiana Competency Maintenance Training
Preparation for Implementation of Ashrae 62.2 2013 Updates
Participation by IHCDA Staff in the DOE Planning Meeting in Denver, CO and the NASCSP Conference in Phoenix, AZ
Semi Annual Managers Meetings (SAMM)

Semi Annual Technical Trainings
Certification/Competency Maintenance Trainings
Efforts toward aligning Indiana's Weatherization Field Guide and DOE's Standard Work Specifications (SWS)

T&TA Activities anticipated to take place during the 2014 DOE Funding Cycle include the following:

Development and implementation of transition training for testing for DOE's Energy Auditor Certification
Completion of the alignment of Indiana's Field Guide and DOE's SWS
Development and Implementation of a standardized Final Inspection Form
Development and Implementation of Financial training for Weatherization Program Managers and sub grantee fiscal staff
Continue training and testing for DOE's QCI Certification
Testing for DOE's Energy Auditor Certification
Indiana Competency Testing
Development and Implementation of training for Field Guide and SWS finished product
Performance of Semi Annual Managers Meetings
Performance of Semi Annual Technical Trainings
Peformance of Certification/Competency Maintenance Trainings
Performance of Continuing Education Unit trainings
On-site training for struggling sub grantees based upon PRISM results
Attendance of IHCDA staff to NASCSP Conferences

Indiana currently utilizes energy saving results from PRISM and BEAcon to evaluate energy savings at each sub-grantee. These programs used together evaluate one year pre and one year post weatherization utility usage of metered fuels. These results are shared with sub-grantees revealing their individual results along with the state averages. Each sub-grantee is encouraged to evaluate the savings information to see how they perfromed individually and in comparison to the state average. The information shared from PRISM and BEAcon also breaks down the performance of each contactor and energy auditor. Sub grantees are also encouraged to look at this information to identify top performers and those who may need additonal training or oversight.

Saving information is also utilized as part of Indiana's incentive pool for future and active funding opportunities. Please find below information from Indiana's Weatherization Policy and Procedures Manual showing the guidelines for the incentivie pool and how energy savings plays a role in those funding decisions.

DOE and LIHEAP allocations are distributed using the census-based allocation formula for 85% of Weatherization Sub-Grantees contracted funds. The remaining 15% of the allocation is distributed out to those Weatherization Sub-Grantees who meet all of following criteria:

1. 95% or more of the prior program year allocation total must have been expended.
2. Original, signed, contract Close Out Reports must be submitted on time (45 days after the program year ends), be accurate upon receipt (IHCDA DMS and agency Close Out report must match exactly when final claims are processed), and all line items and averages are within allowable limits (production as shown in IWAP and expenditures as shown on the Close Out report and DMS are identical and within program limits). Claims, Close Out Reports, and production must all be on-time, accurate, and allowable in order to meet this criteria for the incentive pool.
3. Weatherization Sub-grantees must demonstrate at yearly monitoring that a sampling of contractors or vendors are issued payment and that payment is utilized within 45 days of invoice.
4. All applicable Competencies and Certifications (OSHA, Lead Renovator, etc.) for all Weatherization Sub-grantee and contractor staff are current and active throughout the previous contract year.
5. A 15% average energy savings as determined by PRISM/BEACon analysis of local Sub-grantee production.
6. Weatherization Sub-grantees must demonstrate regular use of the XRF for lead based paint testing.

No Weatherization Sub-Grantee operating under a 120-day or modified Quality Improvement Plan (QIP) will be permitted to be included in the incentive pool during the QIP period.

Indiana uses the above process to promote full grant expenditure, quality program management and performance, and demonstrated energy savings.

IHCDA will utilized T&TA funds as outlined above to ensure compliance with all of DOE's deadlines regarding final inspections, the QCI Certification and alignment of Indiana's Weatherization Field Guide with DOE's Standard Work Specifications.

Indiana does not foresee any difficulties if meeting DOE's timeline for the QCI Certification. Additionally Indiana does not foresee any difficulties being able to provide the required Tier 1 training as outline in WPN 14-4.

To meet requirements within WPN 14-4 IHCDA added the following language to their sub grantee contracts:
Sub-grantee shall perform weatherization services during the Term in accordance with the U.S. Department of Energy Weatherization Assistance Program State Plan for the State of Indiana, the Indiana Weatherization Field Guide, the Indiana Weatherization Policy and Procedures Manual, other State Weatherization directives as applicable, and any amendments thereto (collectively "State Weatherization Plan and Directives"). Upon completion of the document aligning Indiana's Weatherization Field Guide and DOE's Standard Work Specifications (SWS), Sub-grantee shall abide

by and perform all work in accordance with said document. The Sub-grantee's signature on this agreement signifies its responsibility to follow all work standards as outlined in the documents referenced in this paragraph.

Additional language was added as follows:

Sub-grantee shall ensure that all Weatherization staff and sub-contractors who perform or provide Weatherization services to client homes receive and adhere to all standards as outlined in Indiana's Weatherization Field Guide, Indiana's Weatherization Policy and Procedures Manual, the Department of Energy Weatherization Assistance Program State Plan for Indiana and other State Weatherization directives as applicable. Upon completion of the document aligning Indiana's Weatherization Field Guide and DOE's Standard Work Specifications (SWS), Sub-grantee shall abide by and perform all work in accordance with said document. The Sub-grantee's signature on this agreement signifies its responsibility to follow all work standards as outlined in the documents referenced in this paragraph as well as its responsibility to ensure that its Weatherization staff and sub-contractors receive and review these documents and use them to guide the Weatherization work performed in client homes by them.

IHCDA provided training on the required contract language at Semi Annual Managers Meetings held April 23, 2014 and April 29, 2014. All Program Managers were reminded of the required language to be in sub contractor contracts. IHCDA instructed sub grantees to include the necessary language and contracts are renewed. IHCDA also instructed sub grantees who have already updated sub contractor contracts to perform an amendment process as necessary to ensure the required language is in each contract.

V.9 Energy Crisis and Disaster Plan

IHCDA will follow the gudance for Energy Crisis and Disaster Plan as outlined in WPN 12-07.

The primary allowance of this program notice would allow IHCDA to install incidental repair measures as deemed necessary and in accordance with IHCDA and DOE policy, appropriate and associated health and safety cost necessary for weatherization to continue, the ability to perform reweatherization without reagard to the date of weatherization, and paying weatherization personnel to perform duties such as securing weatherization materials, tools, equipment, weatherization vehicles, or protection of local agency weatherization files, records and the like during the initial phase of the disaster response. However, using DOE funds to pay for weatherization personnel to perform relief work in the community as a result of a disaster is not allowable.

Incidental and health and safety related expenses are required to meet both DOE and IHCDA guidelines. The health and safety expenditure cannot exceed 20% and the incidental repair cannot exceed $500.00 per unit.

All actions taken in response to an energy crisis would be governed by WPN 12-07, 10 CFR 440.18 and require approval from IHCDA prior to engaging in any disaster related activity.