



Illinois
Department of Commerce

& Economic Opportunity

OFFICE OF COMMUNITY ASSISTANCE

JB Pritzker, Governor

State of Illinois

2020 DOE State Weatherization Plan

For IHWAP Program Year 2021

For the period of July 1, 2020 – June 30, 2021

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

9. Type of Applicant:

A State Government

10. Name of Federal Agency:

U. S. Department of Energy

11. Catalog of Federal Domestic Assistance Number:

81.042

CFDA Title:

Weatherization Assistance Program

12. Funding Opportunity Number:

DE-WAP-0002020

Title:

2020 Weatherization Assistance Program

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Statewide

15. Descriptive Title of Applicant's Project:

2020 Illinois Low-Income Weatherization Assistance Program Formula Award .

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

16. Congressional District Of:

a. Applicant: Illinois Congressional District 13

b. Program/Project: IL-Statewide

Attach an additional list of Program/Project Congressional Districts if needed:

17. Proposed Project:

a. Start Date: 07/01/2020

b. End Date: 06/30/2021

18. Estimated Funding (\$):

a. Federal	17,420,195.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	17,420,195.00

19. Is Application subject to Review By State Under Executive Order 12372 Process?:

- a. This application was made available to the State under the Executive Order 12372 Process for review
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372

20. Is the applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation)

No

21. By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to**

I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency

Authorized Representative:

Prefix: Ms First Name: Erin

Middle Name:

Last Name: Guthrie

Suffix:

Title: Director

Telephone Number: 3128142811

Fax Number:

Email: erin.guthrie@illinois.gov

Signature of Authorized Representative:

Date Signed:

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007917		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Illinois 500 E. Monroe St. Springfield, IL 627010000	4. Program/Project Start Date 07/01/2020		
	5. Completion Date 06/30/2021		

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Federal	81.042	\$ 4,000,000.00		\$ 17,420,195.00		\$ 21,420,195.00
2.						
3.						
4.						
5. TOTAL		\$ 4,000,000.00	\$ 0.00	\$ 17,420,195.00	\$ 0.00	\$ 21,420,195.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTR ATION	(2) SUBGRANTE E ADMINISTR ATION	(3) SUBGRANTE E T&TA	(4) GRANTEE T&TA	
a. Personnel	\$ 245,896.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 245,896.00
b. Fringe Benefits	\$ 205,289.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 205,289.00
c. Travel	\$ 30,000.00	\$ 0.00	\$ 0.00	\$ 10,000.00	\$ 40,000.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 0.00	\$ 1,204,607.00	\$ 1,500,000.00	\$ 1,445,721.00	\$ 20,539,185.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 154,651.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 154,651.00
i. Total Direct Charges	\$ 635,836.00	\$ 1,204,607.00	\$ 1,500,000.00	\$ 1,455,721.00	\$ 21,185,021.00
j. Indirect Costs	\$ 235,173.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 235,173.00
k. Totals	\$ 871,009.00	\$ 1,204,607.00	\$ 1,500,000.00	\$ 1,455,721.00	\$ 21,420,194.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007917		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Illinois 500 E. Monroe St. Springfield, IL 627010000	4. Program/Project Start Date 07/01/2020		
	5. Completion Date 06/30/2021		

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 4,000,000.00	\$ 0.00	\$ 17,420,195.00	\$ 0.00	\$ 21,420,195.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2) LIABILITY INSURANCE	(3) FINANCIAL AUDITS	(4) HEALTH AND SAFETY	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 245,896.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 205,289.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 40,000.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 13,783,812.00	\$ 170,000.00	\$ 90,000.00	\$ 2,345,045.00	\$ 20,539,185.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 154,651.00
i. Total Direct Charges	\$ 13,783,812.00	\$ 170,000.00	\$ 90,000.00	\$ 2,345,045.00	\$ 21,185,021.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 235,173.00
k. Totals	\$ 13,783,812.00	\$ 170,000.00	\$ 90,000.00	\$ 2,345,045.00	\$ 21,420,194.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

U.S. Department of Energy
BUDGET INFORMATION REMARKS

(Grant Number: EE0007917)

Remarks

Please note: Illinois is currently conducting an RFP to identify a new provider for the Livingston and Mclean Counties service territory. Once the RFP is finalized, it will be submitted to the DOE Project Officer for review and approval. Funding for the Livingston and McLean counties service territory is currently listed as TBD for the purpose of the overall LA budget breakdown. This is also noted in the Annual File.

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

(Grant Number: EE0007917, State: IL, Program Year: 2020)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
BCMW Community Services Inc (Centralia)	\$230,614.00 23
CEFS Economic Opportunity Corp (Effingham)	\$397,818.00 40
Champaign Co Regional Planning Commission (Urbana)	\$372,899.00 38
Community & Economic Development Association of (Chicago)	\$7,985,480.00 813
Community Action Partnership of Central Illinois (Lincoln)	\$219,470.00 22
Community Action Project Of Lake County (Round Lake Beach)	\$599,402.00 61
Community Contacts Inc (Elgin)	\$683,357.00 69
Crosswalk CAA (West Frankfort)	\$326,336.00 33
Decatur-Macon County Opportunities Corp (Decatur)	\$202,921.00 21
DuPage County Dept of Human Resources (Wheaton)	\$665,693.00 68
East Central Illinois CAA (Danville)	\$276,057.00 28
Embarras River Basin Agency Inc (Greenup)	\$478,669.00 49
Fulton County Health Department (Canton)	\$91,591.00 9
Illinois Valley Economic Development Corp (Gillespie)	\$205,981.00 21
Kankakee County Community Services Inc (Kankakee)	\$198,052.00 20
Kendall-Grundy Community Action (Yorkville)	\$140,362.00 14
Madison County Community Development (Edwardsville)	\$389,722.00 40
McHenry County Housing Authority (Woodstock)	\$244,530.00 25
MCS Community Services (Jacksonville)	\$147,530.00 15
To be Determined (Livingston and McLean Counties)	\$288,392.00 29
Northwestern Illinois CAA (Freeport)	\$155,566.00 16
Peoria Citizens Committee for Economic Opportunity Inc (Peoria)	\$314,247.00 32
Project NOW (Rock Island)	\$360,069.00 37
Rockford Human Services Department (Rockford)	\$580,339.00 59

**U.S. Department of Energy
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(Grant Number: EE0007917, State: IL, Program Year: 2020)

Sangamon County Dept of Community Resources (Springfield)	\$301,973.00 31
Shawnee Development Council Inc (Karnak)	\$254,268.00 26
St. Clair Intergovernmental Grants Department (Belleville)	\$453,570.00 46
Tazwood Community Services Inc (Morton)	\$217,447.00 22
Tri-County Opportunities Council (Rock Falls)	\$633,241.00 64
Two Rivers Regional Council of Public Officials (Quincy)	\$234,147.00 24
Wabash Area Development Inc (Enfield)	\$295,681.00 30
Western Egyptian Economic Opportunity Council (Steeleville)	\$308,176.00 31
Western Illinois Regional Council (Macomb)	\$345,314.00 35
Will County Center for Community Concerns (Joliet)	\$494,550.00 50
Total:	\$19,093,464.00 1,941

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	1,941
Rewatherized Units	0

Note: Planned units by quarter or category are no longer required, no information required for persons.

Average Unit Costs, Units subject to DOE Project Rules		
VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	1,941
C	Total Units Rewatherized	00
D	Total Dwelling Units to be Weatherized and Rewatherized (B + C)	1,941
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)		
F	Total Funds for Program Operations	\$13,783,812.00
G	Total Dwelling Units to be Weatherized and Rewatherized (from line D)	1,941
H	Average Program Operations Costs per Unit (F divided by G)	\$7,101.40
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$7,101.40

IV.3 Energy Savings

Method used to calculate savings: <input type="checkbox"/> WAP algorithm <input checked="" type="checkbox"/> Other (describe below)

**U.S. Department of Energy
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(Grant Number: EE0007917, State: IL, Program Year: 2020)

	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	1941	N/A	29993 *
Prior Year Estimate	1753	N/A	29993 *
Prior Year Actual	446	N/A	0 *

* Energy Savings values were manually entered.

Method used to calculate savings description:

The methodology used to estimate the amount of energy savings is based on extensive energy savings studies Illinois has conducted. Based on this methodology (utility bills run through PRISM analysis and adjusted for weather) the actual production will be multiplied by the 17.1 MBTU average savings per home to determine the total energy savings.

IV.4 DOE-Funded Leveraging Activities

n/a

IV.5 Policy Advisory Council Members

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

Ameren Illinois	Type of organization: Utility Contact Name: Melanie Brown Phone: 2174248327 Email: MBrown10@ameren.com
Citizens Utility Board	Type of organization: Non-profit (not a financial institution) Contact Name: Ms. Aimee English Phone: 3122634282 Email: aenglish@citizensutilityboard.org
City of Chicago	Type of organization: Unit of Local Government Contact Name: Elizabeth Berendsen Phone: 3127467116 Email: Elizabeth.Berendsen@cityofchicago.org
ComEd	Type of organization: Utility Contact Name: Jason Decker Phone: 6306843172 Email: Jason.Decker@comed.com
Illinois Commerce Commission	Type of organization: Unit of State Government Contact Name: Ms. Joan Howard Phone: 2177822024 Email: joan.howard@illinois.gov
Illinois Community Action Association	Type of organization: Non-profit (not a financial institution) Contact Name: Dalitso Sulamoyo Phone: 2173283313 Email: dsulamoyo@ccrpe.org
Illinois Competitive Energy Association	Type of organization: Non-profit (not a financial institution) Contact Name: Kevin Wright Phone: 2177415217 Email: wright2192@sbcglobal.net
Illinois Department of Commerce & Economic Opportunity	Type of organization: Unit of State Government Contact Name: David Wortman Phone: 2175584200 Email: David.Wortman@illinois.gov
Illinois Department of Human Services	Type of organization: Unit of State Government Contact Name: Marie Versher Phone: 3127930039 Email: Marie.Versher@illinois.gov

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WEATHERIZATION ASSISTANCE PROGRAM (WAP)
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(Grant Number: EE0007917, State: IL, Program Year: 2020)

Illinois Industrial Energy Consumers	Type of organization: Non-profit (not a financial institution) Contact Name: Mr. Ryan Robertson Phone: 6188768500 Email: rrobertson@lrklaw.com
Illinois Municipal Electric Agency	Type of organization: Non-profit (not a financial institution) Contact Name: Staci Wilson Phone: 2177894632 Email: swilson@imea.org
Illinois Retail Merchants Association	Type of organization: Non-profit (not a financial institution) Contact Name: Mr. Rob Karr Phone: 2175441003 Email: rkarr@irma.org
Nicor Gas	Type of organization: Utility Contact Name: Ellen Rendos Phone: 6303882326 Email: erendos@aglresources.com
Peoples's Gas	Type of organization: Utility Contact Name: David B. Baron Phone: 3122404352 Email: DBBaron@integrysgroup.com
South Austin Coalition Community Council	Type of organization: Non-profit (not a financial institution) Contact Name: Wanda Hopkins Phone: 3127431543 Email: wjhoppo4@yahoo.com
Western Illinois Area Agency on Aging	Type of organization: Non-profit (not a financial institution) Contact Name: Ms. Barbara Eskildsen Phone: 3097936800 Email: beskildsen@wiaaa.org
Will County Center for Community Concerns	Type of organization: Non-profit (not a financial institution) Contact Name: Ms. Kris White Phone: 8157220722 Email: kwhite@wcccc.net

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
04/12/2019	Notice of the Public Hearing was posted on the DCEO website on 4/17/2020. See hearing notice and documentation of posting attached to the SF424. A Public A virtual public hearing will be held on 4/28/20 and no public comments regarding the plan were received. A transcript of the hearing is attached to the SF424.

IV.7 Miscellaneous

Illinois is continuing to address issues and suggestions made from the initial American Customer Satisfaction Index (ACSI) through an action plan to enhance program management and quality improvements at the subgrantee level. The main action DCEO has taken is getting grants out to subgrantees in a more timely manner. Last year DCEO began the grant process a month earlier than in previous years. Starting earlier and fine tuning the GATA/budget process led to grants to subgrantees being completed several months earlier than in the previous few years. This year the fiscal department has continued to start the process earlier and the Weatherization program is submitting the State Plan to DOE earlier than last year, and, therefore, we anticipate the DOE grants to be out to subgrantees in July. Getting the grants out to subgrantees earlier gives the local agencies more of the program year to weatherize homes. DCEO has also extended the HHS and State weatherization grants from June 30th to September 30th, which provides funding for continuing to perform assessments during the beginning of the program year even if DOE grants are not in place. This ability to continue assessments ensures that agencies can keep weatherization staffs employed year round and will increase the number of homes that will be weatherized.

Additionally, Illinois received feedback that our network felt they were not key in the planning phase for state plan development. This year, we put the existing plan out to the network months in advance and asked for feedback. As we do every year, the finished "draft" plan is broadcast to our subgrantees and we give them the opportunity to provide further feedback, in addition to comments received from all stakeholders in the Policy Advisory Committee, and the Public Hearing.

Recipient Business Officer
David Wortman
500 E. Monroe

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

(Grant Number: EE0007917, State: IL, Program Year: 2020)

Springfield, IL 62701
217-558-4200
E-mail: david.wortman@illinois.gov

Recipient Principal Investigator

Mick Prince
500 East Monroe
Springfield, IL 62701-1643
217-785-6135
E-mail: mick.prince@illinois.gov

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

OCA will determine client eligibility in accordance with 10 CFR 440.22:

OCA will ensure that DOE Weatherization Assistance Program (WAP) funds are provided to a family unit that:

- Contains a member who has received cash payment under Title IV or XVI of the Social Security Act or applicable state or local law during the 12-month period preceding the determination of eligibility for weatherization assistance; or,
- Is eligible for assistance under the Low-Income Home Energy Assistance Program (LIHEAP) and whose income is at or below the poverty level determined in accordance with criteria established by the U.S. Department of Health and Human Services according to the Low-Income Home Energy Assistance Act of 1981, as amended; or
- has income up to 200% of Poverty (per DOE income guidelines) when determining income eligibility for the DOE-administered Weatherization Assistance Program.

Describe what household Eligibility basis will be used in the Program

Procedures to determine that units weatherized have eligibility documentation.

Income documentation must be provided by each WAP applicant at the time of application. Prior to services being provided, WAP application documentation will be verified for eligibility and completeness by an individual other than the person taking the application. Files are reviewed for proper documentation and income eligibility by state monitoring staff.

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

Every individual in a household must be included on the application and must be a legal resident of Illinois and either a citizen of the United States or a qualified alien. The definition of qualified alien will conform with the guidance provided by the U.S. Department of Health and Human Services (HHS) under the current Low-Income Home Energy Assistance Program (LIHEAP) and can be found in the current Illinois Low Income Home Energy Assistance Program Policy and Procedures Manual. The standards for documenting qualified alien status can similarly be found in this Policy and Procedures Manual.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

The State requires that both household income eligibility and building eligibility are established before any work is done on a building. Building eligibility is confirmed prior to the start of an energy audit. Building owners must provide documentation to confirm ownership of the building to be assisted (such as tax payment receipts, copies of deed, or certain other forms). Procedures for confirming eligibility in buildings with rental units and in certain other types of buildings are described in another section below. More detail on building eligibility can be found in Section V (Determination) and XI (Multi-Family Project Procedures) of the IHWAP Operations Manual.

Describe reweatherization compliance

Homes that have been previously weatherized will not be eligible for additional weatherization assistance (except those weatherized prior to September 30, 1994) in accordance with 10 CFR 440.18(e) (2), or those damaged by fire, flood, or Act of God as specified in 10 CFR 440.18 (f) (2) (ii).

Describe what structures are eligible for weatherization

All single-family homes, manufactured housing, small multifamily buildings, and large multifamily buildings will be considered for weatherization services in Illinois. Other structures eligible for weatherization include single room occupancy (SRO) buildings, group homes, and shelters. Residents of a privately owned or not-for-profit-operated SRO building, group home, or shelter are eligible for weatherization work. Such buildings are to be treated as multifamily buildings with regards to all eligibility, cost limitations, and allowable weatherization work.

Publicly or privately owned not-for-profit shelters operated to provide emergency housing for low income households are excluded from the “66% or greater” rule and individual unit eligibility determination. Allowable total labor and material expenditures are to be calculated using the directions for rental units, shelters and group homes. SRO buildings, group homes and shelters are considered multifamily dwellings; and therefore, the landlord must sign a rental agreement.

Non-stationary campers and trailers that do not have a mailing address are not allowed to be weatherized. The use of a post office box for a non-stationary camper or trailer cannot be substituted for a mailing address associated with the real estate.

Describe how rental units/multifamily buildings will be addressed

The Local Administering Agency will enter and check the income eligibility information for each unit to determine how much may be spent on the building, even when individual tenant applications are not completed.

Single Application Process for Buildings that Have Client Income and Demographic Data – If centralized client data is obtainable from the building owner/landlord, then a single application may be utilized for the entire building. Even when owners/ landlords submit data directly, Local Administering Agencies (Sub grantee) are still required to collect and input income and demographic data on individual household units into WeatherWorks, the statewide database.

Standard Application Process-(Other Regular or Non-Federally Assisted Multifamily Buildings): - For multifamily buildings where the owner/landlord does not have documentation of the current building occupant’s current income and demographic information, the Local Administering Agency must take an IHWAP application for each individual unit in the building. The application will include a utility release with account number for all unit utility accounts.

To qualify for weatherizing the entire building, at least two-thirds (66%) of the building’s units or apartments must be occupied by income-eligible tenants. In cases of two and four-unit buildings, the minimum percentage of eligible units must be 50% to qualify the building for weatherization

Vacant Units - The vacant unit will not receive funding.

Multifamily Spending Limits

Multifamily building weatherization spending limits are the same as single family unit limits times the number of eligible units.

OCA will ensure that no undue or excessive enhancement occurs to dwelling units as a result of weatherization by installing only retrofits with 1.0 or greater SIR.

Rental Procedures

OCA will ensure that as a result of weatherization, rental amounts shall not be raised because of the dwelling unit's increased value, and the benefits of weatherization will accrue primarily to the client and members of the client's family. Client family members will experience increased comfort in the home, a healthier and safer environment, and cost savings. As a result of the cost savings, household members will see an increase in spendable income for other household needs. In cases where the heat is included in the rent, the rent may not increase as quickly due to energy savings of the building.

The state has developed a rental agreement, utilized by all Local Administering Agencies, in which landlords agree to maintain rent at the current level for twelve months following the completion of the weatherization. The landlord also agrees to not evict tenants without cause for twelve months and assures that in the event of the sale of the dwelling within twelve months, the new owner agrees to comply with the terms of the rental agreement. Further, the landlord is advised in the agreement that the tenant will be provided a copy of this agreement by the Local Administering Agency. Tenants who contact the Local Administering Agency or OCA with complaints of violation of this agreement will be referred to Land of Lincoln Legal Assistance Foundation for enforcement assistance under this agreement.

OCA will ensure that no undue or excessive enhancement occurs to dwelling units because of weatherization, by installing only retrofits with 1.0 or greater SIR.

Describe the deferral Process

The decision to defer work in a dwelling or, in extreme cases, provide no weatherization services, is difficult but necessary. This does not mean that weatherization assistance will never be available, but that work must be deferred or postponed until the problems can be resolved. Local Administering Agencies are expected to pursue all reasonable options on behalf of the client and seek outside funding and/or resources if possible.

Deferral conditions may include, but are not limited to:

- The client has known health conditions that prohibit the installation of insulation and other weatherization materials.
- The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that conditions cannot be resolved in a cost-effective manner.
- The house has sewage or other sanitary problems that would further endanger the client and weatherization installers if weatherization measures were installed.

- The house has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by local or state building officials or utilities.
- Moisture or site drainage problems are so severe they cannot be resolved under existing health and safety measures and with minor repairs.
- Where there is evidence of severe mold and moisture (area of mold greater than 10 ft²).
- Dangerous conditions exist due to high carbon monoxide levels in combustion appliances, and cannot be resolved under existing health and safety measures.
- The client is uncooperative, abusive, or threatening to the crew, subcontractors, assessors, inspectors, or others who must work on or visit the house.
- The client has an unvented space heater and refuses removal of the unit prior to weatherization services being conducted.
- The client refuses installation of any weatherization measures that have been prioritized through
- The extent and condition of lead-based paint in the house would potentially create further health and safety hazards for the client or weatherization workers.
- Illegal activities are being conducted in the dwelling unit.
- Areas cluttered or obstructed to such an extent that workers do not have access to home areas where assessment, weatherization work, or final inspection need to be performed.
- Pest infestation may be cause for deferral, if the pests cannot be removed and pose a health and safety risk to the workers.
- Homes that contain products containing air pollutants, flammable liquids, and other volatile organic compounds that may pose a threat to workers.
- The client refuses installation of any weatherization measures that have been prioritized through the WeatherWorks database, including the implementation of ASHRAE 62.2 in the home.

In some cases, IHWAP funds may be utilized to correct the situation (red-tagged heating system, high CO readings, minor plumbing repair, minor roof repair, etc.). If the problems that caused the deferral have been properly corrected, the home may be eligible for weatherization services. Weatherization clients that feel the deferral policy is incorrect or unfair may appeal the decision through the standard weatherization appeal process. It may be possible to utilize other funding sources to correct the issue that is causing the program deferral. Some Local Administering Agencies may also have access to other funding options or other federal, state, local, or other resources where the client could be referred for the deferral reasons to other agencies/organizations. This Program Year, IHWAP will be asking local agencies to better track the reasons for deferral. WeatherWorks does an insufficient job at tracking the reasons for deferral, we will be broadcasting a Spreadsheet for the agencies to use to better track trends with respect to deferrals.

V.1.3 Definition of Children

The definition of children is five years of age or below.

V.1.4 Approach to Tribal Organizations

No tribal organizations exist within the state. The Department makes no recommendation that a tribal organization be treated as a local applicant.

V.2 Selection of Areas to Be Served

The State of Illinois will continue its IHWAP program for Illinois Program Year 2021 (Federal Program Year 2020) delivering weatherization services through its network of Local Administrating Agencies serving all 102 counties with demonstrated program effectiveness, program operation, and management. Prior to the issuance of any sub grant for WAP-funded weatherization services, evaluations of prior year performance are conducted using the following criteria:

1. Program compliance
2. Management and administration
3. Fiscal compliance
4. Technical and quality control

V.3 Priorities for Service Delivery

Definitions

Elderly: Any member of the household 60 years of age or older.

Disability: Household containing a person with a disability per the Americans with Disabilities Act.

Children: Any member of the household 5 years of age or below.

A ranking system will be utilized for determining the priority of homes to be weatherized. Multifamily buildings (five plus units) will not be subject to priority ranking.

IHWAP applications are taken on a first-come, first served basis. Income eligible households with elderly members (60 and over), persons with a disability, or young children (5 years of age or below) will be given priority. Lower priority-ranked, income-eligible households will be served later in the program year if funding is available. It is important that this information be conveyed to the client during the intake process.

Prioritization is by county. IHWAP applications should be prioritized in groups. Some Local Administering Agencies may elect to establish an enrollment period (three weeks, one month, two months, etc.) for their entire service area, take all applications during that time and then prioritize them all at once.

All higher priority households should be weatherized before going to lesser priority households. Scheduling variances (due to location, etc.) within a program year are permissible provided the priority rankings are followed during the program year.

Every household is ranked and assigned a priority by WeatherWorks, the statewide database. All eligible households in multifamily buildings should be ranked with the average score used to determine the building's priority. WeatherWorks automatically calculates the priority points in the following manner:

<u>ELDERLY</u>	<u>DISABILITY</u>	<u>YOUNG CHILDREN</u>
YES = 2	YES = 2	YES = 1

NOTE: 1 elderly household member = 2 points for household; 2 elderly members = 2 points for household; 1 child 5 years or below = 1 point for household; 3 children 5 years or below = 1 point for household.

In the event of a tie, the application date and time will be the tie breaker.

V.4 Climatic Conditions

Climatic information for the state is provided by the U.S. Climatological Survey and energy usage information compiled from state and federal sources. This information indicates that six climatic regions exist within Illinois. The WeatherWorks energy audit utilizes heating degree day data broken out by these six regions named here for the most populous city within each's boundaries and identified by WeatherWorks energy audit with letters A through F:

A Chicago B Rockford C Peoria D Springfield E St. Louis F Evansville

Charts attached to this submittal:

- Climate zone used by WeatherWorks for IHWAP Local Administering Agencies
- Heating degree hours by Illinois region used By WeatherWorks energy audit
- Cooling degree days (used for seasonal cooling load calculations)

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

Weatherization improvements include the following:

- Air sealing/infiltration reduction
- Insulation of attic
- Insulation of walls
- Insulation of foundation and floors
- Control of wasted heat
- HVAC and water heater retrofit and repair
- Baseload measures such as replacement lighting, water conservation measures, and replacement refrigerators (no freezers will be installed, and ice makers are not allowed).*
- Replacement of inefficient windows and doors
- Related health and safety work
- Incidental repairs
- Renewable energy retrofits

*Refrigeration appliances that are replaced must be disposed of according to the environmental standards in the Clean Air Act (1990), Section 608, as amended by the Final Rule, 40 CFR 82, May 14, 1993. The party recovering the refrigerant must possess an EPA-approved Section 608 Type II license or an approved universal certification.

All work is performed in accordance to the DOE-approved energy audit procedures and 10 CFR 440 Appendices and will follow the WeatherWorks energy audit approved by DOE.

Operationally, the Local Administering Agency enters data on a particular inefficiency in the home, e.g., type of window, dimensions, type of wall surrounding, present condition of source of heat loss, and quantity of material required. WeatherWorks then generates the benefit cost ratio and prints a work order that lists:

- The weatherization measures to be installed in order of cost effectiveness
- Estimated material costs
- Estimated labor costs

Every completed unit will receive a Quality Control Inspection (QCI) Final Inspection to ensure that the weatherization work was completed properly and that all work meets the minimum specifications of the IHWAP Field Standards, Standard Work Specification (SWS), and the IHWAP Program Operations Manual. In addition, OCA will conduct monitoring in the form of Desk Audits to ensure assessment information is correctly entered in WeatherWorks, and Quality Assurance to ensure the Local Agencies processes are ensuring the quality installation of weatherization materials, and that the homes were properly assessed.

Technical Guides and Materials

OCA has developed the IHWAP Operations Manual that sets forth specific guidelines that Local Administering Agencies must follow while administering the program. A revised Operations Manual will be issued in July of 2020. The IHWAP Operations Manual covers administrative procedures, building and household eligibility, building analysis (energy audit) procedures, including health and safety protocols, deferral guidelines, reporting and payment procedures, and procurement and fiscal requirements. This manual is updated annually at the beginning of each program year.

Technical requirements for IHWAP weatherization work in single family and manufactured housing are contained in the IHWAP Weatherization Field Standards Manual, which was revised for Program Year 2019 to include SWS updates. The Standards Manual provides on-site guidance to Sub Grantees and their contractors for the installation of measures and other technical aspects of the program. This manual will be updated as required with SWS updates every three years.

Through the University of Illinois Training Center, OCA will continue to provide Local Administering Agencies with comprehensive field standards and training (see Section V.8.4, below) outlining requirements for work scope development and work quality that will meet or exceed the minimum standards found in the SWS. Local Administering Agencies will also be provided with revised technical requirements for building assessment (energy audits), installation of energy efficiency and health and safety measures and procedures for conducting final inspections in support of the quality work plan. These requirements will be referenced as a requirement of the agreement with Local Administering Agency to provide a mechanism for compliance with the requirement.

All IHWAP Manuals will be updated as necessary.

Communication of Guidelines and Standards

DCEO grant agreements require that all Local Administering Agencies comply with the program requirements and procedures as outlined in IHWAP Program Manuals, procedure letters, technical assistance memoranda, and department directives as stated in field monitoring visit letters.

If a QCI fails to adequately inspect weatherized units per the IHWAP Field Standards/SWS, OCA will provide counseling, or training, and possibly revoke the QCI's signature authority for WAP activities.

By signing the DCEO grant agreement, Local Administering Agencies acknowledge receipt of all IHWAP Program Manuals, procedure letters, and technical assistance memoranda. Local Administering Agencies are required to have contractors sign an acknowledgement of receipt of the IHWAP Field Standards and place a copy of the signed receipt of standards form in the contractor's file. The form will outline that the contractor understands that all work performed for IHWAP will be completed in accordance with the IHWAP Field Standards. All IHWAP Manuals and procedure letters are sent to our Local Administering Agencies via email broadcast.

V.5.2 Energy Audit Procedures

Single Family Homes/Manufactured Housing

On July 16, 2019, DOE approved WeatherWorks for single family homes and manufactured housing units through July 15, 2024. WeatherWorks also serves as the information management system for IHWAP.

Multifamily Building Energy Audits In the same July 16, 2019 letter, DOE approved the use of TREAT (Targeted Retrofit Energy Analysis Tool) for energy audits of small and large multifamily buildings through July 15, 2024. OCA will continue to utilize the TREAT software for multifamily projects consisting of five units or more. WeatherWorks will still be used for information management of multifamily weatherization work.

Local Administering Agencies using any of the IHWAP weatherization grants for multifamily projects with five or more units must receive approval from OCA. Approval to proceed with installation of proposed measures will be granted by the Office of Community Assistance when:

1. The Local Administering Agency has completed and documented a multifamily assessment meeting IHWAP requirements and guidelines;
2. Following IHWAP requirements and guidelines, a TREAT-generated energy audit modeling the building's existing energy use and the energy savings of the proposed Energy Conservation Measures (ECMs) that demonstrate a savings to investment ratio of 1.0 or greater. In addition, the whole project savings to investment ratio must be 1.0 or greater; and
3. The Local Administering Agency has submitted supporting documentation including a project description that includes eligibility, income and demographic data by unit, project budget, source(s) of cost assumptions, utility usage, heating, cooling, and appliance data by unit, photographs documenting typical and unusual conditions, engineering reports (when applicable), and a fully completed IHWAP-approved assessment document.

The OCA Operations Manual includes Multifamily Project Procedures in Section XI that prescribes:

1. Assessor's knowledge, skills, and abilities requirements;
2. How to collect assessment data to create the TREAT generated energy model;
3. Use of the TREAT software to generate an IHWAP-approvable energy model; and
4. How to submit a multifamily project for approval by OCA.

V.5.3 Final Inspection

Every DOE-completed weatherized unit will receive a final inspection by a QCI-certified final inspector. This inspection will ensure that the weatherization work was completed properly, that all measures called for in assessment and work orders have been installed and completed in a workman-like manner and are in accordance with the priorities determined by the audit procedures, standard work specifications, and Illinois Home Weatherization Assistance Program Field Standards Manual.

The final inspection process includes the following:

- Review of the audit and work scope to determine that the work specified was completed, and that any changes to the work scope were approved in advance and properly documented;
- Verification of the quality and quantity of materials installed;
- Verification that installation standards and work quality is acceptable;
- Blower door test, in units where the test can be safely conducted, to verify final air flow;
- Verification that health and safety tests were conducted and that appropriate mitigation measures were performed;
- Steady-state efficiency test, when necessary;
- Client signatures verifying completion of work;
- Written notification to owners and occupants of any unsafe conditions; and,
- Any additional documentation necessary to explain the outcome of the weatherization project.

Per DOE's QCI policy, OCA adopted a policy of requiring independent final inspections unless the agency cannot field adequate staff. Final Inspectors are individuals who are not involved in the prior work inspected as the energy auditor/assessor or as a member of the crew.

Where program size, budget, or temporary staff shortages at the Local Administering Agency level make independent final inspection impossible, a waiver may be granted but all efforts must be exhausted first. When such a waiver is granted, OCA will require that the Local Administering Agency conduct an internal review of the assessor/final inspectors work and OCA will increase its' field monitoring to at least 10% of the Local Administering Agency's weatherization and will conduct targeted desk monitoring of the assessor/final inspector's work to ensure that the assessor/final inspector is able to competently perform both tasks. This waiver must be renewed each program year and approved by OCA.

OCA requires that each client file contains a form that certifies the unit has received a QCI-credentialed final inspection. IHWAP's final inspection form includes certification of adherence to SWS standards. State QCI-credentialed monitors will inspect and document in accordance with DOE requirements.

In those instances where there may be no QCI-credentialed inspectors on staff, and where no QCI credentialed contractual staff are available for inspections as determined by OCA, no DOE- funded projects will commence until a QCI-credentialed staff becomes available.

V.6 Weatherization Analysis of Effectiveness

Through analysis of Local Administering Agency monitoring, including field inspection and data analysis collected in the weatherization process and maintained in WeatherWorks, OCA has developed specialized training and technical assistance to improve work quality for the Illinois Program Year 2021 (Federal Year 2020).

OCA continues to work with the Local Administering Agencies to improve air sealing results. Monitoring of homes weatherized includes analyzing success at achieving or exceeding air infiltration target rates. Training efforts with contractors and assessors, job site monitoring of contractors during blower door directed air sealing testing, and field workshops conducted by the staff of the Indoor Climate Research and Training center are provided to assist with improving air sealing results.

OCA also requires local agencies to complete in-progress inspections on 20% of their IHWAP production to comply with WPN 17-7 Health and Safety Guidance. In-progress inspections will provide the contractor with real-time feedback and give local agencies an opportunity to provide hands on training while the work is being inspected. An In-Progress inspection includes a review of OSHA Construction regulations, EPA/Lead Renovator, and IHWAP field standards.

OCA strengthened the monitoring process by requiring a Local Administering Agency's response to monitoring findings or numerous or repetitive observations not only include documentation of correction of work deficiencies, but also the actions taken or planned that will ensure that similar deficiencies will not be repeated in future weatherization work.

OCA continues to guide Local Administering Agencies in the implementation of the revised procurement procedures in accordance with 2 CFR 200 to ensure that IHWAP is open and competitive. In Program Year 2020, OCA reviewed all local administrative agency's procurement processes as part of the programmatic monitoring conducted annually to ensure compliance with 2 CFR 200. OCA monitoring will include review of Local Administering Agency procurement plans, market analysis, and procurement design, and execution of procurement continues to be a substantial portion of OCA's IHWAP training and technical assistance program.

V.7 Health and Safety

The IHWAP Health and Safety Plan for Federal Year 2019 is attached as separate document in the attachments section of the SF-424 of this application.

V.8 Program Management

V.8.1 Overview and Organization

The Governor of the State of Illinois is responsible for the administration of the funds received from the U.S. Department of Energy for the Weatherization Assistance Program. The Department of Commerce and Economic Opportunity (DCEO) has been designated as the administering entity for weatherization services. The Weatherization Assistance Program is located within the Office of Community Assistance (OCA). Weatherization services have been a responsibility of DCEO or a predecessor agency since 1977. In Illinois, the weatherization program is called the Illinois Home Weatherization Assistance Program (IHWAP). The IHWAP provides Illinois' low-income residents with the labor and materials needed to weatherize their homes.

Illinois' use of WAP funding from DOE described in this plan conforms to the rules and regulations issued by DOE for expenditure of WAP funding.

V.8.2 Administrative Expenditure Limits

OCA has determined that an increase in DOE regulations and the addition of Health and Safety activities have increased the administrative workload for the Local Administering Agencies. The transparency policies that resulted with the ARRA funding also produced additional administrative burdens. With the drastic reduction in funding, the diminished resources have placed more duties on the administrative areas of the IHWAP. As a result, the Local Administering Agencies have been confronted with increased administrative costs. For these reasons, OCA is increasing the administrative budget line to 10% for all IHWAP Local Administering Agencies that receive less than \$350,000. Local agencies that receive \$350,000 or more in DOE funding will be limited to five percent administrative funds. Any IHWAP entities that are added later, and are under a funding level of \$350,000, will be considered for additional administrative funding up to 10%.

V.8.3 Monitoring Activities

In accordance with 10 CFR 440, OCA has the responsibility to perform monitoring and oversight of the program implementation and work performed by all its Local Administering Agencies. Below is a description of our monitoring plan in accordance with WPN 16-4:

1. Local Administering Agency review - Technical Services Unit
2. Program overview - Technical Services Unit
3. Financial/administration - Fiscal Monitoring
4. Eligibility - Technical Services Unit
5. Energy audits- Technical Services Unit
6. Qualifications and training- Technical Services Unit
7. Weatherization of units- Technical Services Unit
8. Training and technical assistance- Technical Services Unit in conjunction with the University of Illinois Training Center
9. Quality management assurance- Technical Services Unit
10. Processing monitoring results to resolution- Technical Services Unit/Fiscal Monitoring
11. Health and safety- Technical Services Unit
12. Inventory - Fiscal Monitoring

Weatherization Grant Monitoring Functions of OCA Units

Monitoring visits are made by different units within OCA and cover different subject matter. These visits are as follows:

The Technical Services Unit staff will monitor the quality of work (including file reviews, invoicing and costing, and on-site inspections) and will conduct training and technical assistance as needed. The staff also conducts routine desk monitoring, file reviews, and field inspections of Local Administering Agency weatherization activities.

The Fiscal Monitoring Unit staff monitors the financial aspects of implementing IHWAP. OCA also conducts comprehensive fiscal monitoring visits at each high-risk Local Administering Agency at least once per year, based on an annual risk analysis.

Program Monitoring (The goal is for this monitoring to occur in the QTR 1 and 2)

Program Monitoring is completed by OCA's Technical Services Unit to ensure local administrative agencies are in compliance with IHWAP programmatic requirements. Programmatic monitoring is conducted at each Local Administering Agency by the assigned staff at least annually and more frequently, if needed. Program monitoring will occur in the first and second quarter of the program year and will consist of the following:

Pre-Visit Preparation

- Desk audits
- Air sealing reports
- Previous Year's Production and Expenditures
- Review of Market Analysis and Comparing to Catalog Prices
- Local Administering Agency Weatherization Plan review
- Review of previous monitoring letters

On-Site Review

- Staffing
- Employee certifications
- Training plans
- Energy audit process
- Client files
- In-Progress inspection process
- Final inspection process
- Health and safety requirements
- Insurance requirements
- Procurement review

The Local Administering Agencies provide production reports monthly. These reports are thoroughly analyzed by the Technical Services Unit staff and management staff.

Monitoring of Completed Weatherized Units (This monitoring will occur in the second, third and fourth quarters.)

The Technical Services Unit staff is also responsible for the quality assurance monitoring. Illinois' in-house procedures for quality assurance monitoring are described in the following sections:

1. On-site Monitoring of Completed Units - A minimum of five percent of the units completed by a Local Administering Agency is reviewed by the Technical Services unit when independent final inspections are conducted. When inspections cannot be done independently, OCA will increase its' field monitoring to at least 10% of the Local Administering Agency's weatherization and will conduct targeted desk monitoring of the assessor/final inspector's work to ensure that the assessor/final inspector is able to competently perform both tasks. Reviews are conducted

using a standardized job rating sheet referred to as the State Monitoring Report. This job rating sheet rates the pre-work inspection (assessment/energy audit), the actual work done, and the post-work inspection.

2. File Reviews for Completed Units - Technical Services Unit staff complete a file review for a minimum of five percent of production.
3. Monitoring of In-Progress Inspections – Technical Services Unit staff will review the local agencies In-Progress inspection tracking spreadsheet and monitor local staff performing In-progress inspections when possible.
4. Material Specifications Review – The IHWAP Program Operations Manual (Volume I) requires all Local Administering Agencies to procure only those materials specified in federal regulations. The Office of Community Assistance Procurement Manual (Volume II) requires all Local Administering Agencies to keep a complete record of their materials procurement process (including material specifications) on file for review by OCA staff.

These procurement files are required and if material specifications are not met, the Local Administering Agency must rebid that item. The Technical Services Unit staff considers whether the minimum product specifications are adequate to meet the needs of each Local Administering Agency's climatic conditions and/or work efficiencies. If the minimum specifications do not appear to be adequate, the reviewer may recommend the Local Administering Agency change its minimum specifications on the next bid.

5. Monitoring Material Prices for Cost Effectiveness - The material procurement files noted above will also contain a record of the market analysis, prices bid and the price accepted for each type of material used by the Local Administering Agency.
6. Pre- and Post- Work Inspection Reviews - As previously indicated, the Technical Services Unit staff uses the State Monitoring Form when performing on-site reviews. This form was developed to evaluate not only the quality of work, but the acceptability of both the pre- and post-work inspection. When appropriate, further training is required of a Local Administering Agency staff person who has performed a significant number of unacceptable pre- or post-work inspections.

The following are tools used by OCA staff when conducting monitoring:

- Weatherization Program Monitoring Tool
- WeatherWorks Desk Audit Form
- State Monitoring Report (QCI-compliant)
- Client File Review Checklist
- Fiscal Management Review Form

Work Quality Deficiency Determination and Follow Up

While conducting on-site monitoring, OCA staff may identify deficiencies that require action. The following definitions apply to the deficiencies:

1. Finding: A serious weatherization work deficiency constituting noncompliance with the IHWAP Field and/or IHWAP Program Operations Manual. (See findings criteria below.)

2. Observation: All areas of noncompliance with the IHWAP Field Standards Manual and/or IHWAP Program Operations Manual not considered a Finding will be considered an Observation.
 - A. Observations may include but are not limited to sloppy work, missing attic insulation measuring sticks, incorrect documentation, etc.
 - B. Observations may require a response from the Local Administering Agency, detailing the corrective action taken to alleviate the deficiency identified, if specifically noted in the field visit report.
3. Recommendation: For field conditions observed that do not constitute substantial noncompliance with the IHWAP Field Standards Manual and/or IHWAP Program Operations Manual, OCA may determine a Recommendation.
5. Best Practice: For weatherization work installed or weatherization process completed that is exemplary in nature OCA may make a Best Practice determination.

Following is a list of findings criteria:

1. A deficiency meeting any of the following criteria constitutes a Finding
 - The omission of a Health and Safety Measure or work completed with IHWAP funds compromises the health and safety of clients, Local Administering Agency staff, and contractor/crew staff, or the structural integrity of the building;
 - The omission of a required measure or technique with major energy savings potential, as determined by the savings to investment ratio in WeatherWorks;
 - Expenditure of IHWAP funds for items that exceed the stated cost limits, without prior written OCA authorization as specified in IHWAP Program Operations Manual. Additional funds that exceed the cost limit specified will be considered as disallowed costs and must be removed from WeatherWorks or refunded to DCEO. All fiscal files, records, and documentation must be revised accordingly.
 - Poor quality workmanship that significantly affects the performance of weatherization measures;
 - Expenditure of IHWAP funds on retrofit measure that do not yield an acceptable Savings-to-Investment Ratio as determined by WeatherWorks;
 - Expenditure of IHWAP funds on a measure that was not installed on the unit; and,
 - Any action or lack of action that would threaten the integrity of the IHWAP and/or its ability to receive future funding.
2. A monitoring visit report from OCA that contains Findings:
 - Requires an immediate response from the Local Administering Agency indicating corrective action to be taken.
 - Could result in disallowed costs that the Local Administering Agency would have to refund to DCEO.
 - Could result in an increased monitoring frequency by OCA.

- Could result in the requirement of additional training for the Local Administering Agency and/or contractor personnel as specified by OCA.
- Could result in additional special conditions being placed on the LAA and grant.

Substantial Number or Repeated Finding: High Risk Status or Grant Default Status

The occurrence of a substantial number of or repeated Findings may result in a decision by the OCA administration that a Local Administering Agency be placed on High Risk status or Grant Default Status.

If a Local Administering Agency is placed on High Risk status or Grant Default status, special conditions may be placed on the grant which will affect the Local Administering Agency's ability to draw IHWAP funds. Those special conditions may include, but are not limited to, additional reporting requirements as specified by OCA, a detailed Corrective Action Plan to remedy monitoring deficiencies, and limited or total restrictions on the availability of cash requests from the appropriate IHWAP grants or all DCEO funding.

If a Local Administering Agency is placed on High Risk status or Grant Default status, the Local Administering Agency may be placed on probationary status for up to two years following the date of the probation period initiation.

Failure by the Local Administering Agency to comply with the special conditions placed on the grant agreement and/or continued non-compliance or Findings will be grounds for termination of the grant agreement between the Local Administering Agency and DCEO.

After failing to comply with weatherization grant conditions or the correction of grant deficiencies, the Local Administering Agency will be referred to DCEO Legal Office for review and disposition.

Notwithstanding any of the above, DCEO may suspend or terminate a grant without prior written notice upon a finding of substantial non-compliance or substantial breach of grant agreement.

Furthermore, in some instances, if any local administrative agency staff (including but not limited to intake staff, assessor, final inspector, weatherization coordinator, fiscal staff, or Executive Director), display egregious disregard for program policy or client health and safety, DCEO reserves the right to revoke the signature authority of staff and prohibit participation in IHWAP or other OCA programs upon first offense. IHWAP will also prohibit the local administrative agency salaries from the staff being paid from OCA grants. DCEO also reserves the right to prohibit IHWAP trainers or any weatherization contractors who display egregious disregard for program policy or client health and safety from participating in the IHWAP or other OCA program. If IHWAP exercises this right, the local administrative staff, IHWAP trainer or weatherization contractors will be notified by letter and will be informed of the appeals process.

Monitoring Report Letters

The OCA will issue a monitoring letter to the Local Administering Agency within 30 days of the conclusion of monitoring. The monitoring letter will summarize the results of the monitoring. The report will include any determinations made and the rule or policy that supports the determination. The monitoring letter will also detail the remedy required to resolve the determination which can include correction of the work and/or a plan of improvement or a Corrective Action Plan. The Local Administering Agency has 30 days to respond to the monitoring letter. The OCA will issue a response to

the Local Administering Agency's response, within 15 calendar days, either requesting further corrective action or accepting the remedy and releasing the Local Administering Agency.

Fiscal Monitoring - The plan is to monitor approximately eight Local Administering Agencies each quarter of the program year.

Fiscal monitoring covers the areas of financial reporting, account reconciliation, cash analysis, cost allocation, cash disbursements, and significant activity dates (e.g., application date, assessment date, date work began, date work completed, date final inspected, etc.). The fiscal review covers the areas of internal control, accounting procedures, cost classification and documentation, fiscal audit review, and cash management. Documentation required for the review includes the WeatherWorks Work Order form, Cost Reporting (invoicing), Release of Lien Waiver form, Final Inspection sheet, etc. Significant findings identified during fiscal monitoring include failure to meet timelines of payment, fiscal priorities not followed, computations not accurate, expenditures incorrectly charged or disallowed, etc.

DCEO's Office of Accountability is officially charged with performing the official A-133/2 CFR 200 review and determination of each Local Administering Agency's external audit as prescribed in OMB Circular A-133/2 CFR 200.

OCA's fiscal monitors also review the Local Administering Agency's A-133 audit/2 CFR 200 as applicable. Depending on the seriousness, significance, and repetitiveness of the deficiencies, the reviewer has several options on how to attempt to resolve the issue. OCA fiscal monitors are responsible for working with the Local Administering Agency to resolve any audit findings.

Once a Finding is noted during a monitoring visit, the reviewer is responsible for correctly assessing how best to address the Observation/Finding. OCA monitors are trained and counseled to keep materiality, overall Agency and program impact, severity of the issue, and frequency in mind when determining how to address an Observation/Finding.

When working with Local Administering Agency staff to resolve the deficiencies, the fiscal monitor will select one of the following actions:

Counseling: Deficiencies that are not serious, significant or repetitive are usually resolved through counseling. The monitor speaks to the Local Administering Agency staff making them aware of the finding, asks that they correct the problem making suggestions /recommendations where appropriate, and documents as an observation in the monitoring letter.

Technical assistance: Deficiencies that are serious or significant but that have not been a problem in the past call for technical assistance. While the Local Administering Agency is required to correct the deficiency, as a "first time offender" they are given training or technical assistance on how to improve procedures and ensure compliance in subsequent weatherization activities. The deficiency is also documented in the monitoring letter.

Corrective actions: A Local Administering Agency with a very serious or significant Finding addressed in previous visits is required to develop a Corrective Action Plan. The Corrective Action Plan is a permanent change in procedures aimed at resolving the noted deficiencies. Any corrective actions to be required of the Local Administering Agency must be addressed in the exit conference with the executive director (or designated representative). From the date of the monitor's official correspondence, a Local

Administering Agency is given 30 calendar days to submit a written Corrective Action Plan. The monitor must then conduct a follow up visit to determine whether the Corrective Action Plan has effectively resolved the problem. A serious or significant deficiency that remains unresolved at the end of the program year may lead to a conditional grant, a limited grant, or no designation.

Assessing the Overall Health of Local Administrative Agencies' Weatherization Program

Beginning in PY 2021, OCA will conduct an annual agency assessment, called the IHWAP scorecard, to measure the overall health of all 34 local administrative agencies' weatherization programs in Illinois based on various factors. This agency assessment will be used to determine if OCA should explore soliciting an alternative local weatherization provider in any region of the state. The IHWAP scorecard will score each agency based on production (units weatherized) and funding expenditures, weatherization program and overall agency staffing capabilities, and results of programmatic, quality assurance, and fiscal monitoring. OCA will consider soliciting an alternative provider of weatherization services for any region where the local agency weatherization program scores below a minimally acceptable score in this agency assessment.

Furthermore, some local agencies may decide on their own that they are not equipped to continue administering the weatherization program. The weatherization program requires staff with the building science knowledge and technical skills that many other community programs don't require and maintaining staffing with these skills may be difficult for some agencies. When agencies decide they no longer are able to administer the program, they should request in writing for OCA to solicit a new weatherization program provider.

OCA will also consider developing a list of backup LAAs for each service territory who can assist local agencies that have not had any production for a significant time period to ensure a certain level of service is being provided in all service territories of the state during the program year. The backup agency system will help where a local agency has lost significant weatherization staff, has had problems with procuring an adequate number of contractors, or is having other issues that prohibit the local agency from providing weatherization services.

V.8.4 Training and Technical Assistance Approach and Activities

Local Administering Agency training and technical assistance (T&TA) needs are determined by training assessment surveys, analysis of findings identified during on-site monitoring by the Weatherization Technical Services Unit (trend tracking analysis of deficiencies), requests for T&TA made by the Local Administering Agencies, and by the changes in of the IHWAP program requiring additional training for weatherization staff. The Local Administering Agency T&TA budget is calculated based on the amount of training that will be provided by OCA during the program year and the costs associated with travel, lodging, etc.

Additionally, OCA staff will conduct an annual risk assessment of the Local Administering Agency's weatherization program. Based on the results of the assessment, OCA staff will work with the Agency to identify training needs and available resources. When the Local Administering Agency is required to develop and implement a Corrective Action Plan as a result of OCA monitoring, the plan may also identify training needs of the Local Administering Agency. OCA regularly solicits input from the Local Administering Agencies to assess training needs of the network.

Training the State will provide for Local Administering Agency staff.

Listed below are the major categories of basic training and technical assistance (T&TA) to be provided to Local Administering Agencies plus a description of each category that outlines the resources to be used to provide the T&TA and whether attendance is required. Local Administering Agencies will receive reimbursement for conference fees, lodging, travel expenses and per diem.

- Statewide Workshops (Tier 2 training) - Statewide workshops outline new policies and procedures and provide general technical and management training. Trainers for the major portion of the workshops will be OCA and Local Administering Agency staff. If necessary, outside speakers will be invited.
- Weatherization Coordinator Meetings (Tier 2 training) - Program meetings will be held at least twice throughout the year. These one-day sessions provide programmatic updates and allow for the exchange of information among Local Administering Agencies as well as receive input from Local Administering Agencies on topics of concern. Each meeting agenda deals with at least one major issue that is discussed at length.
- Health and Safety Workshops (Tier 2 training) – These workshops will be held to instruct coordinators and workers on correct work techniques to improve client and worker safety.
- Mechanical/Architectural Contractors Workshops (Tier 2 training)- These regional workshops will be held throughout the state to familiarize contractors with program rules and weatherization goals and techniques.
- The OCA will provide T&TA funding to the Local Administering Agencies to attend the various national conferences including the Home Performance Conference, the National Association of State Community Service Programs (NASCSPP), etc. Funds will be used to cover the expenses of attending the conference. This is Tier 2 training.
- Through the University of Illinois Training Center, the OCA will continue to offer workshops and Crew Leader Training, HVAC Contractor training, Healthy Home Evaluator, WeatherWorks training, Weatherization Coordinator and Executive Director workshops, Mobile Furnace Lab workshops, ASHRAE 62.2-2016, Basic Electrical Workshops, Lead Safe Workshops, and weatherizing manufactured housing. All are Tier 2 training events.
- Again this year through the University of Illinois Training Center, OCA will provide Advanced Air Sealing Techniques Field Workshops at Local Administering Agency locations. This is a Tier 2 training.
- New IHWAP staff and workers will be given EPA training on Repair, Renovate and Painting (RRP). This is Tier 2 training.
- OSHA Confined Space Training is provided to weatherization staff. This is Tier 2 training.

Training and Certification Program (TCP)/ Energy Auditor Certification (Tier 1 Training)

The University of Illinois Training Center has been accredited by Interstate Renewal Energy Council (IREC) to teach the Energy Auditor Curriculum. The University of Illinois, under its contract with the OCA for weatherization training activities, will teach TCP / Energy Auditor courses throughout the program year based on need.

The TCP / Home Energy Auditor Training is divided into 10 weeks of training:

- Weatherization Basics and Assessment Process (5 days)
- Basic Heat Transfer (5 days)
- Building Fundamentals (5 days)
- Building Diagnostics (5 days)
- Infrared Thermography and Mid-Course Field Assessment (5 days)
- Introduction to Heating Systems (5 days)
- Advanced Heating Systems (5 days)
- Air Conditioning, Heat Pumps, and Air Flow (5 days)
- Health & Safety, Indoor Pollutants, Lead-safe Weatherization (3 days)
- Building Assessment and Proficiency Exam (5 Days)

These training modules will be held throughout the year with class size limited to approximately 20 persons. Trainers will include vocational/post-secondary specialists. Attendance will be mandatory for Local Administering Agency coordinators, assessors, final inspectors, and state technical monitoring staff.

All current assessors, final inspectors, and weatherization coordinators are required to complete these courses and pass the proficiency test within their first year of employment. Enrollment in any of the courses and certification is available to other weatherization staff, such as crew leaders, crew members, subcontractors or field superintendents.

Training and Certification of Quality Control Inspectors and Energy Auditors (Tier 1 training)

The University of Illinois Training Center will conduct five-day Energy Auditor courses and five-day Quality Control Inspectors courses at the training facility in Champaign, Illinois. The curriculum for this course is based on the Job Task Analysis for Energy Auditors and Quality Control Inspector developed by the National Renewal Energy Laboratory (NREL) as part of DOE's Quality of Work Plan. The University of Illinois Training Center has been accredited by IREC to teach the Quality Control Inspector Curriculum and the Energy Auditor Curriculum.

Course costs, testing fees and course materials will be included in DCEO's annual training contract with University of Illinois. In Federal Year 2020, funding for DCEO's annual training contract with the University of Illinois will come from its DOE T&TA administrative budget.

Local Administering Agencies will use T&TA monies for associated travel, lodging, and per diem/meals associated with completion of the EA and QCI course and preparation for and challenge of the EA/QCI certification tests.

Tier 1 training will be ongoing or as the need arises. Tier 2 training will be periodic based on reoccurring program monitoring findings and the WeatherWorks statewide deficiency summary analysis.

How the State Compares Productivity and Energy Savings Between Sub Grantees and How These Comparisons Are Used in The Development Of T&TA Activities and Priorities.

The following is how OCA compares productivity and energy savings:

1. Quality Control - Quality control reviews are conducted year-round by the Technical Services staff. Based on the findings of a quality control review, a Local Administering Agency may receive on-site technical assistance aimed at improving individual staff skills in assuring work quality. Technical assistance is provided by the OCA-reviewer or other staff specialists. Attendance is required for those persons specified by the quality control reviewer. Overall energy audits are reviewed to determine if the best weatherization measures with the highest potential energy savings have been called for, or if additional training is needed.
2. "Hands-On" for Crews - Quality control reviews, standard monitoring and technical assistance sessions often point out the need for one-on-one work with crew members. Agency or staff-specific needs may include such items as basic energy conservation concepts, program requirements, and work techniques. Technical assistance is provided by OCA staff. Attendance is required for those persons specified by the quality control reviewer, the monitor, or other staff.

Portion of State T&TA Funds Will Be Allocated for State Program Oversight Efforts, How Such Funds Will Be Apportioned:

Depending on final DOE allocation, OCA will be retaining up to 70% of the training and technical assistance (T&TA) funding to contract the Training and Certification Program (TCP) and other training activities with the University of Illinois Training Center. OCA staff developed TCP with the assistance of the Weatherization Coordinators' Working Group. The working group consisted of nine local coordinators and representatives from the Policy Advisory Council. This group was involved in all phases of the development process and the TCP represents a consensus of that group.

1. TCP Delivery Mechanism- The Training and Certification Program involved developing a standardized training program and providing an adequate delivery mechanism to accomplish four major objectives:
 - To provide a standardized and consistent training curriculum for local agency weatherization staff;
 - To increase and maintain adequate skill levels of weatherization staff and to keep pace with changing technologies;
 - To provide career development opportunities for local agency staff; and
 - To achieve a recognizable certificate for completing a minimum of 10 TCP courses.

After careful review, it was determined that the University of Illinois at Champaign offers OCA the best opportunity to effectively accomplish all four objectives.

The reasons for selecting the University of Illinois as the training provider include:

- Control of training curriculum and instructors to insure consistent training.
 - Flexibility to alter the curriculum as weatherization technologies change; and,
 - Ability to test competency level of enrollees to ensure that training objectives are reached and maintained.
 - Ability to develop a college accredited curriculum which conforms to the training needs of the IHWAP and can receive endorsements from both private and public sectors.
2. TCP Curriculum- Three major factors were considered in developing the content of the TCP curriculum:
 - The content of the courses must be relevant to the day-to-day operation of the IHWAP.

- The duration of the TCP must be reasonable and strike a balance between being so short as to be meaningless and so long that it would place a burden on staff time.
- The instructors must be knowledgeable of the subject matter and able to communicate with the staff being trained. These three points were constantly mentioned during our discussions with weatherization coordinators. If the program is to be successful, it must be accepted by the local staff.

OCA has a one-week contractor training and certification program. There is separate training for architectural and HVAC contractors. All contractors in the program will be brought up to the same standard, and certified.

Assessment of Grantee T&TA Activities to Determine Whether These Funds Are Being Spent Effectively.

As described in the state plan under "Analysis of Sub Grantee Weatherization Project Existence and Effectiveness," data is gathered from Local Administering Agencies and through monitoring to analyze how well the weatherization program is being operated. Determinations will also be made in the local agency annual visits and details in the individual monitoring reports to see what areas of training and technical assistance needs to be improved, added, or revised. DCEO tracks all findings from monitoring visits in our SharePoint tracking system.

Client Education

Client education activities are done at the time of application and during the energy audit. Assessors provide the clients with literature on several topics relating to the weatherization process. Additionally, clients are educated at final inspection. Final inspectors give guidance on mechanical maintenance as well as the use of set-back thermostats and other pertinent information on any new products installed by IHWAP.

V.9 Energy Crisis and Disaster Plan

Illinois WAP is in compliance with WPN 12-7.

In the event of an energy crisis or natural disaster declared by either Presidential or Governor Order, the OCA allows the use of DOE funding to provide relief. IHWAP funds have a very limited role in any disaster response. DOE funds may only be used for weatherization activities and the purchase and delivery of weatherization materials.

Local Administering Agencies will be required to prioritize service to buildings occupied by disaster victims. In some cases, agencies covering adjacent areas will be allowed to perform work in disaster areas, with the consent of the Local Administering Agency that primarily serves the area. Work will be limited to allowable weatherization measures. In cases where a previously assisted unit has been damaged by fire, flood or other natural disaster, assistance can be provided with prior approval from OCA. Generally, assistance will only be provided to pay for damage not covered by insurance or other federal disaster relief program.

To the extent that services are in support of eligible weatherization (or permissible reweatherization) work for eligible households, such an expenditure is allowable. Allowable expenditures include:

- The cost of incidental repairs to an eligible dwelling unit if such repairs are necessary to make the installation of weatherization materials effective.
- The cost of eliminating health and safety hazards, elimination of which is necessary before the installation of weatherization materials.
- The cost to perform functions related to protecting the DOE investment such as: 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.
- The cost to use weatherization vehicles and/or equipment to help assist in the disaster relief provided DOE is reimbursed according to the DOE Financial Assistance Regulations.

The use of Weatherization Assistance Program grant funds for relief efforts is limited by the following:

- The total allowance for relief efforts is limited to a maximum allowance per the IHWAP Procedures Manual.
- The total allowance for incidental repairs in support of the installation of weatherization materials is limited to the current maximum reimbursement for minor envelope repairs per the Local Administering Agency grant agreement.

The cost to pay for weatherization personnel to perform non-weatherization relief work in the community as a result of a disaster is not allowable.

Weatherization Grantee Health and Safety Plan *Optional Template*

POLICY SUBMITTED WITH PLAN

1.0 – GENERAL INFORMATION

Grantees are encouraged to enter additional information here that does not fit neatly in one of the other sections of this document.

Illinois Home Weatherization Assistance Program

Health and Safety Plan for Federal Fiscal Year 2021

Illinois has developed a Health and Safety Plan using WAP funds to identify and abate specific health and safety hazards that may exist in dwellings weatherized by Local Administering Agencies. The maximum cost for Health and Safety work on a unit is \$1,750; this maximum spending limit may be exceeded on a case by case basis with written approval from OCA. This average was established in light of the ASHRAE 62.2 implementation. Health and Safety funds will be budgeted in a separate line item.

Health and Safety Expenditure Limits

Recognizing that potential Health and Safety Costs could absorb and exceed WAP resources for any one home weatherization project, OCA has established a Health and Safety Budget which may average \$1,000 per unit weatherized but may not exceed \$1,750 in any one unit unless a waiver is granted by OCA. Waiver requests to exceed the maximum limit must be well documented and justified and will be reviewed on a case by case basis. Furthermore, local Administrating Agency's Health & Safety budgets are limited to 20% of the material and labor budget. Any request to exceed this limit will require a justification and must be approved by OCA.

Health and Safety costs are allowed cumulatively. A cost which may be paid under Health and Safety includes:

1. Installation of Smoke Detectors and Carbon Monoxide detectors;
2. Installation/Repair of exhaust fans in kitchens and bathrooms in accordance with ASHRAE 62.2 protocol;
3. Correcting/Repairing leaking fuel supply lines;
4. Correcting/Repairing improper or ineffective HVAC venting (such as installing a chimney liner);
5. Repairing/Replacing Air Conditioning units in homes where at-risk, medically certified/necessitated occupants' dwell;
6. Remediation of conditions that may lead to or promote biological concerns and unsanitary conditions;
7. Electrical repairs/upgrades necessary for weatherization measures and where the health and safety of the occupant is at risk;

8. Minor correction of moisture and mold creating conditions when necessary to ensure the long-term stability and durability of the weatherization measures and the clients' long-term health and safety;
9. Gutter or downspout work when necessary to keep rain water out of the dwelling to stop or prevent moisture/mold mildew conditions;
10. Sump Pump repair, replacement, installation, or covers necessary to keep seepage water out of the dwelling to stop or prevent moisture/mold mildew conditions; and,
11. Repair or replacement of stairs and railings for worker health and safety.
12. Pest removal as outlined in WPN 17-7.
13. Water heater and gas range repair or replacement.
14. EPA RRP and asbestos testing related activities.
15. Replacement of furnace for health and safety purposes; a health and safety furnace replacement would only be allowed with OCA approval.

Health and Safety Investigation during Weatherization Assessment and Health and Safety Notice and Client Education

At time of application, all weatherization applicants are interviewed about potential health and safety hazards in their home and the results of this health and safety interview are recorded on a form.

Most importantly, at the time of the initial energy audit/assessment, the assessor also asks the client about problems in the home, possible sickness from carbon monoxide poisoning, smell of flue gasses, mold problems, etc. As part of the energy audit the auditor will make important health and safety observations. The WAP client will also receive consumer education on all applicable issues in the latest DOE Health and Safety Guidance.

All precautions are taken to ensure that clients are protected from any potential health and safety risks. Local Administering Agencies have been trained to identifying any health and safety hazardous conditions in the home and the use of a Hazardous Condition Reporting form. All applicable homes receive combustion appliance testing with flue gas analyzers, and gas leakage detection equipment and undergo a complete health and safety inspection. All homes are reviewed to ensure proper operation of smoke detectors, and of CO detectors. In addition, Local Administering Agencies provide copies of the EPA pamphlets "Renovate Right", Citizen's Guide to Radon, and "Mold and Moisture" to the owners and occupants at the time of energy audit.

Documentation of receipt is retained in the client file.

During the assessment, the IHWAP assessor may discover a variety of hazardous/health and safety conditions. These hazardous conditions are classified as either "immediate" or "potential" depending on their severity. They are defined as follows:

Immediate Hazard Conditions - Conditions that reasonably constitute an immediate risk of harm to person or property (e.g., gas leaks, severe structural problems, electrical safety problems, severe mold problems, immediate fire hazards, etc.)

Potentially Hazardous Conditions - Conditions that reasonably represent a potential risk of harm to person or property (e.g., items stored in the attic or basement impeding access, leaking water or sewage lines, minor structural problems, etc.)

All conditions an Energy Auditor/Assessor believes constitute an immediate or potential risk to an individual or property are listed on OCA's Hazardous Condition Form at the time of assessment and a copy is provided to the client and/or landlord. This form includes the client's name, address, assessment date, job number, description of a hazardous condition, time and date, and client and assessor signatures. If an Immediate hazard is discovered, no weatherization work (architectural or mechanical) is to be completed on the home until the immediate hazard has been corrected. If the immediate hazard cannot be corrected, the home is deferred from weatherization work until the appropriate hazardous conditions have been remedied or repaired.

Health & Safety or Energy Conservation Measure (ECM)

There are some instances where, depending on circumstances, the measure can qualify as either an H&S measure or an ECM, such as a heating or cooling system replacement. When the measure has a Savings-Investment Ratio (SIR) >1, the measure will be treated as an ECM. A measure may be considered for H&S repair or replacement only after it is determined that the measure is not cost-effective.

Rationale for Performing H&S Measures

The rationale for performing each H&S measure in an individual home and its relationship to the ECM that necessitated it (if there is one) must be noted in the work order. Some H&S measures (for example, carbon monoxide/fire alarms) will not be associated with a specific ECM.

2.0 – BUDGETING

Grantees are encouraged to budget Health & Safety (H&S) costs as a separate category and, thereby, exclude such costs from the average cost per unit cost (ACPU) limitation. This separate category also allows these costs to be isolated from energy efficiency costs in program evaluations. Grantees are reminded that, if H&S costs are budgeted and reported under the program operations category rather than the H&S category, the related H&S costs must be included in the calculation of the ACPU and cost-justified through the approved energy audit.

Select which option is used below.

Separate Health and Safety Budget

Contained in Program Operations

3.0 – HEALTH AND SAFETY EXPENDITURE LIMITS

Pursuant to [10 CFR 440.16\(h\)](#), Grantees must set H&S expenditure limits for their Program, providing justification by explaining the basis for setting these limits and providing related historical experience.

Low percentages should include a statement of what other funding is being used to support H&S costs, while larger percentages will require greater justification and relevant historical support. It is possible that these limits may vary depending upon conditions found in different geographical areas. These limits must be expressed as a percentage of the ACPU. For example, if the ACPU is \$5,000, then an average expenditure of \$750 per dwelling would equal 15 percent expenditures for H&S.

15 percent is not a limit on H&S expenditures but exceeding this amount will require ample justification. These funds are to be expended by the Program in direct weatherization activities. While required as a percentage of the ACPU, if budgeted separately, the H&S costs are not calculated into the per-house limitation. DOE strongly encourages using the table below in developing justification for the requested H&S budget amount. Each H&S measure the Grantee anticipates addressing with H&S funds should be listed along with an associated cost for each measure, and by using historical data the estimated frequency that each measure is installed over the total production for the year.

It is also recommend reviewing recent budget requests, versus expenditures to see if previous budget estimates have been accurate. The resulting "Total Average H&S Cost per Unit" multiplied by the Grantee's production estimate in the Annual File should correlate to the H&S budget amount listed in the Grantee's state plan.

Should a Grantee request to have more than 15 percent of Program Operations used for health and safety purposes, DOE will conduct a secondary level of review. DOE strongly encourages use of this H&S template and matrix to help expedite this process

4.0 – INCIDENTAL REPAIR MEASURES

If Grantees choose to identify any H&S measures as incidental repair measures (IRMs), they must be implemented as such under the Grantee's weatherization program in all cases – meaning, they can never be applied to the H&S budget category. In order to be considered IRMs, the measure must fit the following definition and be cost justified along with the associated efficiency measure;

Incidental Repairs means those repairs necessary for the effective performance or preservation of weatherization materials. Such repairs include, but are not limited to, framing or repairing windows and doors which could not otherwise be caulked or weather-stripped and providing protective materials, such as paint, used to seal materials installed under this program. (10 CFR 440 "Definitions")

In addition to the Health and Safety Limit, OCA will implement an Incidental Repair Limit of \$700; an Incidental Repair is a weatherization measure that is necessary for the effective performance or preservation of weatherization materials. Incidental Repair measures are separate and distinct from Energy Saving Retrofit measures or Health and Safety measures.

Some examples of Incidental Repair measures are:

1. Minor roof repair necessary for the effective performance of weatherization measures;
2. Exterior/interior wall repair or ceiling repair necessary to install insulation;
3. Repair or replacement of heating system ductwork only if associated with a heating system replacement (and documented as such). If no heating system replacement is done, repair or replacement, as well as ductwork sealing, would be justified within the air infiltration reduction Energy Conservation Measure Savings to Investment Ratio because this work is intended to save energy lost through air leakage;

5.0 – DEFERRAL/REFERRAL POLICY

Deferral of services may be necessary if H&S issues cannot be adequately addressed according to WPN 17-07 guidance. The decision to defer work in a dwelling is difficult but necessary in some cases. This does not mean that assistance will never be available, but that work must be postponed until the problems can be resolved and/or alternative sources of help are found. If, in the judgment of the auditor, any conditions exist which may endanger the health and/or safety of the workers or occupants, the unit should be deferred until the conditions are corrected. Deferral may also be necessary where occupants are uncooperative, abusive, or threatening. Grantees must be specific in their approach and provide the process for clients to be notified in writing of the deferral and what conditions must be met for weatherization to continue. Grantees must also provide a process for the client to appeal the deferral decision to a higher level in the organization.

Grantee has developed a comprehensive written deferral/referral policy that covers both H&S, and other deferral reasons?

Yes No

Where can this deferral/referral policy be accessed?

The Illinois Home Weatherization Assistance Program deferral policy can be found in the Program Operations Manual.

6.0 – HAZARD IDENTIFICATION AND NOTIFICATION FORM(S)

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

Documentation Form(s) have been developed and comply with guidance?
Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

7.0 – HEALTH AND SAFETY CATEGORIES

For each of the following H&S categories identified by DOE:

- Explain whether you concur with existing guidance from WPN 17-07 and how that guidance will be implemented in your Program, if you are proposing an alternative action/allowability, or if the identified category will not be addressed and will always result in deferral. Alternatives must be comprehensively explained and meet the intent of DOE guidance.
- Where an Action/Allowability or Testing is “required” or “not allowed” through WPN 17-07, Grantees must concur, or choose to defer all units where the specific category is encountered.
- “Allowable” items under WPN 17-07 leave room for Grantees to determine if the category, or testing, will be addressed and in what circumstances.
- Declare whether DOE funds or alternate funding source(s) will be used to address the particular category.
- Describe the explicit methods to remedy the specific category.
- Describe what testing protocols (if any) will be used.
- Define minimum thresholds that determine minor and major repairs
- Identify minimum documentation requirements for at-risk occupants
- Discuss what explicit steps will be taken to educate the client, if any, on the specific category if this is not explained elsewhere in the Plan. Some categories, like mold and moisture, require client education.
- Discuss how training and certification requirements will be provided for the specific category. Some categories, like Lead Based Paint, require training.
- Describe how occupant health and safety concerns and conditions will be solicited and documented

Grantees may include additional H&S categories for their particular Programs. Additional categories must include, at a minimum, all of the same data fields as the DOE-provided categories. Two additional tables have been created to utilize.

7.1 – Air Conditioning and Heating Systems

Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Air Conditioning Unallowable Measure <input type="checkbox"/>		Heating Unallowable Measure <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
How do you address unsafe or non-functioning primary heating/cooling systems?				

General repair and replacement of heating equipment will not be conducted with Health and Safety funding. Repair and replacement of heating systems will only be conducted if there is risk to occupant health and safety. Air conditioning repair or replacement/installation shall be allowed if medically necessitated.

Replacement of nonexistent heating systems is beyond the scope of DOE WAP. Gas lines, sediment traps, flexible connectors, temperature/pressure discharge pipes, temperature/pressure valves, or gas shut off valves are not allowed to be replaced unless they are damaged or leaking. Replacement or installation of secondary units is not allowed.

Air Conditioning Installation

The assessor will make sure systems are present, operable and performing. The assessor will also determine the presence of at-risk occupants. An at-risk occupant is a household member with a medical condition documented by a physician that requires air conditioning. In most cases, this would only be limited to the repair of a central AC system or the installation of a window air conditioner.

Since air conditioner work is a Health and Safety measure, a positive SIR is not required, and the measure would not have to be calculated as a Retrofit. The costs of this measure would have to include the labor to repair/install the air conditioning.

How do you address unsafe or non-functioning secondary heating systems, Including unvented secondary space heaters?

Replacement or installation of secondary units is not allowed. Weatherization work cannot be done unless all unvented space heaters are removed from the site by the contractor.

Indicate Documentation Required for At-Risk Occupants

An at-risk client must have a medical professional complete and sign the Medical Condition Verification Form. This form is found in the Intake Attachments of the IHWAP Operations Manual.

Testing Protocols

See testing referenced in Combustion Gases section (7.8).

Client Education

Where new units are installed the final inspector will ensure that the occupants have copies of appliance manuals. Where appropriate the Local Administering Agency staff will discuss and provide information on appropriate use, maintenance, and disposal of appliances/water heaters. If bulk fuel tanks are not removed, Local Administering Agency staff will discuss their proper disposal with occupants.

Training

Local Administering Agency weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program (TCP). TCP curriculum includes awareness of IHWAP policies and procedures for air conditioning and heating system repair or replacement. The TCP curriculum includes the protocols and procedures for gas leak and combustion testing.

IHWAP's five-day certification for HVAC contractors and Mobile Furnace lab training also includes combustion safety training and awareness of relevant guidance.

7.2 - Asbestos - All

What is the blower door testing policy when suspected Asbestos Containing Material (ACM) is identified?

When asbestos is found in the vermiculite, blower door testing is still permitted but should be done in pressurization mode.				
7.2a – Asbestos - in siding, walls, ceilings, etc.				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
Removal of siding can perform energy conservation measures. Duct or venting containing asbestos should not be disturbed.				
How do you address suspected ACM's in siding, walls, or ceilings that will be disturbed through the course of weatherization work?				
Asbestos is assumed to be present in (white) duct sealing materials and slate siding products. Removal of siding is done to perform energy conservation measures. All precautions must be taken not to damage siding. Asbestos siding should never be cut or drilled. It is recommended, where possible, to insulate through the home interior.				
Abatement and replacement of asbestos containing building components is not allowed with any IHWAP funding.				
Testing Protocols				
If a local agency chooses to test for asbestos to determine whether insulation or air sealing can be conducted, it must follow the Asbestos Hazard Emergency Response Act of 1986 sample collection method, and testing must be conducted by a certified tester.				
Client Education				
When suspected asbestos siding is present, the client/owner is informed on how to take precautions. If any testing is done, the Agency will notify the client of the results.				
Training and Certification Requirements				
Agency weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes asbestos identification and management. IHWAP's five-day contractor certification curriculum includes asbestos hazard training.				
7.2b – Asbestos - in vermiculite				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
How do you address suspected ACM's in vermiculite that will be disturbed through the course of weatherization work?				

Attic Insulation that looks like vermiculite should not be removed or disturbed.

Blower door testing is still permitted and should be done in pressurization mode. Since vermiculite cannot be disturbed, air-sealing cannot be performed in an attic with vermiculite and ventilation may not be installed through an attic.

If there is vermiculite in the attic and it is not possible to comply with ASHRAE ventilation requirements through supply ventilation, balanced ventilation, or exhaust ventilation that goes through the side wall, the home should be deferred.

Removal of vermiculite attic insulation is not allowed with any IHWAP funding.

Testing Protocols

If a local agency chooses to test for asbestos to determine whether insulation or air sealing can be conducted, it must follow the by Asbestos Hazard Emergency Response Act of 1986 sample collection method, and testing must be conducted by a certified tester.

Client Education

When suspected vermiculite is present in the attic, the client/owner is informed on how to take precautions.

Training and Certification Requirements

Agency weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes asbestos identification and management.

IHWAP's five-day contractor certification curriculum includes asbestos hazard training.

7.2c – Asbestos - on pipes, furnaces, other small covered surfaces

Concurrence, Alternative, or Deferral

Concurrence with Guidance Alternative Guidance Results in Deferral

Funding

DOE LIHEAP State Utility Other

How do you address suspected ACM's (e.g., pipes, furnaces, other small surfaces) that will be disturbed through the course of weatherization work?

In rare cases when asbestos is encapsulating a heating system (usually a boiler), the existing heating system should not be disturbed. The Local Administering Agency staff may issue a potential hazard and install a new heating system in an alternate location, leaving the old appliance in place. The gas lines should be disconnected leaving the existing encapsulated heating system out of service.

Abatement and replacement of asbestos containing building components is not allowed with any IHWAP funding.

Testing Protocols

If a local agency chooses to test for asbestos in pipes or boilers, it must follow the Asbestos Hazard Emergency Response Act of 1986 sample collection method, and testing must be conducted by a certified tester.

Client Education

When suspected asbestos siding is present, the client/owner is informed on how to take precautions.

Training and Certification Requirements

Agency weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes asbestos identification and management. IHWAP's five-day contractor certification curriculum includes asbestos hazard training.

7.5 – Biologicals and Unsanitary Conditions (odors, mustiness, bacteria, viruses, raw sewage, rotting wood, etc.)				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Unallowable Measure <input type="checkbox"/>				
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
<p>Remediation of conditions that may lead to or promote biological concerns and unsanitary conditions is allowed. Limited water damage repairs that can be addressed by weatherization workers and correction of moisture and mold creating conditions are allowed when necessary to weatherize the home and to ensure the long-term stability and durability of the measures.</p> <p>Addressing bacteria and viruses is not an allowable cost. Where severe mold and moisture problems are so severe they cannot be resolved under existing health and safety measures and with minor repairs the building is deferred.</p>				
What guidance do you provide attic for dealing with biological and/or unsanitary conditions in homes slated for weatherization?				
<p>Sensory and visual inspection for these health and safety issues is part of the assessment protocol.</p> <p>Deferral may be necessary in cases where a known agent is present in the home that may create a serious risk to occupants or weatherization workers.</p>				
Testing Protocols				
Mold testing is not an IHWAP allowable cost.				
Client Education				
<p>Where these problems are identified, clients receive information on the issues and where appropriate information on how to maintain a sanitary home or moisture awareness information. Where a home is deferred for these issues, the Local Administering Agency will inform the client of what steps to take to correct the deferral conditions.</p> <p>All clients will receive the EPA Lead Booklet (Renovate Right) and the Moisture/Mold Booklet at the time of the assessment/energy audit. The Client must sign a form stating they have received the booklets at the time of assessment. If Local Administering Agencies do not have sufficient copies on hand, they will copy the camera-ready copies of these booklets from the EPA's internet site and print them locally.</p> <p>All conditions an energy auditor/assessor believes constitute an immediate or potential risk, to an individual or property shall be listed on OCA's Hazardous Condition Form and a copy is given to the client and/or landlord.</p>				
Training				
<p>Local Administering Agency weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes how to recognize these conditions and when to defer, as well as worker safety when encountering these conditions. The IHWAP's Health and Safety course on Indoor Pollutants will include introduction to mold, moisture and biological hazards as well as basic mitigation strategies.</p>				

7.6 – Building Structure and Roofing		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Funding		
DOE <input type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
Building rehabilitation is beyond the Scope of IHWAP. Homes with conditions that require more than incidental repair should be deferred or addressed with non-DOE funds.		
What guidance do you provide Subgrantees for dealing with structural issues (e.g., roofing, wall, foundation) in homes slated for weatherization?		
Visual inspection for roofing and structural issues is part of the assessment protocol. Evaluation of roofing and overall structure includes ensuring that access necessary for weatherization work is safe for entry and performance of assessment, work and inspection. Limited structural and roof repair to ensure long-term stability and durability of weatherization measures are allowable.		
Where 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 deferred.		
How do you define "minor" or allowable structure and roofing repairs, and at what point are repairs considered beyond the scope of weatherization?		
Minor includes structure and roofing repairs that are within the Health & Safety budget limit per housing unit. Repair costs that exceed the H & S budgets are beyond the scope of weatherization.		
If priority lists are used, and these repairs are designated as Incidental Repairs, at what point is a site-specific audit required?		
IHWAP does not use a priority list.		
Client Education		
Clients are notified of structurally compromised areas and, where the building is deferred for roofing or structural issues, of the necessary steps to correct.		
All conditions an energy auditor/assessor believes constitute an immediate or potential risk to an individual or property shall be listed on DCEO's Hazardous Condition Form at the time of assessment and a copy is given to the client and/or landlord.		
Training		
Local Administering Agency weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes how to identify structural and roofing issues.		
Training on how to identify structural issues is included in the Weatherization Training and Certification Program training, incorporated in IHWAP Field Standards and Operations Manual, and reinforced at the time of OCA field contact with Local Administering Agency personnel.		

7.7 – Code Compliance		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>

Correction of preexisting code compliance issues is allowable only where weatherization measures are being conducted.
What guidance do you provide Subgrantees for dealing with code compliance issues in homes receiving weatherization measures?
Weatherization work will comply with applicable codes in the jurisdiction where the work is being done. Visual inspection at assessment and local code enforcement inspections are used to establish code compliance issues. When correction of preexisting code compliance issues is paid for with WAP funds, Agency must cite specific code requirements with reference to the weatherization measure(s) that triggered the code compliance issue in the client file.
Correction of preexisting code compliance issues is not allowable except where weatherization measures are being conducted.
Condemned properties and those with “red tagged” health and safety conditions are deferred.
What specific situations commonly trigger code compliance work requirements for your network? How are they addressed?
Since WPN 11-6 did not allow for H & S funds to be used for code compliance, IHWAP has not done any work with H & S funds related to code compliance and we will handle code compliance on a case-by-case basis moving forward.
Client Education
Clients are informed of code compliance issues where they are identified in the assessment, and when deferral is necessary, provide information in writing describing the conditions that must be met for weatherization to commence.
All conditions an energy auditor/assessor believes constitute an immediate or potential risk to an individual or property shall be listed on DCEO's Hazardous Condition Form at the time of assessment and a copy is given to the client and/or landlord.
Training
Agency weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP Curriculum includes relevant code compliance policy and how to determine what code compliance may be required.
IHWAP's five-day contractor certification curriculum includes overview of code compliance policy.

7.8 – Combustion Gases

Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>

Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>

Proper venting of combustion appliances is an IHWAP requirement. Correction of venting is allowed when visual inspection or testing indicates a problem.

Replacement, repair or modification of combustion venting that is not related to solving health and safety problems indicated by visual inspection or testing is beyond the scope of IHWAP weatherization funding.

Testing Protocols

Combustion safety testing will occur wherever combustion appliances are present. The assessor shall inspect venting of combustion appliances and confirm adequate clearances. Naturally drafting appliances are tested for spillage under worst case conditions before and after air sealing. Ovens may be tested for CO; cook stove burners may be inspected for operability and flame quality.

How are crews instructed to handle problems discovered during testing, and what are the specific protocols for addressing hazards that require an immediate response?

If there is replacement of a combustion appliance due to health and safety problems, the Agency must maintain documentation justifying the replacement of combustion appliance with a cost comparison between replacement and repair in the client file.

Client Education

All conditions an energy auditor/assessor believes constitute an immediate or potential risk to an individual or property shall be listed on DCEO's Hazardous Condition Form at the time of assessment and a copy is given to the client and/or landlord.

Training

draft

How to perform appropriate testing, determine when a building is excessively depressurized, and the difference between air free and as-measured is part of the IHWAP TCP curriculum. In addition, combustion safety field training is offered or required whenever monitoring indicates that it is not being done correctly.

IHWAP's five-day contractor certification curriculum includes awareness of combustion safety issues and how to perform combustion safety testing.

IHWAP monitoring of assessor skills will focus on combustion safety testing and where inadequate skills are noted.

All conditions an energy auditor/assessor believes constitute an immediate or potential risk to an individual or property shall be listed on DCEO's Hazardous Condition Form at the time of assessment and a copy is given to the client and/or landlord.

Combustion Gas Problem Discovery on all Natural Draft & Power Vented Appliances the following procedures are followed:

The following inspection procedures and maintenance practices are performed on all gas-fired furnaces, boilers, water heaters and space heaters. The IHWAP Weatherization Field Standards Manual provides the acceptable combustion test analysis values.

1. Inspect the burners for dust, debris, misalignment and other flame-interference problems. Look for soot, burned wires, and other evidence of flame roll-out. Clean, vacuum and adjust burners.
2. Clean and adjust thermostat and check anticipator setting.
3. Determine that pilot is burning (if equipped) and that main burner ignition is satisfactory.
4. Test pilot-safety control for complete gas valve shutoff when pilot is extinguished.
5. Install new thermocouple (if an intermittent ignition device, or IID, is being installed).
6. Adjust pilot flame so that the hot tip of the thermocouple is enveloped by the flame.
7. Test for CO with flue gas analyzer. (See SWS for appliance CO Levels)
8. Observe flame characteristics if soot, CO, or other combustion problems are evident.
9. Remove causes of CO and soot, such as closed or blocked primary air intake, over-firing and flame impingement.
10. Check venting system for proper size and pitch.
11. Check venting system for obstructions, blockages or condensation.
12. Set up and operate house under worst-case depressurization when applicable.
13. Act to improve draft, if inadequate because of improper venting, leaky venting, obstructed chimney or lack of combustion/dilution air.
14. Seal leaks in vent connectors and chimneys with high temperature sealant.
15. Determine steady-state efficiency (SSE) using flue gas analyzer.
16. Check high limit control for proper operation
17. Measure O₂ level and stack temperature.

18. Measure gas input. (Heating System)
19. Adjust gas input if burners are over-fired or under-fired.
20. Testing of naturally drafting appliances for and spillage under worst case depressurization.

The following inspection procedures and maintenance practices are required for all direct vent sealed combustion furnaces.

1. Inspect the burners for dust, debris, misalignment and other flame-interference problems. Look for soot, burned wires, and other evidence of flame roll-out.
2. Clean, vacuum and adjust when needed.
3. Inspect the secondary heat exchanger and clean as needed. Inspect and clean combustion blower wheel and motor as needed. Clean and adjust thermostat and check anticipator setting.
4. Test for CO with flue gas analyzer. (See SWS for appliance CO Levels)
5. Observe flame characteristics if soot, CO, or other combustion problems are evident.
6. Remove causes of CO and soot, such as closed primary air intake, over-firing, and flame impingement. Check venting system for proper size and pitch.
7. Determine steady-state efficiency (SSE) using flue gas analyzer.
8. Check high limit control for proper operation.
9. Measure O2 level and stack temperature.
10. Measure gas input.
11. Adjust gas input if burners are over-fired or under-fired.

7.9 – Electrical				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
Minor repairs, including upgrades of knob and tube wiring systems, are allowed where health and safety of occupants is at risk. Upgrades and repairs will also be allowed when necessary to perform specific weatherization measures. If inclusion of the cost of re-wiring as part of an insulation retrofit can still provide an SIR > 1, then the cost of re-wiring will be in retrofit package instead of Health & Safety.				
What guidance do you provide Subgrantees for dealing with electrical hazards, including knob & tube wiring, in homes slated for weatherization?				
The Assessor will inspect for electrical safety issues at assessment. Evaluate and if necessary provide sufficient over-current protection and damming (if required) prior to insulating building components containing knob and tube wiring, as required by the AHJ.				
How do you define “minor” or allowable electrical repairs, and at what point are repairs considered beyond the scope of weatherization?				
Minor includes electrical repairs that are within the Health & Safety budget limit per housing unit. Repair costs that exceed the H & S budgets are beyond the scope of weatherization.				

If priority lists are used, and these repairs are designated as Incidental Repairs, at what point is a site-specific audit required?
Client Education
All conditions an Energy Auditor/Assessor believes constitute an immediate or potential risk to an individual or property shall be listed on DCEO's Hazardous Condition Form at the time of assessment and a copy is given to the client and/or landlord.
Training
Agency Weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program on how to identify electrical hazards. IHWAP's training curriculum will offer a continuing education class in basic electricity and electrical issues.

7.10 – Formaldehyde, Volatile Organic Compounds (VOCs), Flammable Liquids, and other Air Pollutants
Concurrence, Alternative, or Deferral
Concurrence with Guidance <input checked="" type="checkbox"/> Alternative Guidance <input type="checkbox"/> Results in Deferral <input type="checkbox"/>
Funding
DOE <input checked="" type="checkbox"/> LIHEAP <input checked="" type="checkbox"/> State <input checked="" type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
Removal of pollutants is allowed and is required if they pose a risk to workers.
What guidance do you provide Subgrantees for dealing with formaldehyde, VOCs, flammable liquids, and other air pollutants identified in homes slated for weatherization?
Sensory inspection is part of the inspection process. Removal of pollutants is allowed and is required if they pose a risk to workers.
Testing Protocols
If pollutants pose such a risk and they cannot be removed or the client will not allow removal, the property is deferred. When deferral is necessary, provide information in writing describing conditions that must be met for weatherization to commence.
Client Education
Clients are advised where there is an observed risk. All conditions an energy auditor/assessor believes constitute an immediate or potential risk to an individual or property shall be listed on DCEO's Hazardous Condition Form at the time of assessment and a copy is given to the client and/or landlord.
Training
Agency Weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes how to recognize potential hazardous and when removal is necessary.

7.11 – Fuel Leaks <i>(please indicate specific fuel type if policy differs by type)</i>
Concurrence, Alternative, or Deferral
Concurrence with Guidance <input checked="" type="checkbox"/> Alternative Guidance <input type="checkbox"/> Results in Deferral <input type="checkbox"/>
Funding
DOE <input checked="" type="checkbox"/> LIHEAP <input checked="" type="checkbox"/> State <input checked="" type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>

Assessors, contractors, and inspectors must test appliances and accessible gas lines in the home for gas leaks. All gas leaks and damaged gas lines must be repaired.
Remediation Protocols
When a minor gas leak is found on the utility side of service, the utility must be contacted before work may proceed. Fuel leaks that are the responsibility of the client must be repaired before weatherizing the unit. Health & Safety funds may be used to remedy gas leaks.
How do you define allowable fuel leak repairs, and at what point are repairs considered beyond the scope of weatherization?
Assessor use a gas leak detection solution to determine if there are gas leaks in need of repair; if the application of the solution creates bubbles, then there is a gas leak. Repair costs that exceed the H & S budgets are beyond the scope of weatherization.
Client Education
Clients are informed in writing of any gas leaks detected.
Training
Agency Weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes how to test for gas leaks.

7.12 – Gas Ovens / Stovetops / Ranges
Concurrence, Alternative, or Deferral
Concurrence with Guidance <input checked="" type="checkbox"/> Alternative Guidance <input type="checkbox"/> Results in Deferral <input type="checkbox"/>
Funding
DOE <input checked="" type="checkbox"/> LIHEAP <input checked="" type="checkbox"/> State <input checked="" type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
Contractors may perform maintenance on or repair gas ovens/stovetops/ranges.
What guidance do you provide Subgrantees for addressing unsafe gas ovens/stoves/ranges in homes slated for weatherization?
Assessors will test has ovens/stovetops/ranges for CO. If CO exceeds 225 ppm as measured, contractors may perform maintenance or repair appliances. Replacement of gas ovens/stovetops/ranges is not allowed with DOE funds but may be purchased with other funding sources.
Testing Protocols
Conduct combustion analyzer test on ovens in alignment with SWS for carbon monoxide.
Client Education
If CO exceed 225 ppm as measured, a Potential Hazardous Condition form shall be completed and given to the client.
Training
Agency weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes how to test natural gas appliances for carbon monoxide.

7.13 – Hazardous Materials Disposal
[Lead, Refrigerant, Asbestos, Mercury (including CFLs/fluorescents), etc.]
<i>(please indicate material where policy differs by material)</i>
Concurrence, Alternative, or Deferral
Concurrence with Guidance <input checked="" type="checkbox"/> Alternative Guidance <input type="checkbox"/> Results in Deferral <input type="checkbox"/>
Funding

DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
<p>All refrigerators, freezers, and air conditioning units that are replaced must be removed from clients' homes upon delivery of the replacement units and properly disposed of in accordance with The Clean Air Act, USC Title 42, Section 7671g. Refrigerant is reclaimed per the Clean Air Act 1990, section 608, as amended by 40 CFR82, 5/14/93.</p> <p>Any item replaced that contain mercury must be disposed in accordance with Environmental Protection Agency guidance</p>				
Client Education				
Clients are advised to not disturb refrigerants.				
Training				
<p>Workers handling refrigerants are required to have EPA approved section 608 type I or universal certification.</p> <p>Agency Weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes information on the requirements for disposal of appliances with refrigerants and disposal of items with mercury.</p>				
Disposal Procedures and Documentation Requirements				
<p>Refrigeration appliances that are replaced are disposed of according to the environmental standards in the Clean Air Act (1990), Section 608, as amended by the Final Rule, 40 CFR 82, May 14, 1993. The party recovering the refrigerant must possess an EPA-approved Section 608 Type II license or an approved universal certification.</p> <p>All refrigerators, freezers, and window air conditioning units being replace must be taken to a recycling facility. Contractors must obtain a certificate or receipt indicating the appliance has been accepted by the recycling facility and provided to the local agency to include in the client file.</p>				

7.14 – Injury Prevention of Occupants and Weatherization Workers (Measures such as repairing stairs and replacing handrails)				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>		Alternative Guidance <input type="checkbox"/>		Results in Deferral <input type="checkbox"/>
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
Minor repairs and installation is allowed only when necessary to effectively weatherize a home.				
What guidance do you provide Subgrantees regarding allowable injury-related repairs (e.g., stairs, handrails, porch deck board)?				
<p>Assessor observation at assessment is the primary means of identification of injury risks to workers such as repairing stairs or replacing handrails.</p> <p>All conditions an Energy Auditor/Assessor believes constitute an immediate or potential risk to an individual or property shall be listed on DCEO's Hazardous Condition Form at the time of assessment and a copy is given to the client and/or landlord.</p> <p>Repairs for injury prevention, other than when necessary to effectively weatherize a home, are not allowed to be funded with IHWAP funds from any source.</p>				

How do you define “minor” or allowable injury prevention measures, and at what point are repairs considered beyond the scope of weatherization? Quantify “minor” or allowable injury prevention measures.
Minor includes repairs that are within the Health & Safety budget limit per housing unit. Repair costs that exceed the H & S budgets are beyond the scope of weatherization.
Training
Agency Weatherization coordinators, assessors and final inspectors are certified through IHWAP’s ten-week Training Certification Program. TCP curriculum includes injury prevention identification and management.
IHWAP’s five-day contractor certification curriculum includes injury prevention awareness.

7.15 – Lead Based Paint
Concurrence, Alternative, or Deferral
Concurrence with Guidance <input checked="" type="checkbox"/> Alternative Guidance <input type="checkbox"/> Results in Deferral <input type="checkbox"/>
Funding
DOE <input checked="" type="checkbox"/> LIHEAP <input checked="" type="checkbox"/> State <input checked="" type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
Where lead safe work practices are required, their costs may be funded as a health and safety measure.
Safe Work Protocols
Testing for lead based paint hazards is allowed. All homes built prior to 1978 are treated as if they have lead-based paint and all work follows the requirements of the United States Environmental Protection Agency’s “Renovation, Repair, and Painting” (RRP) program employing lead-safe methods while working on painted surfaces that are being repaired or retrofitted for energy efficiency. Inspectors will also conduct in-progress monitoring at some job sites to verify that lead safe work practices are being conducted by contractors. An RRP Certified Renovator performs job site set up and cleaning verification.
Deferral is required when the extent and condition of lead-based paint in the house would potentially create further H&S hazards. Lead based paint hazard abatement is not allowed with IHWAP Weatherization funding.
Testing Protocols
Testing protocols are in alignment with RRP standards, using one of three methods: EPA recognized test kit, XRF instruments, or paint chip sampling.
Client Education
All conditions an energy auditor/assessor believes constitute an immediate or potential risk to an individual or property shall be listed on DCEO's Hazardous Condition Form at the time of assessment and a copy of the Renovate Right (EPA pamphlet) is given to the client and/or landlord.
Training and Certification Requirements

All contractor weatherization crews have at least one supervisory worker who has been trained and certified in lead-safe renovation practices under the United States Environmental Protection Agency’s “Renovation, Repair, and Painting” (RRP) program.

All weatherization workers and Local Administering Agency coordinators, assessors and final inspectors have EPA Lead Safe Renovator training.

All Local Administering Agencies and building shell contractors are required to have the EPA Certified Lead Renovator training. The Local Administering Agencies and building shell contractors will obtain this training on their own. DCEO will monitor for Local Administering Agency and building shell contractor firm and individual RRP certification as part of our Programmatic Monitoring process. Documentation of Lead Safe Work Practices is required in all applicable Client Files. DCEO monitors 10% of Local Administering Agency client files for compliance with LSW and RRP compliance.

Documentation Requirements

7.16 – Mold and Moisture

(Including but not limited to: drainage, gutters, down spouts, extensions, flashing, sump pumps, dehumidifiers, landscape, vapor retarders, moisture barriers, etc.)

Concurrence, Alternative, or Deferral

Concurrence with Guidance Alternative Guidance Results in Deferral

Funding

DOE LIHEAP State Utility Other

Limited water damage repairs that can be addressed by weatherization workers and correction of moisture and mold creating conditions are all allowed when necessary to weatherize the home and to ensure the long-term stability and durability of the measures. Gutter or downspout work when necessary to promote proper site drainage or prevent moisture/mold mildew conditions; Sump Pump repair, replacement, installation or covers necessary to keep seepage water out of the dwelling to stop or prevent moisture/mold mildew conditions in accordance with the DOE Standard Work Specifications.

What guidance do you provide Subgrantees for dealing with moisture related issues (e.g., drainage, gutters, down spouts, moisture barriers, dehumidifiers, vapor barrier on bare earth floors) in homes slated for weatherization?

The sub grantee’s assessor shall visually inspect at the time of the audit to determine potential drainage or mold issues. IHWAP funding cannot be used to address severe mold and moisture issues nor can it be used for mold testing. Where there is evidence of severe mold and moisture (area of mold greater than 10 ft²), deferral is required until the condition is corrected. Addressing major drainage issues is beyond the scope of IHWAP weatherization. Homes with drainage problems that may create a serious health concern are deferred.

How do you define “minor” or allowable moisture-related measures, and at what point is work considered beyond the scope of weatherization?

Minor includes work that is within the Health & Safety budget limit per housing unit. Costs that exceed the H & S budgets are beyond the scope of weatherization.

Client Education

Where assessment detects evidence of this health and safety hazard, Local Administering Agencies, at assessment or at final inspection, will counsel the client. All conditions an Energy Auditor/Assessor believes constitute an immediate or potential risk to an individual or property shall be listed on DCEO's Hazardous Condition Form at the time of assessment and a copy is given to the client and/or landlord.

The EPA publication "A Brief Guide to Mold, Moisture, and Your Home" is distributed to all WAP clients.

Training

Agency Weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program (TCP). The TCP curriculum includes awareness and identification of drainage issues and inspection procedures for them.

IHWAP's five-day architectural contractor certification curriculum includes awareness of drainage issues. Awareness of moisture and mold hazards for the weatherization program is detailed in the IHWAP Field Standards Manual.

7.17 – Pests

Concurrence, Alternative, or Deferral

Concurrence with Guidance Alternative Guidance Results in Deferral

Funding

DOE LIHEAP State Utility Other

Pest removal is allowed only where infestation would prevent weatherization.

What guidance do you provide Subgrantees for dealing with pests and pest intrusion prevention in homes slated for weatherization?

At assessment, the assessor will determine the presence and degree of infestation and risk to workers. Infestation of pests may be cause for deferral where the infestation cannot be reasonably removed or poses health and safety concern for workers.

Define Pest Infestation Thresholds, Beyond Which Weatherization Is Deferred

Testing Protocols

N/A

Client Education

Clients are informed of observed conditions constituting pest related health risks. When deferral is necessary, the assessor will provide information in writing describing conditions that must be met for weatherization to commence.

All conditions an Energy Auditor/Assessor believes constitute an immediate or potential risk to an individual or property is listed on DCEO's Hazardous Condition Form at the time of assessment and a copy is given to the client and/or landlord.

Training

Agency Weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes how to assess the presence and degree of infestation associated risk and need for deferral.

7.18 – Radon

Concurrence, Alternative, or Deferral

Concurrence with Guidance Alternative Guidance Results in Deferral

Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
Funding to minimize radon through measures such as vapor barrier to cover exposed dirt, sump pit covers, and sealing below grade foundation cracks.				
What guidance do you provide Subgrantees around radon?				
Whenever site conditions permit, exposed dirt must be covered with a vapor barrier (6 mil polyethylene sheeting) except for mobile homes, covers installed on open sump pits, and sealing of below grade foundations cracks. In homes where radon may be present, precautions should be taken to reduce the likeliness of making radon issues worse.				
Other than covering exposed dirt with vapor barriers, the costs of radon mitigation cannot be funded with DOE WAP funds.				
Testing Protocols				
N/A				
Client Education				
All conditions an Energy Auditor/Assessor believes constitute an immediate or potential risk to an individual or property is listed on DCEO's Hazardous Condition Form at the time of assessment and a copy is given to the client and/or landlord. Will provide all client's EPA's <i>A Citizen's Guide to Radon</i> and inform them of radon related risks and must have clients sign an informed consent form. The form must include information on the small risk of increasing radon levels when building tightness is improved, a list of precautionary measures WAP will install based on EPA Healthy Indoor Environment protocols, list some of the benefits of weatherization, and confirm receipt of EPA's <i>A Citizen's Guide to Radon</i> .				
Training and Certification Requirements				
Agency Weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes radon awareness: what it is, how it occurs, what factors may make it worse and what weatherization measures may be helpful.				
Documentation Requirements				
Clients must sign an informed consent form.				

7.19 – Safety Devices: Smoke and Carbon Monoxide Alarms, Fire Extinguishers		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
Installation of smoke/CO alarm is allowed where alarms are not present or are inoperable.		
What is your policy for installation or replacement of the following:		

Smoke Alarms: In all houses weatherized at least one operational smoke alarm is installed. Smoke alarms are installed when one is not present or operational. Batteries are installed to make existing smoke alarms operational when necessary. Smoke alarms are installed by the contractor and not left with the client.

One smoke alarm is installed on each level of the home. Additional smoke alarms are installed so that there is one smoke alarm located within 15 feet of every room used for sleeping. When applicable, one additional smoke alarm is installed at the base of the basement stairwell when applicable.

Smoke alarms will not be installed near kitchen stoves or bathroom showers, within 12 inches of exterior windows and door, in front of supply air registers or in unoccupied attics.

Existing smoke alarms are relocated as necessary.

When smoke alarms/CO alarms are installed, the installer will test them for proper performance to assure that they contain new batteries or, in the case of hard-wired smoke alarms or CO alarms, are wired to a circuit that is energized at all times and not wired to a ground-fault circuit interrupter (GFCI).

Smoke alarms that are powered by a battery will emit a signal when the battery is losing power. All installation hardware, including a screw mounting bracket, should be included with the alarm. Smoke alarms installed are approved by Underwriters Laboratories (UL).

Absence or condition of smoke alarms will not be reason for deferral: Smoke alarms are installed when one is not present or operational.

Carbon Monoxide Alarms: CO alarms will not be installed in the following areas: near bathrooms or in shower areas, in closets, crawl spaces or unheated areas where extreme hot or cold temperatures occur, within 5 feet of fuel burning appliances, close to adjacent walls or in comers, near bathtubs or basins, directly above or below return air grilles or supply registers, and behind drapes, furniture, or other objects that could block air flow to the CO alarm.

CO alarms must meet or exceed UL2034-98 and/or IAS696 standards. Plug-in models with separate battery backup will have a manual test and reset button, and a five-year warranty on the alarm and sensor. The expiration date, as warranted by the manufacturer, is written on the front of the alarm in permanent ink.

Fire Extinguishers: Fire extinguishers may only be provided where solid fuel (wood, coal, etc.) is being used in the home as either the primary or secondary heat source. Fire extinguishers should be labeled as a combination Class A-B-C extinguisher, and must be a minimum of 3 lbs.

Testing Protocols

Contractors shall test all smoke/Co alarms after installation.

Client Education

Local Administering Agency personnel review smoke alarm testing procedures with clients following alarm installation and advise them regarding battery replacement as appropriate. Clients are informed about the purpose and features of the CO alarms and informed on what to do if the alarm sounds. In situations where a fire extinguisher is provided, the client is instructed on how to use it.

Training

Local Administering Agency weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes awareness of the need for smoke alarms / CO alarms and their proper installation.

7.20 – Occupant Health and Safety Concerns and Conditions

Concurrence, Alternative, or Deferral

Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
Temporary relocation of at-risk occupants is allowed on a case by case basis.				
What guidance do you provide Subgrantees for soliciting the occupants' health and safety concerns related to components of their homes?				
Initial client interview will include questions on known or suspected health concerns. Clients are screened again during audit.				
What guidance do you provide Subgrantees for determining whether occupants suffer from health conditions that may be negatively affected by the act of weatherizing their home?				
What guidance do you provide Subgrantees for dealing with potential health concerns when they are identified?				
Temporary relocation of at-risk occupants is allowed on a case by case basis. If cost of relocation is beyond the scope of the health and safety budget, no IHWAP funds may be used and the home must be deferred.				
Client Education				
All conditions an Energy Auditor/Assessor believes constitute an immediate or potential risk to an individual or property is listed on DCEO's Hazardous Condition Form at the time of assessment and a copy is given to the client and/or landlord. When deferral is necessary, the assessor will provide information in writing describing conditions that must be met for weatherization to commence.				
Documentation Form(s) have been developed and comply with guidance? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>				

7.21 – Ventilation and Indoor Air Quality				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
When mechanical ventilation systems are required to meet the ASHRAE 62.2 (2016) requirements, costs are allowable health and safety expenses.				
Identify the Most Recent Version of ASHRAE 62.2 Implemented (optional: identify Addenda used)				
ASHRAE 62.2 (2016) ventilation compliance				
Testing and Final Verification Protocols				
Client Education				
Clients are provided with information on function, use and maintenance of ventilation system and components when ventilation fans are installed. Clients are provided a disclaimer that ASHRAE 62.2 does not account for high polluting sources or guarantee indoor air quality.				
Training				

Local Administering Agency weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes ASHRAE 62.2 training including proper sizing, evaluation of existing and new systems, depressurization tightness limits, critical air zones, etc.

IHWAP has provided and continues to provide ASHRAE 62.2 basic training to all Local Administering Agency weatherization field staff.

IHWAP's five-day contractor certification curriculum includes ASHRAE 62.2 training.

7.22 – Window and Door Replacement, Window Guards				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
Replacement, repair, or installation is not an allowed health and safety cost.				
What guidance do you provide to Subgrantees regarding window and door replacement and window guards?				
Testing Protocols				
Client Education				
Training				

7.23 – Worker Safety (OSHA, etc.)				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
How do you verify safe work practices? What is your policy for in-progress monitoring?				

Weatherization workers will follow OSHA Material Safety Data Sheets (SDS) pursuant to the revised Hazard Communications Standard 29 Code of Federal Regulations 1910.1200, and will take precautions to ensure the health and safety of themselves and other workers.

When workers or clients may be exposed to hazardous materials, Local Administering Agencies and their sub-contractors will develop and maintain a written hazard communication program conforming to the revised Hazard Communications Standard 29 Code of Federal Regulations 1910.1200 that at least describes sub grantees and/or their subcontractors program for:

1. Labeling of hazardous chemicals and other forms of warning, safety data sheets, and employee information and training, and
2. Maintaining a list of the hazardous chemicals known to be present on the jobsite using a product identifier that is referenced on the appropriate safety data sheet (the list may be compiled for the workplace as a whole or for individual work areas); and,
3. Methods used to inform employees of other employers and, when appropriate residents, of hazardous chemicals in use on the jobsite.

Inspectors will also conduct in-progress monitoring at some jobs to verify that OSHA Construction regulations are being followed by contractors.

Training and Certification Requirements

DCEO provides Health and Safety training to all WAP crews, contractors and Local Administering Agency field staff. WAP agencies will comply with OSHA requirements and will ensure that training includes hazards of chemicals and protective measures for handling them.

Training also includes the requirement and use of Safety Data Sheets (SDS), first aid techniques, and related safety equipment like ladders and respirator protection and proper worker safety techniques. DCEO will periodically monitor weatherization jobs in progress to ensure that contractors /crews are utilizing safe work practices according to all program requirements.

OSHA and SDS Compliance: OCA’s Weatherization Monitoring Unit performs periodic work site assessments to determine if crews are utilizing safe work practices and an appropriate hazard communications program is in place in conformance with revised Hazard Communications Standard 29 Code of Federal Regulations 1910.1200.

7.24 – Water Heater

Concurrence, Alternative, or Deferral

Concurrence with Guidance Alternative Guidance Results in Deferral

Funding

DOE LIHEAP State Utility Other

Replacing/Repairing improper or ineffective water heater is an allowable health and safety measure. The installation of temperature/pressure discharge pipes or temperature/pressure valves is an allowable health and safety expenditure ensuring client and worker health and safety.

Remediation Protocols

Water heaters are visually inspected as part of the assessment process to determine if they are performing safely. Combustion testing is performed on each combustion appliance at assessment, the end of each day,

and at the time of the final inspection. Copies of test results are placed in the job file and are subject to OCA's monitoring protocol.

Gas lines, sediment traps, flexible connectors, or gas shut off valves are not allowed to be replaced unless they are damaged or leaking. Replacement requires OCA written approval.

Testing Protocols

Combustion testing is performed on each combustion appliance at assessment, the end of each day, and at the time of the final inspection.

Client Education

Where assessment detects evidence of this health and safety hazard, Local Administering Agency staff, at assessment or final inspection, counsel the client and provide information on appropriate use, and maintenance of appliances/water heaters.

Training

Local Administering Agency weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes conducting diagnostic testing on appliances as well as combustion safety training.

IHWAP's five-day contractor certification for HVAC contractors' curriculum includes combustion safety training and awareness of relevant guidance.

7.25 – Solid Fuel Heating (Wood stoves, etc.)

Concurrence, Alternative, or Deferral

Concurrence with Guidance Alternative Guidance Results in Deferral

Funding

DOE LIHEAP State Utility Other

Maintenance, repair, and replacement of primary indoor heating units is allowed where occupant health and safety is a concern. Maintenance and repair of secondary heating units is allowed. Repair of flues and proper installation is required for both primary and secondary solid fuel heating appliances.

Remediation Protocols

Local Administering Agency inspectors inspect chimney and flue of all wood stoves and conduct combustion appliance zone depressurization testing.

Testing Protocols

Client Education

Where assessment detects evidence of this health and safety hazard, sub grantee staff at assessment or at final inspection will counsel the client on wood stove safety.

All conditions an energy auditor/assessor believes constitute an immediate or potential risk to an individual or property is listed on DCEO's Hazardous Condition Form at the time of assessment and a copy is given to the client and/or landlord.

Training

Local Administering Agency weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes how to perform CAZ depressurization testing, proper inspection of flue and general safety issues of wood stoves and fireplaces.

7.26 – Space Heaters Unvented Combustion		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input checked="" type="checkbox"/>	State <input checked="" type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
Removal of unvented combustion space heaters is required and is an allowable expense to IHWAP grants.		
Remediation Protocols		
IHWAP weatherization contractors are required to remove unvented space heater even if used as a secondary heat source and the unit conforms to ANSI Z21.11.2. The unit may remain until a replacement heating system is in place.		
Testing Protocols		
Client Education		
<p>Clients are informed of the dangers of unvented space heaters</p> <p>All conditions an energy auditor/assessor believes constitute an immediate or potential risk to an individual or property shall be listed on DCEO's Hazardous Condition Form at the time of assessment and a copy is given to the client and/or landlord.</p>		
Training		
Local Administering Agency weatherization coordinators, assessors and final inspectors are certified through IHWAP's ten-week Training Certification Program. TCP curriculum includes understanding the dangers of unvented space heaters.		