

**ARKANSAS DEPARTMENT OF HUMAN SERVICES
DIVISION OF COUNTY OPERATIONS
OFFICE OF COMMUNITY SERVICES**

**AMERICAN RECOVERY AND REINVESTMENT ACT (ARRA)
WEATHERIZATION ASSISTANCE PROGRAM
2009-2012 STATE PLAN**

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PART I
ANNUAL FILE

OVERVIEW

A. **Background**

Arkansas Department of Human Services, Division of County Operations, Office of Community Services (DHS) will administer the American Recovery and Reinvestment Act (ARRA) Low-Income Weatherization Assistance Program in compliance with public law 111-5. DHS will administer the American Recovery and Reinvestment Act, 2009-2012 Weatherization Program, in compliance with the applicable law, including regulations contained in 10 CFR Part 440 (issued February 1, 2002), and other procedures applicable to this regulation as the United States Department of Energy may prescribe for the administration of financial assistance. The plan is for a three-year period, fiscal year 2009 through fiscal year 2012.

DHS will monitor subgrantee performance in an effort to increase production of weatherized units. Quarterly production reports will be submitted to DOE on time.

All units weatherized using American Recovery and Reinvestment Act funds from DOE will comply with all requirements for a completed unit and will be reported to DOE.

The purpose of the Weatherization Assistance program is to increase energy efficiency of dwellings owned or occupied by low-income persons, reduce their total residential expenditures, and improve their health and safety.

The priority population for the Weatherization Assistance Program is persons who are particularly vulnerable such as the elderly, persons with disabilities, families with children, high residential energy users, and households with high energy burden. The ARRA weatherization program was enacted to preserve and create jobs and promote economic recovery. The only health and safety measures installed with ARRA funds will be “energy-related” health and safety measures. The state ensures that it will comply with the DOE “prudent use” policy for health and safety funds.

B. **General Funding**

The federally appropriated ARRA funds are included in the plan for DOE approval. The DOE allocation is \$48,114,415.

C. **Adjusted Average**

The adjusted average of \$6,500 will be in use for the program.

D. **Funds for Administrative Purposes**

The state will use less than 5% for administration; the balance up to the 5% allowable will be passed to subgrantees. Subgrantees will receive 5% for administration since all will be allocated more than \$350,000 for the program period.

E. **Leveraged Resources**

The local agencies will use DOE resources to leverage with the Arkansas Weatherization Program.

F. Training and Technical Assistance

The state will use the ARRA T/TA funds to provide training and technical assistance to subgrantees. As a part of its technical assistance plan the state will develop a certification program for subgrantees. As a part of this process, the state proposes to develop a model weatherization program by restructuring the program at Pine Bluff Jefferson County Economic Opportunity Commission, Inc. The new program model developed for PBJCEOC will innerface with the Weatherization Training Center as a pathway to certification of all subgrantee staff in the state.

G. Application Package

- The state will comply with Fed Connect and other requirements as prescribed by DOE.
- The Master file has been eliminated from the plan. The state, however, will keep relevant information on file.
- The state does not use funds for Low-Cost/No-Cost. The state will use the MHEA and NEAT energy audits. These plans are kept on file but are not included in this plan.
- The plan is for a three-year period, fiscal year 2009 through fiscal year 2012.
- The source of labor is no longer required to be reported.
- The Congressional Districts served by the various subgrantees are included in this plan. However, a breakdown of the percentage of funds going to the various districts is no longer required.
- The production, as required by DOE, is included in this plan. There are no downsizing efforts this program period.
- The potential energy savings are included in this plan.
- The Training and Technical Assistance Plan and the Monitoring Plan are combined into one plan. A house may be re-weatherized if it was previously weatherized prior to September 30, 1994.
- The annual application includes ARRA DOE funds. All laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the American Recovery and Reinvestment Act of 2009, Public Law 111.5, will be paid, wages at rates not less than those prevailing on projects of a character similar in locality as determined by the Secretary of Labor in accordance with Subchapter IV of Chapter 31 title 40, United States Code.
- Subgrantees use DOE funds for leveraging purposes with the Arkansas Weatherization Program. Electric base load measures are included in the NEAT/MHEA Audits.
- A list of PAC members is included in this plan.
- A transcript is included in this plan. The state requires subgrantees and contractors to maintain adequate liability insurance and pollution occurrence insurance.

H. Public Hearing

The state conducted a public hearing January 29, 2010 in compliance with ARRA DOE requirements. During the Public Hearing, information pertaining to the operation of the WAP was shared including that subgrantees are selected in compliance with 10 CFR 440.14 and 10 CFR 440.15. Additionally, information was shared as to the what action the state would take if production falls substantially below the projection rate for a subgrantee, as prescribed by the Office of Community Services, the Office of Community Services reserved the right to transfer all or a part of the responsibility for administration of the program from one subgrantee to another. The Pine Bluff Economic Opportunity Commission, Inc. (PBJCEOC) encountered problems during the ramp up phase of the ARRA program and subsequently suffered the loss of its Executive Director and Weatherization Director. Interim leadership attempted to operate the program; however, it became obvious that a total restructuring of the program would be necessary. In order to meet the production goals established by DOE for ARRA, the state made the decision to transfer both the regular DOE and ARRA program to the Central Arkansas

Development Council (CADC). Simultaneously the state will restructure the program at PBJCEOC with the goal of transferring the regular DOE program back March 31, 2011. Due to the limited time remaining under the ARRA program the state decided that CADC will retain the ARRA program through completion March 31, 2012.

The low Income Weatherization Assistance Program staff of the Arkansas Department of Human Services/Office of Community Services conducted a Public Hearing on July 30, 2010 at the Willie Hinton Neighborhood Resource Center in Little Rock, Arkansas. The Public Hearing provided the public with an opportunity to comment on the proposed use and distribution of Weatherization Assistance Program funds for FY 2010-2011.

July 30, 2010 – Little Rock, Arkansas

Public Hearing was conducted by Mark Whitmer, Chairperson of the Arkansas Weatherization Policy Advisory Council.

There were (34) thirty-four people in attendance at the Public Hearing. Each person was provided with a copy of the State Plan Summary of Changes. Upon completion of the oral presentation by Doris Wright, Program Manager, from the Office of Community Services, those attending were invited to ask questions and make comments.

There were two comments from the floor regarding the summary of changes, the first being the wording of the transfer of Pine Bluff Jefferson County Economic Opportunity Commission, Inc. (PBJCEOC) program to Central Arkansas Development Council, Inc. (CADC).

The second comment pertained to the Implementation of the Weatherization Assistance Program Subgrantee Operations Manual. The question raised pertained to the rating scale of the revised ARRA Monitoring Plan had been worked out and if the implementation of the Operations Manual was in progress and not in final revision.

The public hearing notice was published in the Arkansas Democrat-Gazette for three consecutive days, beginning July 23, 2010. The State Plan was also made available for public inspection and comment from July 31, 2010 – August 31, 2010. Those who wished to comment could submit written comments through their local weatherization provider, or submit comments directly to the Office of Community Services.

I. Training and Technical Assistance Plan

DHS has developed two training centers to address the training needs of the WAP network. All subgrantee staff engaged in weatherization work will be required to obtain certification through one of the state training centers by March 31, 2012 in order to continue working in the Weatherization Assistance Program. Subgrantees using contractors will be required to use only WAP Certified contractors. No staff will be “grandfathered” into certification. Once all program staff is certified, additional training needs will be assessed through a review of monitoring reports and agency requests for training. The state has a full time Weatherization Training Coordinator who assesses training needs and will coordinate training on a continuous basis. The training centers will have a curriculum based upon the Weatherization Core Competencies. Additionally, training will be designed for each staff role, energy auditor, inspector, crew chief, weatherization technician.

In addition to training at state training centers, the Weatherization Directors will be required to attend the state annual training conference and fall skills training. No certification is required prior to hire date; however, new hires must obtain certification within six months from the date of hire.

- J. Client Education**
The state provides client information and material at the time of weatherization.
- K. Program Evaluation**
DOE published a national evaluation of weatherization in 1993. Implementation of the new national evaluation has been suspended by the Office of Energy Efficiency and Renewable Energy (EERE). EERE has commissioned a strategic evaluation of the program to assess a variety of program structures and options for program development.
- L. Grantee Program Oversight**
The state will monitor each subgrantee at least two times annually and monitor at least 10% of the units and files.
- M. Energy Audit Criteria**
The state will use the MHEA and the NEAT energy audits.
- N. Health and Safety**
The Health and Safety Plan is included in the Master File and is not included in this Annual File. The plan has been amended to include DOE requirements regarding mold and mildew.
- O. Vehicle Purchases**
The state will allow vehicle purchases with an acquisition price of \$5,000 or more to be spread over the entire life of the vehicle and the number of homes served during that period.
- P. Policy Advisory Council**
The state will maintain the Policy Advisory Council instead of using a State Council.
- Q. Reporting Requirements**
The state will comply with the financial and program reporting requirements of ARRA DOE.
- R. Reporting DOE Completed Units**
The state will report all units that contain ARRA DOE funds. All units weatherized with DOE funds will comply with the DOE definition of a completed unit.
- S. Financial Audits**
Subgrantees may budget financial audit cost as a separate budget category.
- T. Newly Legalized Aliens**
The Immigration and Nationality Act made certain aliens legalized under the Immigration and Control Act of 1986 temporarily ineligible for weatherization assistance. The provisions of this law have expired. The only potential implications are those cases that were open while this law was in effect. Local agencies that are charitable and nonprofit are exempt from implementing new status verification requirements for nonqualified aliens. However, local government agencies must conduct status verification when serving nonqualified aliens.
- U. Multi-Family Eligibility**
A multifamily building may be weatherized if two-thirds of the units are eligible. Certain multifamily buildings with significant energy efficiency improvements or leverage resources require only one-half of

the units to be eligible. A building containing two or four units may be weatherized if one-half of the units are eligible. A nonqualified alien could be the recipient of weatherization services as part of the two-thirds or one-half rule.

V. Recovered Materials

Each subgrantee has a policy and procedure for using insulation composed of the highest percentage of recovered materials practical.

W. Rental Requirements

There are no changes in rental procedures.

X. Income Eligibility

The state will use 200 percent of poverty as the income eligibility level.

Y. Fuel Switching

DOE does not permit the general practice of fuel switching when replacing furnaces and appliances.

Z. Protection of Whistleblowers

Any employee of any non-Federal employer receiving covered funds under the Recovery Act may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing information the employee believes is evidence of: gross management of an agency contract or grant relating to covered funds; a gross waste of covered funds, a substantial and specific danger to public health or safety related to the implementation or use of covered funds; an abuse of authority related to the implementation or use of covered funds; or a violation of law, rule, or regulation related to an agency contract (including the competition for or negotiation of a contract) or grant, awarded or issued relating to recovered funds.

AA. False Claims Act

The state and subgrantees will promptly refer to the DOE or other appropriate Inspector General any credible evidence that a principle, employee, agency, contractor, subcontractor or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity or similar misconduct involving those funds.

BB. Information in Support of Recovery Act Reporting

The state or subgrantees may be required to submit backup documentation for expenditures of funds under the Recovery Act including such items as timecards and invoices. The state or subgrantees shall provide copies of backup documentation at the request of the Contracting Officer or designee.

CC. Access to Records

Any representative of an appropriate inspector general appointed under section 3 or 8G of the Inspector General Act of 1988 (5 U.S.C. App.) or of the Comptroller General is authorized to (1) examine any records of the state, any of its contractors or subgrantees, or any State or local agency administering such contract that pertain to, and involve transactions in relation to, the subcontract, grant, or subgrant; and (2) interview any officer or employee of the contractor, grantee, or subgrantee, or agency regarding such transactions.

GRANT APPLICATION
STANDARD FORM 424

Application for Federal Assistance SF-424		Version 02
*1. Type of Submission: <input checked="" type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		*2. Type of Application * If Revision, select appropriate letter(s) <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision *Other (Specify) _____
3. Date Received:		4. Applicant Identifier: DCO03170976
5a. Federal Entity Identifier: DEFG2607NT43109		*5b. Federal Award Identifier:
State Use Only:		
6. Date Received by State:		7. State Application Identifier:
8. APPLICANT INFORMATION:		
*a. Legal Name: Arkansas Department of Human Services		
*b. Employer/Taxpayer Identification Number (EIN/TIN): 71-0422536		*c. Organizational DUNS: 024720901
d. Address:		
*Street 1: <u>700 Main Street</u>		
Street 2: _____		
*City: <u>Little Rock</u>		
County: <u>Pulaski</u>		
*State: <u>Arkansas</u>		
Province: _____		
*Country: <u>United States</u>		
*Zip / Postal Code <u>72201</u>		
e. Organizational Unit:		
Department Name: Department of Human Services / Office of Community Services		Division Name: County Operations
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: <u>Mr.</u>		*First Name: <u>Thomas</u>
Middle Name: <u>E.</u>		
*Last Name: <u>Green</u>		
Suffix: _____		
Title: <u>Assistant Director</u>		
Organizational Affiliation:		
*Telephone Number: 501-682-8715		Fax Number: 501-682-6736
*Email: <u>thomas.green@arkansas.gov</u>		

Application for Federal Assistance SF-424	Version 02
*9. Type of Applicant 1: Select Applicant Type: A.State Government Type of Applicant 2: Select Applicant Type: Type of Applicant 3: Select Applicant Type: *Other (Specify)	
*10 Name of Federal Agency: Department of Energy	
11. Catalog of Federal Domestic Assistance Number: CFDA Title: 81.042 Weatherization Assistance for low income persons	
*12 Funding Opportunity Number: DG-FOA-0000051 *Title: Weatherization Formula Grants, American Recovery and Reinvestment Act (ARRA)	
13. Competition Identification Number: Title:	
14. Areas Affected by Project (Cities, Counties, States, etc.): State of Arkansas	
*15. Descriptive Title of Applicant's Project: Weatherization Assistance Program ARRA- The program provides energy conservation for the homes of low-income elderly, disabled and others. The program is intended to stimulate the economy, and to create and retain jobs.	

Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

*a. Applicant: AR 002

*b. Program/Project: AR - all

17. Proposed Project:

*a. Start Date: 04/01/2009

*b. End Date: 03/30/2012

18. Estimated Funding (\$):

*a. Federal	_____	\$48,114,415
*b. Applicant	_____	
*c. State	_____	
*d. Local	_____	
*e. Other	_____	
*f. Program Income	_____	
*g. TOTAL	_____	\$48,114,415

***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 on _____
- 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.)**

Yes 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 comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)

** 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 specific instructions

Authorized Representative:

Prefix: Mr. _____ *First Name: Thomas _____
Middle Name: E. _____
*Last Name: Green _____
Suffix: _____

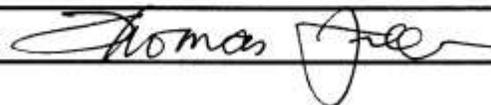
*Title: Assistant Director

*Telephone Number: 501-682-8715

Fax Number: 501-682-6736

* Email: thomas.green@arkansas.gov

*Signature of Authorized Representative:



*Date Signed:

3/19/09

STATE CLEARINGHOUSE
APPLICATION SUPPLEMENT

1. IF THIS IS A "NOTIFICATION OF INTENT" TO APPLY OR A PREAPPLICATION, PLEASE CHECK THIS BOX AND INDICATE GRANT I.D. ASSIGNED. I.D. _____X(8)
2. IF THIS IS AN ACTUAL GRANT APPLICATION, PLEASE CHECK THIS BOX , AND INDICATE GRANT I.D. ASSIGNED. Grant I. D. DCO 12280774 (8)
*NOTE: IF A NOTIFICATION OF INTENT OR PREAPPLICATION HAS BEEN PREVIOUSLY SUBMITTED, USE THAT I.D. TO COMPLETE ITEM 2 AND INDICATE SAI# THAT WAS ASSIGNED TO THE NOI OR PREAPP. SAI# _____X(8)
3. IF THIS IS AN APPLICATION FOR SUPPLEMENTAL FUNDS OR IS A REVISION, PLEASE INDICATE ORIGINAL GRANT I.D. AND SAI# TO WHICH IT APPLIES. GRANT I.D. _____X(8) SAI# _____X(8)
4. GRANT YEAR 2009-2012 XX
5. GRANT START DATE 04 / 01 / 09 GRANT END DATE 03 / 31 / 12 (mo/day/yr)
6. APPLICANT (AGENCY) CODE 710H X(7) (see Applicant Code List)
7. GRANTOR CODE DOE X(5) (see Grantor Code List)
8. ORGANIZATION UNIT _____ Department of Energy
9. FUNDING PERCENTAGE REQUIREMENTS: FEDERAL 100 % STATE _____% OTHER _____%
10. TYPE OF ASSISTANCE (A THROUGH P) _____(see instructions on back)
11. METHOD OF FUNDING 3
 1. ADVANCE BY TREASURY CHECK
 2. REIMBURSEMENT BY TREASURY CHECK
 3. ADVANCE BY LETTER OF CREDIT
 4. REIMBURSEMENT BY LETTER OF CREDIT
12. FEDERAL FUNDS FOR THIS GRANT WILL BE RECEIVED DIRECTLY FROM (CHECK ONE)
 A FEDERAL AGENCY ANOTHER STATE AGENCY OTHER SOURCE

**If a source is OTHER please specify _____
13. DO YOU HAVE AN INDIRECT COST RATE? YES NO
14. IF YES, IS THE RATE BEING APPLIED TO THIS PROJECT? YES NO

15.	A. DIRECT COST BASE	B. INDIRECT COST RATE	C. INDIRECT COSTS CLAIMED*
	\$	%	\$
D. EXPLANATION*			

GRANTS MANAGER _____
Signature

AGENCY _____ Office of Community Services

DATE _____

SUPPLEMENTARY GRANT INFORMATION

APPLICANT:

Office of Community Services
 Post Office Box 1437/S330
 Little Rock, Arkansas 72203-1437

PROJECT DURATION:

04/01/09 - 03/31/12

Name of Funding Agency: Department of Energy

Part I: Project Description

Briefly describe the purpose of the grant, the work to be done and the projected accomplishments.

The Weatherization Assistance Program for will weatherize 5578 units for the low-income families. Two subgrantees have been selected to receive Sustainable Energy Resources for Consumers grant. The funds will be used to expand the energy conservation measures in homes being weatherized and to include new efficiency measures.

Part II: Budgetary Information

	Applicant	Federal	State, Local, Other (Specify)	Total
Personal Services	_____	\$395,874	_____	\$395,874
Supplies and Materials	_____	\$1,954,004	_____	\$1,954,004
Travel	_____	\$1,251,521	_____	\$1,251,521
Capital Outlay	_____	\$0	_____	\$0
Consultants Services	_____	_____	_____	_____
Other	_____	\$45,540,272	_____	\$45,540,272
Total	_____	_____	_____	_____
Indirect Cost (_____%)	_____	1,302,744	_____	1,302,744
Total Support	_____	\$50,444,415	_____	\$50,444,415

Indicate Other Services: _____

Indicate "In-Kind" support by an (*) next to amount.

If the project is for more than one year, you should submit a separate budget for each applicable year.

0001N.18

BUDGET

Budget Information – Non Construction

OMB Approval No.0348-0044

Section A – Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal	Non-Federal	Federal	Non-federal	Total
		(c)	(d)	(e)	(f)	(g)
1. DOE	81.042			\$48,114,415		\$48,114,415
2.						
3.						
4.						
5. Totals				\$48,114,415		\$48,114,415
Section B – Budget Categories						
Grant Program, Function or Activity					Total	
6. Object Class Categories	(1) Grantee Administration	(2) Subgrantee Administration	(3) Grantee T&TA	(4) Subgrantee T&TA	-5	
a. Personnel	\$372,830		\$447,712		\$820,542	
b. Fringe Benefits	107,518		121,084		228,602	
c. Travel	95,100		117,000		212,100	
d. Equipment	147,500		177,500		325,000	
e. Supplies	0		841,160		841,160	
f. Contractual	-0-	2,405,721	4,052,017	658,683	44,082,350	

g. Construction	-0-		-0-		-0-
h. Other	229,326	-0-	732,274		961,600
i. Total Direct Charges (sum of 6a-6h)	952,274	2,405,721	6,488,747		46,812,671
j. Indirect Chares			1,302,744		1,302,744
k. Totals (sum of 6i and 6j)	\$952,274	2,405,721	7,791,491		48,115,415
7. Program Income					

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Section A – Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-federal (f)	Total (g)
1. DOE	81.042			\$48,114,415		\$48,114,415
2.						
3.						
4.						
5. Totals				\$48,114,415		\$48,114,415
Section B – Budget Categories						
Grant Program, Function or Activity						Total (5)
6. Object Class Categories	(1) Grantee Administration	(2) Subgrantee Administration	(3) Grantee T&TA	(4) Subgrantee T&TA		
a. Personnel	\$ 290,000		\$525,014		\$290,000	
b. Fringe Benefits	84,245		141,375		84,245	
c. Travel	221,500		95,000		1,251,521	
d. Equipment	128,000		206,000		532,000	
e. Supplies	59,450		826,160		1,954,004	
f. Contractual	-0-	2,405,721	4,188,801		43,833,566	

g. Construction	-0-		-0-		-0-
h. Other	169,079	-0-	506,397		169,079
i. Total Direct Charges (sum of 6a-6h)	952,274	2,405,721	7,791,491		48,114,415
j. Indirect Chares					
k. Totals (sum of 6i and 6j)	\$952,274	2,405,721	7,791,491		48,114,415
7. Program Income					

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Budget Information – Non Construction Programs

OMB Approval No.0348-0044

Section A – Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (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. Totals						
Section B – Budget Categories						
Grant Program, Function or Activity						Total (5)
6. Object Class Categories	(1) Program Operations	(2) Health and Safety	(3) Vehicles and Equipment	(4) Liability Insurance		
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual	33,364,929	2,400,000		1,000,000	36,964,929	

g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)	33,364,929	2,400,000		1,000,000	36,964,929
j. Indirect Charges					
k. Totals (sum of 6i and 6j)	33,364,929	2,400,000		1,000,000	36,964,929
7. Program Income					

SF-424A (Rev. 7-97)
Prescribed by OMB Circular A-102

Previous Edition Usable
Authorized for Local Reproduction

Budget Information – Non Construction Programs

OMB Approval No.0348-0044

Section A – Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (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. Totals						
Section B – Budget Categories						
Grant Program, Function or Activity						Total (5)
6. Object Class Categories		(1) Leveraging	(2) Financial Audits	(3)	(4)	
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual		0	200,000			200,000
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)		0	200,000			200,000
j. Indirect Charges						
k. Totals (sum of 6i and 6j)		0	200,000			200,000
7. Program Income						

2009-2012 DOE ARRA ALLOCATIONS

AGENCY	UNITS	PS & M	ADMINISTRATION	TOTAL
BRAD	178	\$ 1,155,521	\$ 76,780	\$ 1,232,301
CADC	1,053	6,843,553	454,727	7,298,280
CAPCA	263	1,706,580	113,396	1,819,976
CRDC	654	4,247,206	282,210	4,529,416
C-SCDC	233	1,511,754	100,451	1,612,205
CSO	121	785,240	52,177	837,417
MCAEOC	119	769,962	51,161	821,123
M-DCS	257	1,667,245	110,759	1,778,004
NADC	289	1,873,794	124,483	1,998,277
OHC	455	2,951,421	196,111	3,147,532
OOI	354	2,299,565	152,797	2,452,362
PB-JCEOC	350	2,270,817	150,887	2,421,704
SEACAC	301	1,950,863	129,628	2,080,491
SWADC	407	2,642,547	175,587	2,818,134
UHDC	544	3,530,178	234,567	3,764,745
TOTAL	5,578	36,206,246	2,405,721	38,611,967

Client Education \$100,000

*This formula incorporates \$6,500 maximum average.

2009-2012 ARRA T&TA ALLOCATIONS

AGENCY	TOTAL FUNDING
BRAD	\$ 21,022
CADC	124,502
CAPCA	31,048
CRDC	77,268
CSCDC	27,503
CSO	14,286
MCAEOC	14,008
MDCS	30,332
NADC	34,083
OHC	53,694
OOI	41,835
PBJCEOC	41,312
SEACAC	35,492
SWADC	48,075
UHDC	64,223
TOTAL	\$658,683

ALLOCATION FORMULA

AGENCY	HDD+CDD	PERCENT HDD+CDD	POVERTY%	AVERAGE HDD+CDD AND POVERTY
BRAD	16168	4.2122	2.1709	3.1915
CADC	59459	15.4906	22.3127	18.9016
CAPCA	15365	4.003	5.4241	4.7135
CRDC	41971	10.9345	12.5268	11.7306
CSCDC	10699	2.7873	5.5636	4.1754
CSO	4934	1.2849	3.0514	2.1688
MCAEOC	5368	1.3997	2.854	2.1266
MDCS	20438	5.3246	3.885	4.6048
NADC	27098	7.0597	3.291	5.1753
OHC	21753	5.6672	10.6363	8.1517
OOI	32274	8.4082	4.2944	6.3513
PBJCEOC	24872	6.4798	6.064	6.2719
SEACAC	23727	6.1815	4.5949	5.3882
SWADC	33904	8.8329	5.7643	7.2986
UHDC	45807	11.9339	7.5666	9.7502
TOTAL	383837	100	100	100

U.S. DEPARTMENT OF ENERGY

(10/01)

BUDGET EXPLANATION FOR FORMULA GRANTS

Provide detailed information to support each Cost Category using this form. Cost breakdown estimates may be entered on this form or attach a breakdown of costs using your own format as Attachment A.

1. PERSONNEL – Prime Applicant only (all other participant costs must be listed on 6. below and form DOE F 4600.4, Section B. Line 6.f. Contracts and Sub Grants.

- a. Identify, by title, each position to be supported under the proposed award. Grants Analyst (two positions)
- b. Briefly specify the duties of professionals to be compensated under this project.

Position	Description of Duties of Professionals
<u>WAP Program Manager</u>	Performs DOE management functions, supervises WAP program staff, formulates program policy, develops and tracks budgets, develops program policy, provides policy guidance and provides oversight of WAP program.
<u>Administrative Specialist I</u>	Provides administrative support for the WAP unit and all related functions; and conducts review of Davis-Bacon Act submissions by subgrantees.
<u>Administrative Specialist II</u>	Prepares purchase orders, process invoices, monitors contract expenditures.
<u>Training Coordinator</u>	Provides training and technical assistance oversees IT applications for subgrantees; provides oversight for all training and technical assistance activities.
<u>Program Monitor</u>	Provides training and technical assistance monitors all aspects of subgrantee operations. Each will handle a caseload of 4 agencies per year; monitor 25% of completed units and conduct diagnostic testing on at least 10% of the units monitored. Conducts financial management reviews in conjunction with onsite visits.
<u>Program Monitor</u>	Provides training and technical assistance and monitors all aspects of subgrantee operations. Each will handle a caseload of 4 agencies per year; monitor 25% of completed units and conduct diagnostic testing on at least 10% of the

units monitored. Conducts financial management reviews in conjunction with onsite visits.

Program Monitor

Provides training and technical assistance and monitors all aspects of subgrantee operations. Each will handle a caseload of 4 agencies per year; monitor 25% of completed units and conduct diagnostic testing on at least 10% of the units monitored. Conducts financial management reviews in conjunction with onsite visits.

Program Monitor

Provides training and technical assistance and monitors all aspects of subgrantee operations. Each will handle a caseload of 4 agencies per year; monitor 25% of completed units and conduct diagnostic testing on at least 10% of the units monitored. Conducts financial management reviews in conjunction with onsite visits.

Grants Analyst

Provides training and technical assistance; conducts research and analysis; develops grant applications; conducts procurement training; monitors contract expenditures, process invoices; prepares and submits production reports.

Grants Analyst

Provides training and technical assistance; prepares and submits reports to DOE in PAGE System; coordinates Davis-Bacon Act compliance; process invoices, monitor contract expenditures.

Direct Personnel Compensation:

Position	Salary/Rate	Time	Direct Pay
<u>WAP Program Manager</u>	\$153,556	50%	\$76,778
<u>Administrative Specialist I</u>	\$44,200	100%	\$44,200
<u>Administrative Specialist II</u>	\$21,827	100%	\$21,827
<u>Training Coordinator</u>	\$195,544	50%	\$97,772
<u>Program Monitor</u>	\$57,241	100%	\$57,241
<u>Program Monitor</u>	\$57,241	100%	\$57,241
<u>Program Monitor</u>	\$57,241	100%	\$57,241
<u>Program Monitor</u>	\$57,241	100%	\$57,241
<u>Grants Analyst</u>	\$57,241	100%	\$57,241

<u>Grants Analyst</u>	\$57,241	100%	<u>\$57,241</u>
		Direct Pay Total	\$447,712

2. FRINGE BENEFITS_–

a. Are the fringe cost rates approved by a Federal agency? If so, identify the agency and date of latest rate agreement or audit below, and include a copy of the rate agreement.
N/A

b. If above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations as an attachment.

FICA match 7.650%; Retirement 12.46%; Unemployment Tax .049%; Workers Comp. 082%; Insurance \$390 per employee x 12 (months).

Position	Direct Pay	Rate	Benefits
<u>WAP Program Manager</u>	\$76,778	34.00%	\$25,459
<u>Administrative Specialist I</u>	\$44,200	34.00%	\$6,807
<u>Administrative Specialist II</u>	\$21,827	34.00%	\$7,421
<u>Training Coordinator</u>	\$97,772	34.00%	\$23,805
<u>Program Monitor</u>	\$57,241	34.00%	\$19,462
<u>Program Monitor</u>	\$57,241	34.00%	\$19,462
<u>Program Monitor</u>	\$57,241	34.00%	\$19,462
<u>Program Monitor</u>	\$57,241	34.00%	\$19,462
<u>Grants Analyst</u>	\$57,241	34.00%	\$19,462
<u>Grants Analyst</u>	\$57,241	34.00%	<u>\$19,462</u>
		Direct Pay Total	\$141,340

3. Travel – Identify total foreign and domestic travel as separate items.

a. Purpose of Travel	Number of Trips	Cost of trips	Total
<u>Subgrantee Monitoring visits</u>	<u>1020</u>	<u>\$ 150.00</u>	<u>\$153,000.00</u>
Subgrantee T&TA Visits	34	\$ 245.00	\$ 8,330.00
Lead Based Paint Training	6	\$2,000.00	\$12,000.00
DOE National Training Conference	8	\$2,150.00	\$17,200.00
NASCSP Fall and Winter Meeting/Training	1	\$2,150.00	<u>\$ 2,150.00</u>
		Travel Total	\$192,680.00

- b. Specify the basis for computation of travel expenses (e.g., current airline ticket quotes, past trips of a similar nature, federal government or organization travel policy, etc.).

Past trips of a similar nature.

4. EQUIPMENT - as defined in 10 CFR 600.202. Definitions can be found at http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html

- a. Provide the basis for the materials and supplies cost estimates (e.g., vendor quotes, prior purchases of similar or like items, etc.).

Prior purchases	\$1,800 x 4 = \$7,200
Prior purchases.....	\$2,625 x5 = 13,125
Vendor Quote.....	\$22,819x2 = \$45,638
Vendor quote.....	\$675 x 4 = \$2,700
Vendor quote.....	\$950 x 5 = \$4,750
Vendor quote.....	\$11,000 x 2 = \$22,000
Vendor quote.....	\$5,500 x 2 = \$11,000
Vendor quotes & prior purchases	<u>\$71,087</u>
 Total equipment	 \$177,500

- a. Briefly justify the need for items of material to be purchased.

Weatherization staff needs new computers. (Admin.)
 Weatherization staff needs digital cameras. (Admin.)
 Weatherization staff needs carbon monoxide detectors. (Admin.)
 Weatherization staff needs infrared cameras (Admin).
 Weatherization staff needs Niton analyzer. (Admin.)
 Weatherization staff needs blower doors. (Admin)
 Additional weatherization equipment purchases. (Admin.)
 Additional vehicles for staff. (T&TA)

5. MATERIALS AND SUPPLIES - as defined in 10 CFR 600.202. Definitions at http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html.

- a. Provide the basis for the materials and supplies cost estimates (e.g., vendor quotes, prior purchases of similar or like items, etc.).

- b. Briefly justify the need for items of material to be purchased.

Admin - \$841,160 Central Office operating expenses.

6. CONTRACTS AND SUBGRANTS – All other participant costs including subcontractor, sub-grants, and consultants.

Provide the information below for new proposed sub recipients and subcontractors. For ongoing subcontractors and sub recipients, if this information is provided elsewhere in the application, it does not have to be restated here, but please indicate the document and page numbers where it can be found.

<u>Name of Proposed Sub</u>	<u>Total Cost</u>	<u>Basis of Cost*</u>
Subgrantee Listing	\$ 39,370,650	Install Energy Conservation measures Allocation formula
Sustainable Energy Resources for Consumers Grant	\$2,213,500	Two subgrant agencies have been awarded these funds.
Incentive Pool	\$631,000	Additional funds for installation of energy conservation measures based upon production goals.
Training Centers (2)	<u>\$ 4,052,017</u>	Price quote.
Total Contracts and Subgrants	\$46,966,167	

* For example—Competitive, Historical, Quote, Catalog

7. OTHER DIRECT COSTS - Include all direct costs not included in above categories.

- a. Provide the basis for the cost estimates (e.g., vendor quotes, prior purchases of similar or like items, etc.).

Admin – Costs are for telephone service charge, credit card purchases and subscriptions, publications and books and for audit costs - \$952,274.

Evaluation cost – T & TA funds will be used to help gather the information that will be requested for the National Evaluation of the Weatherization Assistance Program - \$25,000.

- b. Briefly justify the need for items to be purchased.

These expenses are based on prior year experience in the regular Weatherization Assistance Program and projected program requirements based upon DOE guidance.

8. INDIRECT COSTS -

- a. Are the indirect cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and include a copy of the rate agreement.

A cost allocation plan is used and it is updated annually.

\$1,302,744

Community Services Administration
420509 HG1X00XX

Code	Program	Quarter Ending 06/30/10	Quarter Ending 09/30/10	Quarter Ending 12/31/10	Quarter Ending 03/31/11
FK	Lead Based Paint				
F5	HEAP	27.27	27.27	33.34	33.33
F8	Weatherization	36.36	36.37	33.33	33.33
F9	CSBG	36.37	36.36	33.33	33.34
	TOTAL	100	100	100	100

- b. If "a" above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations as an attachment.

SUBGRANTEES

DOE F 540.5
(12-04)

U.S. Department of Energy WEATHERIZATION ASSISTANCE PROGRAM SUBGRANTEE INFORMATION

OMB Control No. _____
Expires _____

Grant #: 841 **Amendment:** _____ **State:** AR **Program Year:** 2009-2012

Name: Black River Area Development Corporation Phone: (870) 892-5219
 Address 1: 1403 Hospital Drive *Contact: Jim Jansen, Executive Director
 Address 2: _____ *Fax: (870) 892-0707
 City: Pocahontas State: AR Zip Code: 72455
 *Email: jjansen@bradcorp.org

Tentative allocation:	\$1,253,322
Planned units:	178
Type of organization:	501(c)(3)
Sources of Labor:	DOE

Counties served:
Clay
Lawrence
Randolph

Congressional Districts:
1

* These fields are optional.

Name: Central Arkansas Development Council Phone: (501) 315-1121
 Address 1: 722 Gaunt Street *Contact: Larry Cogburn, Executive Director
 Address 2: P.O. 580 *Fax: (501) 778-9120
 City: Benton State: AR Zip Code: 72018
 *Email: lcogburn@cadc.cc

Tentative allocation:	\$9,599,819
Planned units:	1,343
Type of organization:	501(c)(3)
Sources of Labor:	DOE

Counties served: Calhoun, Clark,
Columbia, Dallas, Hot Spring, Lonoke,
Montgomery, Ouachita, Pike, Pulaski,
Saline, Union, Grant, Arkansas, Lincoln,
Jefferson, Cleveland

Congressional Districts:
1, 2, 4,

* These fields are optional.

Name: Community Action Program for Central Arkansas, Inc. Phone: (501) 329-3891
 Address 1: 707 Robins Street, Suite 118 *Contact: Phyliss Fry, Executive Director
 Address 2: _____ *Fax: (501) 329-8642
 City: Conway State: AR Zip Code: 72034
 *Email: phyliss@capcainc.org

Tentative allocation:	\$1,851,022
Planned units:	263
Type of organization:	501(c)(3)
Sources of Labor:	DOE

Counties served:
Cleburne
Faulkner
White

Congressional Districts:
1 2,

* These fields are optional.

DOE F 540.5
(12-04)

**U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

OMB Control No. _____
Expires _____

Grant #: 841 **Amendment:** _____ **State:** AR **Program Year:** 2009-2012

Name: Crowley's Ridge Development Council Phone: (870) 802-7100

Address 1: 2401 Fox Meadow Lane *Contact: Loyd Price, Exec. Dir

Address 2: P.O. 16720 *Fax: (870) 935-0291

City: Jonesboro State: AR Zip Code: 72403

*Email: lprice@crdcnea.com

Tentative allocation:	\$4,606,682
Planned units:	654
Type of organization:	501(c) (3)
Sources of Labor:	DOE

Counties served:
Craighead, Crittenden
Cross, Greene
Jackson, Poinsett
St. Francis, Woodruff

Congressional Districts:
1

* These fields are optional.

Name: Crawford-Sebastian Community Development Council, Inc. Phone: (479) 785-2303

Address 1: 4831 Armour Street *Contact: Mark Whitmer, Executive Director

Address 2: P.O. 4069 *Fax: (479) 785-2341

City: Fort Smith State: AR Zip Code: 72914

*Email: mwhitmer@cscdcca.org

Tentative allocation:	\$1,639,706
Planned units:	233
Type of organization:	501 (c)(3)
Sources of Labor:	DOE

Counties served: ,
Crawford
Sebastian

Congressional Districts:
3,

* These fields are optional.

Name: Community Services Office, Inc. Phone: (501) 624-5724

Address 1: 600 West Grand *Contact: Leon Massey, Executive Director

Address 2: P.O. Box 1175 *Fax: (501) 624-1645

City: Hot Springs State: AR Zip Code: 71902

*Email: lemass@csohs.org

Tentative allocation:	\$851,701
Planned units:	121
Type of organization:	501 (c)(3)
Sources of Labor:	DOE

Counties served:
Garland

Congressional Districts:
4

* These fields are optional.

DOE F 540.5
(12-04)

**U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

OMB Control No. _____
Expires _____

Grant #: 841 **Amendment:** _____ **State:** AR **Program Year:** 2009-2012

Name: Mississippi County, Arkansas Economic Opportunity Commission, Inc. Phone: (870) 776-1054

Address 1: 1400 North Division *Contact: Samuel Scruggs, Executive Director

Address 2: P.O. Box Drawer 1289 *Fax: (870) 776-1875

City: Blytheville State: AR Zip Code: 72316

*Email: sam.scruggs@sbcglobal.net

Tentative allocation:	\$835,129
Planned units:	119
Type of organization:	501(c) (3)
Sources of Labor:	DOE

Counties served:
Mississippi

Congressional Districts:
1

* These fields are optional.

Name: Mid-Delta Community Services, Inc. Phone: (870) 338-6406

Address 1: 610 Biscoe Street *Contact: Margaret Staub, Executive Director

Address 2: P.O. Drawer 745 *Fax: (870) 338-6406

City: Helena State: AR Zip Code: 72342

*Email: mmstaub@cox-internet.com

Tentative allocation:	\$1,808,334
Planned units:	257
Type of organization:	501 (c)(3)
Sources of Labor:	DOE

Counties served:
Lee
Monroe
Phillips
Prairie

Congressional Districts:
1

* These fields are optional.

Name: Northcentral Arkansas Development Council, Inc. Phone: (870) 793-5765

Address 1: 550 9th Street *Contact: Larry Goodwin, Executive Director

Address 2: P.O. Box 3349 *Fax: (870) 793-2167

City: Batesville State: AR Zip Code: 72503

*Email: nadc_larry@yahoo.com (underscore between nadc and larry)

Tentative allocation:	\$2,032,373
Planned units:	289
Type of organization:	501 (c)(3)
Sources of Labor:	DOE

Counties served: Fulton
Independence
Izard
Sharp
Stone

Congressional Districts:
1

* These fields are optional.

DOE F 540.5
(12-04)

**U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

OMB Control No. _____
Expires _____

Grant #: 841 **Amendment:** _____ **State:** AR **Program Year:** 2009-2012

Name: Office of Human Concern, Inc Phone: (479) 636-7301

Address 1: 506 East Spruce Street *Contact: Al West, Executive Director

Address 2: P.O. Box 778 *Fax: (479) 636-7312

City: Rogers State: AR Zip Code: 72757

*Email: alwest@ohc.org

Tentative allocation:	\$3,201,225
Planned units:	455
Type of organization:	501(c) (3)
Sources of Labor:	DOE

Counties served: Benton
Carroll
Madison
Washington

Congressional Districts:
3

* These fields are optional.

Name: Ozark Opportunities, Inc. Phone: (870) 741-9406

Address 1: 701 East Prospect 72601 *Contact: Roger Ratchford, Executive Director

Address 2: P.O. 1400 *Fax: (870) 741-0924

City: Harrison State: AR Zip Code: 72602

*Email: ooi@alltel.net

Tentative allocation:	\$2,494,196
Planned units:	354
Type of organization:	501 (c)(3)
Sources of Labor:	DOE

Counties served: Baxter, Boone
Marion, Newton
Searcy, Van Buren

Congressional Districts:
1, 2, 3

* These fields are optional.

Name: Pine Bluff-Jefferson County Economic Opportunities Commission, Inc. Phone: (870) 536-0046

Address 1: 817 Cherry Street *Contact: Charles Cunningham, Interim Executive Director

Address 2: P.O. Box 7228 *Fax: (870) 535-7558

City: Pine Bluff State: AR Zip Code: 71611

*Email: pbjceoc@sbcglobal.net

Tentative allocation:	\$285,978
Planned units:	40
Type of organization:	501 (c)(3)
Sources of Labor:	DOE

Counties served: Arkansas
Cleveland
Jefferson
Lincoln

Congressional Districts:
1, 4

* These fields are optional.

Grant	
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DOE F 540.5
(12-04)

**U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

OMB Control No. _____
Expires _____

Grant #: 841 **Amendment:** _____ **State:** AR **Program Year:** 2009-2012

Name: Southeast Arkansas Community Action Corporation Phone: (870) 226-2668

Address 1: 1208 Myrtle *Contact: Larry Henderson, Executive Director

Address 2: P.O. Box 312 *Fax: (870) 226-5637

City: Warren State: AR Zip Code: 71671

*Email: larryhenderson@seacac.com

Tentative allocation:	\$2,115,981
Planned units:	301
Type of organization:	501(c) (3)
Sources of Labor:	DOE

Counties served: Ashley
Bradley
Chicot
Desha
Drew

Congressional Districts:
4

* These fields are optional.

Name: Southwest Arkansas Development Council, Inc. Phone: (870) 773-5504

Address 1: 3902 Sanderson Lane *Contact: Ricky Pondexter, Executive Director

Address 2: _____ *Fax: (870) 772-2974

City: Texarkana State: AR Zip Code: 71854

*Email: swadc@cableone.net

Tentative allocation:	\$2,866,207
Planned units:	407
Type of organization:	501 (c)(3)
Sources of Labor:	DOE

Counties served: Hempstead, Howard
Lafayette, Little Rock
Miller, Nevada
Sevier

Congressional Districts:
4

* These fields are optional.

Name: Universal Housing Development Corporation Phone: (479) 968-5001

Address 1: 301 East Third Street *Contact: Pat Atkinson, Executive Director

Address 2: P.O. Box 846 *Fax: (479) 968-5002

City: Russellville State: AR Zip Code: 72801

*Email: pat@uhdc.net

Tentative allocation:	\$3,828,966
Planned units:	544
Type of organization:	501 (c)(3)
Sources of Labor:	DOE

Counties served: Conway, Franklin
Johnson, Logan
Perry, Polk
Pope, Scott
Yell

Congressional Districts:
2, 3

* These fields are optional.

OFFICE OF COMMUNITY SERVICES
ARKANSAS WEATHERIZATION SUBGRANTEES

<i>Agency</i>	<i>Contact Information</i>	<i>Counties Served</i>
BRAD	<p>Mr. Jim Jansen, Executive Director Black River Area Development Corp. 1403 Hospital Drive Pocahontas, Arkansas 72455 Telephone: (870) 892-5219 FAX: (870) 892-0707 E-mail: jjansen@bradcorp.org</p> <p>Mr. Kris Rose, Weatherization Director (870) 892-4547 Ext. 234 krrose@bradcorp.org</p>	<p>Clay Lawrence Randolph</p>
CADC	<p>Mr. Larry Cogburn, Executive Director Central Arkansas Development Council 722 Gaunt Street Post Office Box 580 Benton, Arkansas 72018 Telephone: (501) 315-1121 FAX: (501) 778-9120 E-mail: lcogburn@cadcc.com Also E-mail: lblair@cadcc.com</p> <p>Ms. Beverly Palmer, Weatherization Coordinator E-mail: bpalmer@cadcc.com</p> <p>Financial: Ms. Debbie Kirk, Finance Support Telephone: (501) 315-1122 E-Mail: dkirk@cadcc.com</p>	<p>Calhoun Clark Columbia Dallas Hot Spring Lonoke Montgomery Ouachita Pike Pulaski Saline Union Cleveland Arkansas Lincoln Grant Jefferson</p>
CAPCA	<p>Ms. Phyliss Fry, Executive Director Community Action Program for Central Arkansas, Inc. 707 Robins Street, Suite 118 Conway, Arkansas 72034 Telephone: (501) 329-3891 Ext. 127 FAX: (501) 329-8642 E-mail: phyliss@capcainc.org</p>	<p>Cleburne Faulkner White</p>

Ms. Amy Bryant, Weatherization Director
Telephone: (501) 329-3891 Ext. 135
E-mail: amy.bryant@capcainc.org

<i>Agency</i>	<i>Contact Information</i>	<i>Counties Served</i>
CRDC	<p>Mr. Loyd Price Executive Dir. Crowley's Ridge Development Council 2401 Fox Meadow Lane Post Office Box 16720 Jonesboro, Arkansas 72403-1497 Telephone: (870) 802-7100 FAX: (870) 935-0291 E-mail: lprice@crdcnea.com</p> <p>Mr. Kenny Gunn, Weatherization Director Telephone: (870) 802-7100 ext. 120 E-mail: kennygunn@crdcnea.com</p>	<p>Craighead Crittenden Cross Greene Jackson Poinsett St. Francis Woodruff</p>
C-SCDC	<p>Mr. Mark Whitmer, Executive Director Crawford-Sebastian Community Development Council, Inc. 4831 Armour Street Post Office Box 4069 Fort Smith, Arkansas 72914 Telephone: (479) 785-2303 FAX: (479) 785-2341 E-mail: mwhitmer@cscdcaa.org</p> <p>Ms. Debbie Biggs, Weatherization Director Telephone: (479) 785-2303 Ext. 111 E-Mail: debbiebiggs@cscdcaa.org</p> <p>Financial: Ms. Sally Fisher Telephone: (479) 785-2303 Ext. 104 E-mail: sfisher@cscdcaa.org</p>	<p>Crawford Sebastian</p>
CSO	<p>Mr. Leon Massey, Executive Director Community Services Office, Inc. 600 West Grand Post Office Box 1175 Hot Springs, Arkansas 71901 Telephone: (501) 624-5724 FAX: (501) 624-1645 E-mail: lemass@sohs.org</p> <p>Joe Bob Garner, Weatherization Director</p>	<p>Garland</p>

<i>Agency</i>	<i>Contact Information</i>	<i>Counties Served</i>
MCAEOC	<p>Mr. Sam Scruggs, Executive Director Mississippi County, Arkansas Economic Opportunity Commission, Inc. 1400 North Division Post Office Drawer 1289 Blytheville, Arkansas 72316-1289 Telephone: (870) 776-1054 FAX: (870) 776-1875 or 776-1567 E-mail: Sam.Scruggs@sbcglobal.net</p> <p>Clark Phillips, Weatherization Director</p>	Mississippi
M-DCS	<p>Ms. Margaret Staub, Executive Director Mid-Delta Community Services, Inc. Post Office Box 745 Helena, Arkansas 72342 Telephone: (870) 338-6406 FAX: (870) 338-3629 E-mail: mmstaub@cox-internet.com</p> <p>Mr. Jacob Bright, Weatherization Director 610 S. Biscoe P.O. Box 745 Helena, Arkansas 72342 Telephone: (870) 295-3697 FAX: (870) 295-2036 E-mail: j.bright@suddenlinkmail.com</p> <p>Financial: Ms. Linda Ford E-mail: lsford@suddenlinkmail.com</p>	Lee Monroe Phillips Prairie
NADC	<p>Mr. Larry Goodwin, Executive Director Northcentral Arkansas Development Council, Inc. 550 9th Street Post Office Box 3349 Batesville, Arkansas 72503 Telephone: (870) 793-5765 FAX: (870) 793-2167 E-mail: nadc_larry@yahoo.com</p> <p>Mr. Tim Reeves, Weatherization Director Telephone: (870) 793-5765 Ext. 231 E-mail: (Does not use e-mail; use Larry Goodwin's)</p>	Fulton Independence Izard Sharp Stone

<i>Agency</i>	<i>Contact Information</i>	<i>Counties Served</i>
	Financial: Ms. Nancy Phillips, Finance Officer E-mail: nadc_nancy@yahoo.com Ms. Sharon Miller, Assistant E-mail: nadc_sharon@yahoo.com	
OHC	Mr. Al West, Executive Director Office of Human Concern, Inc. 506 East Spruce Street Post Office Box 778 (mail address only) Rogers, Arkansas 72757 Telephone: (479) 636-7301 FAX: (479) 636-7312 E-mail: alwest@eohc.org Jerrie Dutton, Weatherization Director E-mail: jdutton@ehc.org	Benton Carroll Madison Washington
OOI	Mr. Roger Ratchford, Executive Director Ozark Opportunities, Inc. 701 East Prospect 72601 Post Office Box 1400 Harrison, Arkansas 72601 Telephone: (870) 741-9406 FAX: (870) 741-0924 E-mail: ooi@alltel.net Mr. Peter Thomas, Weatherization Supervisor Telephone: (870) 448-2010 FAX: (870) 448-2018	Baxter Boone Marion Newton Searcy Van Buren
PB-JCEOC	Mr. Charles Cunningham, Interim Executive Director Pine Bluff-Jefferson County Economic Opportunities Commission, Inc. Post Office Box 7228 (Mail Address Only) 817 Cherry Street Pine Bluff, Arkansas 71603 Telephone: (870) 536-0046 FAX: (870) 535-7558 E-mail: pbjceoc@sbcglobal.net	Arkansas* Cleveland* Jefferson* Lincoln* Grant* *Transferred to CADC

<i>Agency</i>	<i>Contact Information</i>	<i>Counties Served</i>
SEACAC	<p>Mr. Larry Henderson, Executive Director Southeast Arkansas Community Action Corporation 1208 Myrtle Post Office Box 312 Warren, Arkansas 71671 Telephone: (870) 226-2668 FAX: (870) 226-5637 E-mail: larry.henderson@seacac.com</p> <p>Ms. Betty Forrest, Weatherization Director E-mail: betty.forrest@seacac.com</p>	<p>Ashley Bradley Chicot Desha Drew</p>
SWADC	<p>Mr. Ricky Pondexter, Executive Director Southwest Arkansas Development Council, Inc. 3902 Sanderson Lane Texarkana, Arkansas 71854 Telephone: (870) 773-5504 FAX: (870) 772-2974 E-mail: swadc@cableone.net</p> <p>Mr. Taft Wilson, Weatherization Director Telephone: (870) 774-1664 Ext. 103 E-mail: taftwilson@cableone.net</p> <p>Mr. Buddy Foster E-mail: buddyfoster@cableone.net</p> <p>Financial: Mr. Ricky Pondexter (Executive Director) E-mail: rpondexter@cableone.net</p>	<p>Hempstead Howard Lafayette Little River Miller Nevada Sevier</p>
UHDC	<p>Ms. Patricia Atkinson, Executive Director Universal Housing Development Corporation 301 East Third Street Post Office Box 846 Russellville, Arkansas 72801 Telephone: (479) 968-5001 FAX: (479) 968-5002 E-mail: pat@uhdc.net</p> <p>Mr. Loyd Collins, Weatherization Director E-mail: loyd@uhdc.net</p>	<p>Conway Franklin Johnson Logan Perry Polk Pope Scott Yell</p>

AGENCIES	COUNTIES
<p>Black River Area Development Corporation (BRAD) 1403 Hospital Drive Pocahontas, Arkansas 72455 Jim Jansen, Executive Director (870) 892-5219</p>	<p>Clay Lawrence Randolph</p>
<p>Central Arkansas Development Council (CADC) 722 Gaunt Street Post Office Box 580 Benton, Arkansas 72018 Larry Cogburn, Executive Director (501) 315-1121</p>	<p>Lonoke</p>
<p>Community Action Program For Central Arkansas, Inc. (CAPCA) 707 Robins Street, Suite 118 Conway, Arkansas 72034 Phyliss Fry, Executive Director (501) 329-3891</p>	<p>Cleburne</p>
<p>Crowley's Ridge Development Council (CRDC) 2801 Fox Meadow Lane Post Office Box 1497 Jonesboro, Arkansas 72403 Loyd Price Executive Director (870) 802-7100</p>	<p>Craighead Crittenden Cross Greene Jackson Poinsett St. Francis Woodruff</p>
<p>Mid-Delta Community Services, Inc. (M-DCS) Post Office Drawer 745 Helena, Arkansas 72342 Margaret Staub, Executive Director Telephone: (870) 338-6406</p>	<p>Lee Monroe Phillips Prairie</p>

CONGRESSIONAL DISTRICT 1

AGENCIES	COUNTIES
<p>Mississippi County, Arkansas Economic Opportunity Commission, Inc. (MCAEOC) 1400 North Division Post Office Drawer 1289 Blytheville, Arkansas 72316-1289 Sam Scruggs, Executive Director Telephone: (870) 776-1054</p>	<p>Mississippi</p>
<p>Northcentral Arkansas Development Council, Inc. (NADC) 550 9th Street Post Office Box 3349 Batesville, Arkansas 72503 Larry Goodwin, Executive Director (870) 793-5765</p>	<p>Fulton Independence Izard Sharp Stone</p>
<p>Ozark Opportunities, Inc. (OOI) 701 East Prospect Post Office Box 1400 Harrison, Arkansas 72601 Roger Ratchford, Executive Director (870) 741-9406</p>	<p>Searcy</p>
<p>Pine Bluff-Jefferson County Economic Opportunities Commission, Inc. (PB-JCEOC) 817 Cherry Street Post Office Box 7228 Pine Bluff, Arkansas 71611 Iry Rice, Executive Director (870) 536-0046</p>	<p>Arkansas</p>

CONGRESSIONAL DISTRICT 2

AGENCIES	COUNTIES
<p>Central Arkansas Development Council (CADC) 722 Gaunt Street Post Office Box 580 Benton, Arkansas 72018 Larry Cogburn, Executive Director (501) 315-1121</p>	<p>Saline</p>
<p>Community Action Program For Central Arkansas, Inc. (CAPCA) 707 Robins Street, Suite 118 Phyliss Fry, Executive Director Conway, Arkansas 72034 (501) 329-3891</p>	<p>Faulkner White</p>
<p>Central Arkansas Development Council (CADC) 5620 West 12th Street Ste 9 Little Rock, Arkansas 72204 Larry Cogburn, Executive Director (501) 603-0909</p>	<p>Pulaski</p>
<p>Ozark Opportunities, Inc. (OOI) 701 East Prospect Post Office Box 1400 Harrison, Arkansas 72602 Roger Ratchford, Executive Director (870) 741-9406</p>	<p>Van Buren</p>
<p>Universal Housing Development Corporation (UHDC) 301 East Third Street Post Office Box 846 Russellville, Arkansas 72801 Patricia Atkinson, Executive Director (501) 968-5001</p>	<p>Conway Yell Perry</p>

CONGRESSIONAL DISTRICT 3

AGENCIES	COUNTIES
<p>Crawford-Sebastian Community Development Council, Inc. (C-SCDC) 4831 Armour Street Post Office Box 4069 Fort Smith, Arkansas 72914 Mark Whitmer, Executive Director (501) 785-2303</p>	<p>Crawford Sebastian</p>
<p>Office Of Human Concern, Inc. (OHC) 506 East Spruce Street Post Office Box 778 Rogers, Arkansas 72757 Al West, Executive Director (501) 636-7301</p>	<p>Benton Carroll Madison Washington</p>
<p>Ozark Opportunities, Inc. (OOI) 701 East Prospect Post Office Box 1400 Harrison, Arkansas 72602 Roger Ratchford, Executive Director (501) 741-9406</p>	<p>Baxter Boone Marion Newton</p>
<p>Universal Housing Development Corporation (UHDC) 301 East Third Street Post Office Box 846 Russellville, Arkansas 72601 Patricia Atkinson, Executive Director (501) 968-5001</p>	<p>Franklin Johnson Logan Polk Pope Scott</p>

CONGRESSIONAL DISTRICT 4

AGENCIES	COUNTIES
<p>Central Arkansas Development Council (CADC) 722 Gaunt Street Post Office Box 580 Benton, Arkansas 72018 Larry Cogburn, Executive Director (501) 315-1121</p>	<p>Calhoun Clark Columbia Dallas Hot Spring Ouachita Montgomery Pike Union</p>
<p>Community Services Office, Inc. (CSO) 600 West Grand Post Office Box 1175 Hot Springs, Arkansas 71902 Leon Massey, Executive Director (501) 624-5724</p>	<p>Garland</p>
<p>Pine Bluff-Jefferson County Economic Opportunities Commission, Inc. (PB-JCEOC) 817 Cherry Street Post Office Box 7228 Pine Bluff, Arkansas 71611 Iry Rice, Executive Director (870) 536-0046</p>	<p>Cleveland Jefferson Lincoln Grant</p>
<p>Southeast Arkansas Community Action Corporation (SEACAC) 1208 Myrtle Street Post Office Box 312 Warren, Arkansas 71671 Larry Henderson, Executive Director (870) 226-2668</p>	<p>Ashley Bradley Chicot Desha Drew</p>
<p>Southwest Arkansas Development Council (SWADC) 3902 Sanderson Lane Texarkana, Arkansas Ricky Pondexter, Executive Director (870) 773-5504</p>	<p>Hempstead Howard Lafayette Little River Miller Nevada Sevier</p>

PRODUCTION SCHEDULE

**U.S. Department of Energy
WEATHERIZATION ANNUAL FILE WORKSHEET**

Grant #: 841 Amendment: _____ State: AR Program Year: 2009-2012
Budget Period: 2009-2012

II.3 Subgrantees

Grantee	City	Tentative	
		Funding*	Units*
BRAD	Pocahontas	\$1,253,323	178
CADC	Benton	7,522,781	1,053
CAPCA	Conway	1,851,022	263
CRDC	Jonesboro	4,606,683	664
C-SCDC	Fort Smith	1,639,707	233
CSO	Hot Springs	851,702	121
MCAEOC	Blytheville	835,130	119
M-DCS	Helena	1,808,335	257
NADC	Batesville	2,032,374	289
OHC	Rogers	3,201,226	455
OOI	Harrison	2,494,197	354
PB-JCEOC	Pine Bluff	2,463,016	350
SEACAC	Warren	2,115,981	301
SWADC	Texarkana	2,866,208	407
UHDC	Russellville	3,828,967	544
Totals		39,370,650	5,578

* Funding can include non-DOE sources if included in DOE budget. Units can include those completed with non-DOE funding if included in the DOE budget.

II.4 Production Schedule

Number of Units (Excluding reweatherized)	5,078
Rewatherized Units	500

Average Unit Costs, including Reweathering, Subject to DOE Program Rules*	
VEHICLES & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)	
A Total Vehicles & Equipment (\$5,000 or more) Budget	300,000
B Units Weatherized	5,078
C Units Reweatherized	500
D Total Dwelling Units to be Weatherized and Reweatherized (B+C)	5,578
E Average Vehicle & Equipment Acquisition Cost per Unit (A divided by D)	54
AVERAGE COST PER DWELLING UNIT (DOE RULES*)	
F Total Funds for Program Operations**	\$33,364,929
G Total Dwelling Units to be Weatherized and Reweatherized (from line D)	5,578
H Average Program Operations Cost per Unit (F divided by G)	5,982

I	Average Vehicle & Equipment Acquisition Cost per Unit (from line E)	54
J	Total Average Cost per Dwelling (H plus I)	6,036

* Funding can include non-DOE sources if included in DOE budget. Units can include those completed with non-DOE funding if included in the DOE budget.

** Funds for program operations include expenditures described by 440.18(c)(1) through (9).

**U.S. Department of Energy
WEATHERIZATION ANNUAL FILE WORKSHEET (continued)**

Grant: 841 Amendment: _____ State: AR Program Year: 2009-2012

Budget Period: 4/1/09 - 3/31/12

II.5 Energy Savings

Method used to calculate energy savings: WAP algorithm: Other (describe below):

Estimated energy savings (Mbtus): 32,482

Other Energy Savings Method Description

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II.6 Training, Technical Assistance, and Monitoring Activities

<p>Grant Guidance 5/21/09 Annual Training Conference 8/13-14/2009 Lead Based Paint 9/30/2009 Skills Training 10/1-2/2009</p>
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II.7 DOE-Funded Leveraging Activities

<p>N/A</p>

II.8 Policy Advisory Committee Members

Thomas Green, Rita Byers, Al West, Martie North
Kenny Gunn, Patricia Atkinson, Susan Reckon, William Taft Wilson
Kelly Lassiter, Jamie Stringfellow, Mark Whitmer
Jane Todd, Lawrence McCullough, Beverly Palmer

II.9 State Plan Hearings (send notes, minutes, or transcript to the Regional Office)

Hearing Date:	Newspapers that publicized the hearings and the dates that the notice ran.
<u>07/30/10</u>	<u>Arkansas Democrat-Gazette - 07/23-25</u>

If desired, hearing notes or transcripts may be cut and pasted into this space.

See Attached Transcription

U.S. Department of Energy
WEATHERIZATION ANNUAL FILE WORKSHEET (continued)

Grant: 841 Amendment: _____ State: AR Program Year: 2009-2012
Budget Period: 4/1/09 - 3/31/12

II.10 Adjustments to On-File Information

*Reference the Adjustments to On-File section of Plan

II.11 Miscellaneous

ENERGY SAVINGS

Energy Savings

An estimate of the amount of energy to be conserved.

The fuel analysis is representative of the typical unit weatherized by each of the subgrantees. The analysis provides the data regarding energy conservation.

DOE PROGRAM	AMOUNT	LINE
Total DOE State Weatherization Allocation	\$48,114,415	(a)
Total Cost associated with Administration, T&TA, Financial and Energy Audits or 15% of allocation	\$7,217,163	(b)
Subtract the amount entered in line (b) from Line (a), for total Federal (DOE) funds available to weatherize homes	\$40,897,252	(c)
State Average Cost per Home or National WAP Program Year Average Cost per Home (i.e., PY2009-\$6,500*)	\$6,500	(d)
Total Estimated Homes to be Weatherized	5,578	(e)
Multiply (e) by 30.5 MBTU** for total Annual Estimated Energy Savings resulting from DOE appropriated funds	\$32,482	(f)

ALL FUNDING SOURCES		
Total funds (e.g., DOE-WAP, State, Leveraged, LIHEAP, and other non-Federal sources of funds used by the State to weatherize homes		(g)
Total cost associated with the administration of Weatherization funds or 15% of total funds available to weatherize homes		(h)
Subtract the amount entered in line (h) from line (g), for total funds available to weatherize homes		(i)
State Average Cost per Home or Nation WAP Program Year Average Cost per Home (i.e., PY2007 - \$2885*)		(j)
Total Estimated Homes to be Weatherized		(k)
Multiply (k) by 30.5 MBTU** for total Annual Estimated Energy Savings resulting from all funding sources		(l)

**TRAINING, TECHNICAL ASSISTANCE,
AND MONITORING ACTIVITIES**

TRAINING AND TECHNICAL ASSISTANCE

Milestones and training guidance is based on information received from submissions by each subgrantee

1. GRANT GUIDANCE

May 21, 2009

State weatherization manager and training coordinator will provide guidance based on ARRA Program regulations and program policies.

2. WAP ANNUAL TRAINING CONFERENCE

August 13-14, 2009

Various new subject matter, as well as updated information will be taught that are directly related to new requirements from DOE (i.e. regional, national conferences & other related sources).

July 13-16, 2010

Implementation of a new conference format designed to allow attendees to select the breakout sessions that they desire to attend. In addition, the conference will unveil major new initiatives including a competitive incentive pool for agencies that achieve their ARRA production goals early; a monitoring rating scale tied to the severity and frequency of findings, a new state WAP logo designed to re-position the state WAP as a leader in *residential* energy conservation and stepped up public relations efforts.

3. LEAD BASED PAINT TRAINING

March & April 2010

Guidance will be provided regarding treatment of pre-1978 homes that may have lead hazards and various other subject matter pertaining to EPA Lead regulations.

July 13, 2010

The Office of Community Services Training staff will conduct a EPA Lead Renovator Certification class for new hires at the state and local level.

4. WAP SKILLS TRAINING

October 1 & 2, 2009

Weatherization personnel come together in state wide hands on training. This allows everyone to participate in a wide array of skilled demonstrations needed to professionally show “how to” perform the different tasks needed on each unit. In addition, two or three units will be selected in advance to perform weatherization installed activities. Similar trainings will be conducted each fiscal year of the grant period.

October 7-8, 2010

Using one of the state training centers, OCS training staff will conduct a statewide hands on training. This year the training will also be used to acquaint the WAP network with the state training centers and to reinforce the new certification requirements.

Monitoring Activities

1. An analysis of the existence and effectiveness of any weatherization project being carried out by a subgrantee.

The Office of Community Services (OCS) receives funding from the Department of Energy (DOE) to implement the Weatherization Assistance Program (WAP). The program is designed to increase the energy efficiency of dwellings owned or occupied by low-moderate income persons, reduce their total residential expenditures, and improve their health and safety, especially low-income persons who are particularly vulnerable such as the elderly, persons with disabilities, families with children, high residential energy users, and households with high energy burden.

OCS subcontracts with Community Action Agencies (CAA's) to implement the program at the local level. The WAP has been in existence for over 30 years. The American Recovery and Reinvestment Act (ARRA) provided additional funding for WAP. In order to address the high degree of accountability required by ARRA, OCS has hired four (4) additional Program Monitors (PM).

Each Program Monitor will be assigned 4 agencies and will follow the protocol outlined below. The attached organization chart will serve to illustrate the flow of operations within OCS. All staff report to the Program Manager; however, for training purposes, the new Program Monitors will report to their Team Leader.

Each Program Monitor will follow the monitoring protocol listed below which in addition to desk reviews will require a visit to the agency each month.

Subgrantee Desktop Reviews

Subgrantees will be monitored via standardized, periodic desktop monitoring. Desktop program evaluations examine subgrantee reports to assess progress and determine compliance with Federal rules and regulations, goals and objectives of the grant as stipulated in the approved plan, and the reporting and fiscal oversight of subgrantee expenditures. After conducting the desk review, the PM will then schedule a monitoring visit to the agency.

Subgrantees must comply with all reporting requirements mandated by the Recovery Act. To facilitate compliance, subgrantees are required to submit monthly reports on activities and expenditures. Program Monitor desktop reviews will:

- Identify any deficiencies in reporting such as delinquent reports. Where discrepancies exist between planned activities and actual accomplishments reported, the Monitor will follow-up with the subgrantee to determine causes and propose solutions that will correct the discrepancy. These findings will be reported to the Program Manager.
- Be used to report both major and minor problems that require resolution, such as significant staffing changes or excessive employee turnover. This information will be provided to the Program Manager and WAP Trainer. Together they will also identify and implement corrective actions.

Onsite Monitoring

Onsite monitoring visits will occur at subgrantee agencies and work sites. Monitors will review a representative sampling of customer files at the agency to determine that proper documentation of service delivery is maintained and that quality control inspections are being performed on each home. In addition, Monitors will:

- Review prior findings to determine existing deficiencies or areas of concern and determine whether those issues have been resolved.
- Inspect of up to 25 percent of homes at various stages of weatherization to ensure compliance with DOE rules and consistency between reported activities and actual measures.
- Conduct quality control inspection of at least 10 percent of completed homes to determine the quality of workmanship and appropriateness of service delivered by each sub-grantee.
- Interview WAP sub-grantee staff and clients to determine whether all tests were performed and appropriate measures installed on each unit.
- Verify that each home/client met program eligibility guidelines.
- Verify that each home received a Final Inspection conducted by the sub-grantee before the home was reported to the OCS as complete.
- Track expenditures from purchase to inventory to installation on the unit.
- Submit a written report to the Team Leader who will review it and submit it to the Program Manager. After review by the Program Manager, the report will be finalized and submitted to the Assistant Director for signature.

Fiscal Review

During each field visit, Program Monitors will examine previous subgrantee invoices and expenditure reports and verify that they match the agency general ledger. A sample of payments will be examined to verify the existence of documentation that supports the charges, that payments were made to vendors and that payments are allowable under program rules and regulations.

The books and records for any program activities allocated to or charged back to the WAP funds are also subject to review by the Program Monitor. If the Program Monitor notes a problem with allocations or charge backs, the findings will be noted in the report. If training and technical assistance is warranted, it will be provided to the subgrantee. Subsequent visits by the Program Monitor will verify that the problem has been corrected or that additional action is necessary.

OCS WAP MONITORING PROCEDURE –

Using the Monitoring Instrument, review the following areas:

- File documentation, including income verification
- Compliance with state & federal regulations
- Compliance with state weatherization assistance program specifications
- Completed project inspection
- Performance testing of homes
- Inventory control
- Health & safety inspection

- Audit results
- Resource accountability
- Work quality
- Fiscal controls

Who to meet with:

- Agency Coordinator
- Fiscal Officer
- Crew members
- Participants

Routine Program Evaluation Outline:

1. Review prior program evaluations.
2. Set up dates for the on site visit and request that agency have completed files from the prior month ready for review.
3. Travel to agency.
4. Meet and greet.
5. Discuss agency operations.
6. Discuss community partners.
7. Discuss other resources.
8. Review participant files with staff.
9. Based upon the monthly production goals, choose 25% of the completed jobs for field inspection. Of this number, conduct a performance test on 10%.
10. Perform field inspection.
11. Performance test homes.
12. Program Monitor and agency representative will discuss any opportunities identified during the inspection and performance testing of the homes.
13. Interview participants.
14. Prepare exit interview report.
15. Discuss findings.
16. Incorporate mutually agreed upon comments into the final review.
17. Discuss new techniques, approaches or protocols.
18. Discuss training needs.
19. Schedule additional follow up(s) on technical assistance topics identified.
20. Review corrective action from prior review.
21. Draft final review.
22. Send copy to executive director and agency coordinator.

Field Test Detail

Inspection of completed houses, with the accompaniment of the local agency auditor/inspector, provides an opportunity to provide on-site technical assistance. Various installation techniques, quality control issues, or test procedures may be discussed during the course of performing the inspection.

Diagnostic testing is performed, including blower-door tests, combustion safety tests, and duct leakage tests. The test results are compared with those noted in the participant file.

Set-up values of the NEAT/MHEA audit are checked to ensure they are current and accurate, that staff is proficient in the use of the NEAT/MHEA audit, and that it is used as directed by OCS.

****Exemplary practices, successful approaches, or creative ideas in the operation of the local program will be identified and noted.****

Crew Health and Safety procedures will be checked for compliance with OCS Health and Safety Plan as contained in the DOE State Plan.

At the conclusion of the monitor's visit, an exit conference will be conducted with the Program Coordinator and the Executive Director. If there are deficiencies, a recommended course of action will be agreed upon.

Every effort will be made to complete and mail a final report to the Executive Director and Program Coordinator within one week of the monitor visit. The agency will submit a written response providing assurance that identified problems are resolved in a timely manner and documented.

Reference Material

1. Weatherization Program Operations Manual.
2. Southeast Field Guide State Weatherization Assistance Program Specification and requirements.
3. US Department of Energy 10CFR Part 440 Weatherization.

Technical procedures adopted for the weatherization program, include:

- Blower Door and Air Sealing Procedures, which are used to determine a baseline goal for directing air-sealing work of the building envelope.
- Duct Pressure Test Procedures are the standards by which to measure the effectiveness of the HVAC system. The pre- and post weatherization test information is required to be collected and recorded in each client file.
- The Combustion Safety Test Procedures establish worst-case depressurization, spillage, flue draft, carbon monoxide, as well as a visual inspection. This procedure also contains safety thresholds. These tests must be performed and recorded, at a minimum, at the time of audit and final inspection. The test report form is to be completed on all homes that contain combustion appliances and maintained in the participant file.

Evaluation Tools and Equipment

The following tools and equipment will be used by Program Monitor to help determine satisfactory work performance:

1. Blower-door tests on a sample of completed jobs to verify the extent of air-sealing work and to assess the risk of indoor air quality problems.

2. A carbon monoxide detector and manometer on a sample of completed jobs that have combustion appliances to verify compliance with combustion safety test procedures.
3. An infrared scanner on a sample of completed jobs to verify uniform insulation coverage in closed cavities and inaccessible areas, as well as adequate air sealing work.
4. Digital cameras to take photos of houses inspected and to record extraordinary circumstances or work performance.

Levels of Agency Performance

As a result of the monitoring process, the Program Monitor will assess the subgrantee and assign a level of performance based upon the categories listed below:

Exemplary: Exceeds program expectations. Program is visionary, excels in all program aspects, highly responsive and innovative. Files are complete, organized and accurate. Administrative systems are good models for the entire network. Service delivery routinely exceeds targets and goals. Material installation consistently meets standards. Workmanship is good quality.

Stable: Meets program expectations. Activities are generally accurate, effective, organized, sound, proficient, and proactive. Good administration systems. Files are generally complete, organized and accurate. Overall program delivery is effective and sound. Staff is proficient in diagnostics. Material installation consistently meets standards. Workmanship is good quality.

Vulnerable: Noncompliance issues. Sometimes meets program expectations. Marginal administrative systems exist. File information inconsistent. Overall program delivery has gaps. Diagnostics are inadequate. Material installation sometimes meets standards. Workmanship is inconsistent.

At-Risk: Frequently does not meet program expectations. Inadequate, poor, substandard, incomplete, or deficient documentation exist. There is poor communication between state and agency staff. Inadequate administrative systems exist. Files are incomplete or inaccurate. Overall program delivery is substandard. Diagnostic work is deficient. Material installation and/or workmanship do not meet program standards.

Levels of Agency Performance and Program Evaluation (PE) Frequency High Performance or Exemplary Agencies

By way of monitoring review, an exemplary agency demonstrates performance that meets or exceeds expectations in the following areas:

1. Program operations:

- No Health and Safety finding as identified in previous monitoring report.
- No procedural findings related to program rules, and policies and procedures

2. Fiscal:

- No findings related to weatherization in the annual agency audit.

3. Technical:

- Provides comprehensive services utilizing the latest building science and renewable technology, in a cost-effective manner in accordance with State of Arkansas Weatherization Assistance Program guidelines.

4. Production:

- Agency unit production is high relative to funding.
- Agency routinely exceeds monthly production goals.
- Few incomplete or pending units at month end.

5. Qualified staff:

- Agency staff routinely attends OCS trainings and obtain required certifications in a timely way.

6. Risk:

- No “at-risk” elements are found in any major category.

The Program Monitor will determine whether this standard is met during the final visit.

Stable Agency Performance

OCS expects every agency to meet this standard of performance:

1. Well-established systems for program administration and operations, with no more than one finding in the following areas:
 - Compliance with major program requirements, such as, lead-based paint procedures, cost allocation plan/indirect rate, required contractor information.
 - No more than one program specific finding in the annual audit.
 - No more than one fiscal specific finding in the annual audit.
 - Staff well trained in performance of specific job duties.
 - Complete and organized files.
2. Evidence of prudent decision making as to the use of program resources:
 - Sufficiently detailed scopes of work.
 - NEAT/MHEA documentation is current and consistent with billing.
 - Staff proficient in use NEAT/MHEA software.
 - Evidence NEAT/MHEA is run with actual and true pre-post data (including costs).
3. Staff and contractors have demonstrated proficiency in technical applications, including diagnostics.
4. Agency has a minimal number of minor procedural findings (as related to programs rules, policies and procedures) and health and safety findings from previous monitoring report and no major findings.
5. Agency complies with OSHA/DHS/OCS safety rules, as applicable.
6. The agency maintains a professional working relationship with OCS.
7. Past corrections made and reported in a timely manner.
8. No “at-risk” elements are found in major categories for an agency.

Vulnerable Agency Performance

Agency's performance is deficient in some or all of the following levels of performance:

1. Agency has a well-established system for program administration and operations, with no more than one finding in the following areas:
 - Compliance with major program requirements, such as, lead-based paint procedures, cost allocation plan/indirect rate, required contractor information.
 - No more than one program specific finding in the annual audit.
 - No more than one fiscal specific finding in the annual audit.
 - Staff well trained in performance of specific job duties.
 - Complete and organized files.
2. No evidence of prudent decision making as to use of program resources:
 - Complete scopes of work
 - NEAT/MHEA documentation is current and consistent with billing.
 - Staff proficient in its use
 - Evidence NEAT/MHEA is used with actual and true pre-post data (including costs).
3. Staff and contractors have not demonstrated proficiency in technical applications, including diagnostics.
4. Agency has a number of and severity of procedural findings (as related to programs rules, policies and procedures) and health and safety findings from previous monitoring report.
5. Agency does not comply with OSHA/DHS/OCS safety rules, as applicable.
6. The agency does not maintain a professional working relationship with OCS.
7. Past corrections were not made and reported in a timely manner.
8. Several "at-risk" elements are found in major categories for an agency.

At-Risk Agency Elements

At-risk agencies may be identified as a result of a variety of factors that may include:

1. The agency's probation, i.e. new agency / program.
2. There is evidence of significant administrative or program sub-standard performance; for example, repetitive pattern of findings, failure to have copies of permits on file or lack of compliance with historical preservation rules.
3. The agency is not in compliance with program policies, procedures and specifications.
4. The agency has repeated health and safety findings.
5. Agency staff members/crew has deficient technical skills.
6. There has been a change in key staff.

7. There has been a change in key weatherization contractors.
8. The agency has deficient scopes of work (work plan is insufficient).
9. The agency has program specific audit findings.
10. The agency has fiscal specific audit findings
11. The agency files are incomplete or disorganized.
12. The agency staff is unresponsive to OCS requests and deadlines. For example, the agency consistently fails to provide monthly reports and contract closeouts in a timely manner.
13. Agency production is low relative to funding.
14. Other OCS programs (CSBG, LIEAP, Homeless) have indicated problems with or concerns about the agency.
15. At-risk agencies will be monitored no less than twice monthly. Other factors in the frequency of monitoring visits may be based upon the requirements of specific funding sources.

Performance Findings Correction Process

1. Each sub grantee shall be advised within 10 days after the conclusion of the monthly review process of any findings with a rating below “stable” resulting from the monitoring of its program. If the agencies performance rating is deficient in any category and the program is out of compliance with contract provisions or that the program is out of compliance with state or federal regulations, OCS shall issue preliminary findings which provide specific examples of each such issue, request corrective action on each deficiency rated below “stable” and offer assistance to the sub grantee in developing a corrective action plan.
2. Subgrantee shall respond to preliminary finding corrective action request within 5 days from receipt of the request. The response either shall include a corrective action plan which specifically addresses identified deficiencies or explain why the preliminary findings were in error.
3. OCS shall notify the sub grantee within ten days of the acceptance or rejection of all or parts of the sub grantee's response. The sub grantee shall be given an additional 10 days from the receipt of the Monitors notification to provide an acceptable corrective action plan for any remaining, unresolved deficiencies.
4. If after additional monitoring, unresolved deficiencies remain, OCS shall transmit to the sub grantee a finding of facts detailing the specific deficiencies, required corrective actions and establishing a 5 day time period for corrective action to take place.
5. If at the end of that 5-day period, specific corrective actions have not been effected, OCS shall inform the sub grantee of the sanctions which shall be applied due to noncompliance. Such sanctions may include but not be limited to withholding of funds, disallowance of costs, suspension of contract, or termination of contract. OCS shall inform the sub grantee of any appeal rites and procedures to state and federal authorities in the sanction transmittal.

Milestones

1. Fifteen subgrantees will be monitored on a monthly throughout the remainder of the program year.
2. At least 25% of the units weatherized will be inspected during the program year.
3. At least 25% of the client files will be inspected for compliance with state and federal regulations.
4. Fiscal and production desk reviews will be conducted monthly.

LEVERAGING ACTIVITIES

Leveraging Activities - Other Sources

None.

DOE Funded Leveraging

The state will leverage utility funds and other non-federal funds where possible. However, DOE funds will not be expended in this process.

Subgrantees will administer the Arkansas Weatherization Program, which is contracted through the largest Community Action Agency in the state. The program will allow subgrantees to use DOE vehicles/equipment for use in the Arkansas Weatherization Program for non-DOE houses. Subgrantees will use a cost allocation plan to determine the amount of funds to be reimbursed by the DOE program for use of its vehicles/equipment.

POLICY ADVISORY COUNCIL

Arkansas Policy Advisory Council Meetings

The PAC will meet on July 30, 2010, for the purpose of holding a public hearing on amendments to the 2009-2012 American Recovery and Reinvestment Act State Weatherization Plan.

PAC members are involved in weatherization activities such as training and Weatherization Day activities and leveraging funds. Entergy is represented on the PAC and funds some weatherization activities of subgrantees each year. The State Energy Office is represented on the PAC and provides client education material for weatherization clients. Rural Development is represented on the PAC and provides funding to some weatherization subgrantees for housing rehabilitation.

WEATHERIZATION ASSISTANCE PROGRAM
POLICY ADVISORY COUNCIL MEMBERS

TERM OF SERVICE

NAME/ADDRESS/PHONE	GROUP/ORGANIZATION REPRESENTED	EXPIR. DATE
Thomas E. Green P.O. Box 1437/S330 Little Rock, AR 72203 Phone: (501) 682-8715	Office of Community Services Ex-Officio	N/A
Rita Byers Main Stream 300 South Rodney Parham Rd., Ste. 5 Little Rock, AR 72205-4774 Phone: (501) 280-0012 FAX: (501) 280-9267 E-mail: ritabyers@yahoo.com	Elderly and Handicapped	1/11
Al West, Vice President Office of Human Concern P.O. Box 778 Rogers, AR 72757 Phone: (479) 636-7301 FAX: (479) 636-7312 E-mail: alwest@ohc.org	Weatherization Subgrantee CAA Executive Director	1/11
Beverly Palmer Central Arkansas Development Council P.O. Box 580 Benton, AR 72018 Phone: (501) 315-1121 FAX: (501) 778-9120 E-mail: bpalmer@cadc.cc	Weatherization Director	1/11

NAME/ADDRESS/PHONE	GROUP/ORGANIZATION REPRESENTED	EXPIR. DATE
Mark Whitmer, Chair Crawford-Sebastian Community Development Council, Inc. 4831 Armour Street P.O. Box 4069 Fort Smith, AR 72914 Phone: (479) 785-2303 FAX: (479) 785-2341 E-mail: mwhitmer@cscdcca.org	Weatherization Director At Large Position	1/11
Susan Recken AR Department of Economic Development #1 Capitol Mall Little Rock, AR 72201 Phone: (501) 682-7334 FAX: (501) 682-2703 E-mail: srecken@1800ARKANSAS.com	At Large Position	1/11
Martie North, V.P., and Director of Community Development 7500 Cantrell Road Little Rock, AR 72207 Phone: (501) 978-2234 E-mail: mnorth@bankozarks.com	At Large Position	1/11
Kenny Gunn, Weatherization Dir. Crowley's Ridge Development Council, Inc. P.O. Box 16720 Jonesboro, Arkansas 72403-1497 Phone: (870) 802-7100 ext. 120 E-Mail: kennygunn@crdcea.com	At Large Position	1/11
William Taft Wilson Weatherization Director Southwest Arkansas Development Council, Inc. 3902 Sanderson Lane Texarkana, Arkansas 71854 Phone: (870) 773-5504 E-Mail: taftwilson@cablone.net	At Large Position	1/11

NAME/ADDRESS/PHONE	GROUP/ORGANIZATION REPRESENTED	EXPIR. DATE
<p>Kelly Lassiter, Manager Customer & Employee Relations CenterPoint P.O. Box 751 Little Rock, AR 72203 Phone: (501) 377-4746 FAX: (501) 377-4725 E-mail: kelly.lassiter@centerpointenergy.com</p>	Public Utilities	1/11
<p>Patricia Atkinson Universal Housing Development Council P.O. Box 847 301 Third Street Russellville, AR 72801 Phone: (479) 968-5001 FAX: (479) 968-5002</p>	Housing	1/11
<p>Jamie Stringfellow ENTERGY 1405 Hwy. 62 SW Mountain Home, AR 72653 Cell: (870) 866-6005 Home: (870) 425-5178 E-mail: jstring@entergy.com</p>	Public Utilities	1/11
<p>Jane Todd Public Service Commission P.O. Box C-400 Little Rock, AR 72203 Phone: (501) 682-5988 FAX: (501) 682-5882 E-mail: janie_gray@psc.state.ar.us</p>	Public Service Commission	1/11
<p>Lawrence McCullough Rural Development USDA Service Center Federal Building, Room 3416 700 W. Capitol Avenue Little Rock, AR 72201-3225 Phone: (501) 301-3237 FAX: (501) 301-3290 E-mail: Lawrence.mccullough@ar.usda.gov</p>	Housing	1/11

ARKANSAS WEATHERIZATION POLICY ADVISORY COUNCIL BY-LAWS

ARTICLE I THE COUNCIL

Section 1 - Name

The name of the Council shall be the Arkansas Weatherization Policy Advisory Council (PAC).

Section 2 - Purpose

The purpose of the PAC shall be to promote the full development and utilization of the State's weatherization resources.

Section 3 - Membership

The PAC shall be appointed by the Office of Community Services' Assistant Director in consultation with the State Weatherization Directors and PAC, consistent with federal regulations. Membership shall consist of no more than fifteen members representing the following groups or organizations:

- a. Office of Community Services (ex-officio)
- b. Elderly and Handicapped
- c. Weatherization Subgrantees
 - CAA Executive Director
 - Weatherization Directors (2)
- d. Local Government
- e. Civic Group
- f. Public Utilities (2)
- g. At-large Positions (4)
 - Choose from the following:
 - Financial Institutions
 - Liquid Petroleum Gas Board
 - Health Department Plumbing Inspector
 - Fire Marshall
 - Other
- h. Public Service Commission
- i. Housing (2)

The term of office of PAC members shall be for three years and may be appointed to serve consecutive terms. Appointments shall be made during the regular meeting of the first quarter of the calendar year.

Members missing three consecutive regular meetings without cause, as determined by the total PAC membership, will be replaced at the next regular meeting of the PAC.

Section 4 - Authority

The PAC shall serve in an advisory capacity and will function as follows:

- a. approve the state plan;
- b. serve as a resource to secure additional funds for the State's Weatherization Assistance Program;
- c. make recommendations on the appropriate use of funds obtained from sources other than the Department of Energy;
- d. make policy recommendations;
- e. conduct the Public Hearings on the state plan; and
- f. network with other Weatherization PACs in the country.

ARTICLE II

OFFICERS

Section 1 - Officers

The officers of the PAC shall be the Chairperson and Vice Chairperson.

Section 2 - Nomination of Officers

The Nominating Committee shall present a slate of officers in advance of the voting meeting. Additional nominations may be made from the floor. From this slate, the nominee receiving the majority vote shall be the officer.

Section 3 - Election and Term of Office

- A. The officers shall be elected at the first regular meeting of the calendar year and assume their duties at the next meeting. They shall serve for one year or until their successors are elected.
- B. Voting for officers shall be by written ballot unless the candidate has no opposition and then it may be by unanimous motion.

Section 4 - Duties

Chairperson: The Chairperson shall preside at all meetings of the PAC and perform all such services as are usually performed by the Chairperson of an organization and shall perform such duties as may be requested by the PAC and shall be ex-officio member of all committees except the Nominating Committee.

Vice Chairperson: The Vice Chairperson shall discharge the duties of the Chairperson in the absence of the Chairperson or in the event of his inability to act.

ARTICLE III

PAC MEETINGS

Section 1 - Regular Meetings

The PAC shall meet on the fourth Tuesday of the third month of each quarter or at other times as specified by the Chairperson.

Section 2 - Special or Called Meeting

The Chairperson may call special meetings of the PAC as required. Upon receipt of written request from a majority of members of the PAC, the Chairperson shall call a special meeting of the PAC to convene within ten days.

Section 3 - Quorum

Five members of the PAC shall constitute a quorum for the transaction of business.

Section 4 - Voting

All actions of the PAC shall be determined by a majority vote of the members present and voting, except the adoption and amendment of the By-laws which shall be by a two-thirds vote of the members present. Proxy voting shall be allowed by persons authorized to attend and represent a member of the PAC.

Section 5 - Order of Business

The Chairperson and the Assistant Director of the Office of Community Services or designee shall be responsible for ordering the business of the PAC.

Section 6 - Rules

Robert Rules of Order shall govern the procedures of the PAC.

ARTICLE IV

COMMITTEES

Section 1 - Committees may be established by the PAC as requested, to deal with specific issues. Members shall be designated by the Chairperson.

ARTICLE V

BY-LAWS AMENDMENT PROCEDURES

Section 1 - By-Laws Amendment Procedures

The By-laws may be amended at any regular meeting of the PAC by a two-thirds vote of the members present, provided that the proposed amendment has been submitted in writing and made available to all members at least two weeks prior to the meeting at which a vote is taken.

HEARINGS AND TRANSCRIPTS

STATE: Arkansas

REGULATION REFERENCE: 440.14

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT: Conduct Public Hearings throughout the State.

POLICY/PROCEDURE:

A draft of the State Plan is published prior to the hearing and held open for comment after the hearing. A Notice of Public Hearing is published in the statewide newspaper at least ten days prior to the hearing.

The State Plan is also promulgated through the Arkansas Administrative Procedures Act which requires that rules be published for review at least 30 days, filed with the Secretary of State, filed with the State Library, and the Arkansas Legislative Council to hold a public hearing on the rule. In addition, the State Plan is filed with the State Clearinghouse. The ARRA plan will be promulgated using the state's emergency promulgation procedures.

The State Plan implemented the new field guide as of 4/1/03.

The Amended State Plan will implement the new OCS Operations Manual

**ADJUSTMENTS
TO
ON-LINE INFORMATION**

ADJUSTMENTS TO ONLINE INFORMATION

The maximum average for FY 2009-2012 is \$6,500 per unit.

The expenditure limit for Health and Safety Measures is 20% of the average per dwelling unit cost limitation.

The State will use 200% of the poverty guidelines as the eligibility criteria.

The Department of Energy definition of income will be used.

MISCELLANEOUS

MISCELLANEOUS

ENERGY AUDIT:

Arkansas uses NEAT and will use the mobile home energy audit developed by DOE contract.

SUCCESS STORIES:

Arkansas will report success stories using the DOE prescribed format.

FINANCIAL AUDITS:

The State office and each subgrantee has a Single Agency Audit in compliance with Circular A-133.

The State will use Training and Technical Assistance funding to conduct a Special Audit of the Pine Bluff Jefferson County Economic Opportunity Commission, Inc. as a final close out of the old program prior to implementing the restructured program.

REPORTING:

Arkansas will comply with all of DOE's ARRA reporting requirements.

The State will work with a local educational institution to comply with request for information related to the National Weatherization Assistance Program Evaluation.

**ASSURANCES
AND
CERTIFICATIONS**

U.S. Department of Energy
Assurance of Compliance
Nondiscrimination in Federally Assisted Programs

OMB Burden Disclosure Statement

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-0400), Washington, DC 20585.

Arkansas Department of Human Services (Hereinafter called "the Applicant") HEREBY AGREES to comply with Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352), Section 16 of the Federal Energy Administration Act of 1974 (Pub. L. 93-275), Section 401 of the Energy Reorganization Act of 1974 (Pub. L. 93-438), Title IX of the Education Amendments of 1972, as amended, (Pub. L. 92-318, Pub. L. 93-568, and Pub. L. 94-482), Section 504 of the Rehabilitation Act of 1973 (Pub. L. 93-112), the Age Discrimination Act of 1977 (Pub. L. 94-135), Title VIII of the Civil Rights Act of 1968 (Pub. L. 90-284), the Department of Energy Organization Act of 1977 (Pub. L. 95-91), the Energy Conservation and Production Act of 1976, as amended, (Pub. L. 94-385) and Title 10, Code of Federal Regulations, Part 1040. In accordance with the above laws and regulations issued pursuant thereto, the Applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the Applicant receives Federal assistance from the Department of Energy.

Applicability and Period of Obligation

In the case of any service, financial aid, covered employment, equipment, property, or structure provided, leased, or improved with Federal assistance extended to the Applicant by the Department of Energy, this assurance obligates the Applicant for the period during which Federal assistance is extended. In the case of any transfer of such service, financial aid, equipment, property, or structure, this assurance obligates the transferee for the period during which Federal assistance is extended. If any personal property is so provided, this assurance obligates the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance obligates the Applicant for the period during which the Federal assistance is extended to the Applicant by the Department of Energy.

Employment Practices

Where a primary objective of the Federal assistance is to provide employment or where the Applicant's employment practices affect the delivery of services in programs or activities resulting from Federal assistance extended by the Department, the Applicant agrees not to - discriminate on the ground of race, color, national origin, sex, age, or disability, in its employment practices. Such employment practices may include, but are not limited to, recruitment, advertising, hiring, layoff or termination, promotion, demotion, transfer, rates of pay, training and participation in upward mobility programs; or other forms of compensation and use of facilities.

Subrecipient Assurance

The Applicant shall require any individual, organization, or other entity with whom it subcontracts, subgrants, or subleases for the purpose of providing any service, financial aid, equipment, property, or structure to comply with laws and regulations cited above. To this end, the subrecipient shall be required to sign a written assurance form; however, the obligation of both recipient and subrecipient to ensure compliance is not relieved by the collection or submission of written assurance forms.

Data Collection and Access to Records

The Applicant agrees to compile and maintain information pertaining to programs or activities developed as a result of the Applicant's receipt of Federal assistance from the Department of Energy. Such information shall include, but is not limited to the following: (1) the manner in which services are or will be provided and related data necessary for determining whether any persons are or will be denied such services on the basis of prohibited discrimination; (2) the population eligible to be served by race, color, national origin, sex, and disability; (3) data regarding covered employment including use or planned use of bilingual public contact employees serving beneficiaries of the program where necessary to permit effective participation by beneficiaries unable to speak or understand English; (4) the location of existing or proposed facilities connected with the program and related information adequate for determining whether the location has or will have the effect of unnecessarily denying access to any person on the basis of prohibited discrimination; (5) the present or proposed membership by race, color, national origin, sex, age and disability in any planning or advisory body which is an integral part of the program; and (6) any additional written data determined by the Department of Energy to be relevant to the obligation to assure compliance by recipients with laws cited in the first paragraph of this assurance.

CERTIFICATIONS REGARDING LOBBYING, DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applications should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements or Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Energy determines to award the covered transaction, grant, or cooperative agreement.

F1. LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract the making of any Federal grant the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract grant loan, or cooperative agreement.
- (2) If any funds other than an Federal appropriated fund have been paid or will be Paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all - subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 3 1, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

- (1) The prospective Primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil

judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining attempting to obtain, or performing a public (Federal State, or local) transaction under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement theft forgery, bribery, falsification or destruction of records, making false statements, or receiving go,- property,

- (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal State or local) with commission of any of the offenses enumerated in paragraph (i)(b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

3. DRUG-FREE WORKPLACE

This certification is required by the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D) and is implemented through additions to the Debarment and Suspension regulations, published in the Federal Register on January 31, 1989, and May 25, 1990.

ALTERNATE I (GRANTEES OTHER THAN INDIVIDUALS)

- (1) The grantee certified that it will or will continue to provide a drug free workplace by:
 - (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantees workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace,
 - (2) The grantee's policy of maintaining a drug-free workplace,
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the work-place not later than five calendar days after such conviction.
- (e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to energy grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 - (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consisted with the requirements of the Rehabilitation Act of 1973, amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal State, or local health law enforcement, or other appropriate agency,
- (g) Making a good faith effort to continue to maintain a drug free workplace through implementation of paragraphs (a),(b), (c) (d), (e), and (f).
- (2) The grantee may insert in the space provided below the site(s) for the

performance of work done in connection with the specific grant:

Place of Performance.
(Street address, city, county, state, zip code)

Office of Community Services
7th & Main Streets, Pulaski County
Little Rock, Arkansas 72201

Check if there are workplaces on file that are not identified here

4. Lobbying Disclosure Act of 1995, Simpson-Craig Amendment

Applicant organizations which am described in section 501(cX4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, shall not be eligible for the receipt of Federal funds constituting an award, grant, or loan. Section 501(cX4) of the Internal Revenue Code of 1986 covers:

Civic leagues or organizations not organized for profit but operated exclusively for the promotion of social welfare, or local associations of employees, the membership of which is limited to the employees of a designated person or persons in a particular municipality, and the net earnings of which are devoted exclusively to charitable, educational or recreational purposes.

As set forth in the Lobbying Disclosure Act of 1995 (Public Law 10465, December 19, 1995), as amended [“Simpson-Craig Amendment,” see Section 129 of The Balanced Budget Down-payment Art I (Public Law 104-99, January 26, 1996)], lobbying activities is defined broadly. (See section 3 of the Act.)

The undersigned certifies, to the best of his or her knowledge and better that: it **IS NOT** an organization described in section 50 1 (cX4) of the Internal Revenue Code of 1986; OR that it **IS** an organization described in section 50 1 (cX4) of the Internal Revenue Code of 1986, whid4 after December 31, 1995, **HAS NOT** engaged in any lobbying activities as defined in the Lobbying Disclosure Act of 1995, as amended.

ALTERNATE II (GRANTEES WHO ARE INDIVIDUALS)

- (1) The grantee certifies that as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing possession, or use of a controlled substance in conducting any activity with the grant.
- (2) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF THE APPLICANT DEPARTMENT OF HUMAN SERVICES DIVISION OF COUNTY OPERATIONS OFFICE OF COMMUNITY SERVICES	PR/AWARD NUMBER AND/OR PROJECT NAME Low-Income Weatherization Assistance Program
PRINTED NAME ANT TITLE OF AUTHORIZED REPRESENTATIVE	
THOMAS E. GREEN, ASSISTANT DIRECTOR	DATE
SIGNATURE	

DISCLOSURE OF LOBBYING ACTIVITIES Pending OMB

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352 Approval

(See reverse for public burden disclosure.)

<p>1. Type of Federal Action:</p> <p><input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p><input type="checkbox"/> bid/offer/application <input checked="" type="checkbox"/> b. initial award c. post-award</p>	<p>3. Report Type:</p> <p><input type="checkbox"/> a. initial filing <input checked="" type="checkbox"/> b. material change For Material Change Only: year ____ quarter ____</p>
<p>4. Name and Address of Reporting Entity:</p> <p><input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if known</p> <p>Arkansas Department of Health and Human Services Division of County Operations Office of Community Services Post Office Box 1437/Slot S330 Little Rock, Arkansas 72203-1437</p>	<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p style="text-align: center;">N/A</p>	
<p>6. Federal Department/Agency:</p> <p>U. S. Department of Energy</p>	<p>7. Federal Program Name/Description:</p> <p style="text-align: center;">Low Income Weatherization Assistance Program</p> <p>CFDA Number, if applicable: <u>81-042</u></p>	
<p>8. Federal Action Number, if known:</p> <p>DEFG44-02R410841</p>	<p>9. Award Amount, if known:</p> <p style="text-align: center;">\$2,202,800</p>	
<p>10.a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):</p> <p style="text-align: center;">N/A</p>	<p>b. Individuals Performing Services (including address if different from No. 10A) (last name, first name, MI):</p> <p style="text-align: center;">N/A</p>	
<p>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each.</p>	<p>Signature: _____</p> <p>Print Name: <u>Thomas E. Green</u></p> <p>Title: <u>Assistant Director</u></p> <p>Telephone No. <u>(501) 682-8715</u> Date: _____</p>	
<p>Federal Use Only:</p>		<p>Authorized for Local Reproduction Standard Form - LLL</p>

U.S. DEPARTMENT OF ENERGY

GOLDEN FIELD OFFICE

FINANCIAL ASSISTANCE PRE-AWARD INFORMATION SHEET

Grantee: Arkansas Office of Community Services

Grant No.: DEFG44-02R410841 Amendment No.: _____

A. INTELLECTUAL PROPERTY

- A university or other institution of higher education or an organization of the type described in Section 501(c)(3) of the Internal Revenue Code of 1954 (26 USC 501(c)) and exempt from taxation under Section 501 (a) of the Internal Revenue Code (26 USC 501 (a)); or
- An organization of the type described in Section 501(c)(4) of the Internal Revenue Code of 1954 (26 USC 501(c)) and exempt from taxation under Section 501 (a) of the Internal Revenue Code (26 USC 501(a)); or
- A nonprofit scientific or educational organization qualified under a State nonprofit organization statute. Please identify the statute.
- A small business concern as defined at Section 2 of Public Law 85-536 (15 USC 632) and implementing regulations of the administrator of the Small Business Administration.
- None of the above.

Recipients who have checked NONE OF THE ABOVE have the right to request, in advance or within 30 days after execution of the grant, in accordance with applicable statutes and DOE Procurement Regulation (9.9109-6) a waiver of all or any part of the rights of the United States in Subject Inventions. If the grantee intends to request a waiver to such invention rights pursuant to DOE PR 99.109-6, please indicate:

- I intend to request an advance waiver in accordance with DOE PR 9-9.109-6.
- I do not intend to request an advance waiver.

A.2. RIGHTS IN PROPOSAL DATA

It is DOE policy for a grant award based on a proposal that, in consideration of the award, the Government shall obtain unlimited rights in the technical data contained in the proposal unless the grantee marks those portions of the technical information which he asserts as "proprietary data" or specifies those portions of such technical data which are not directly related to or will not be utilized in the work to be funded under the grant. Accordingly, please indicate:

- No restrictions on Government rights in the proposal technical data; or
- The following identified technical data is proprietary or is not directly related to or will not be utilized in the work to be funded under the grant:

A.3 IDENTIFICATION OF TECHNICAL DATA WHICH IS PROPRIETARY

The Rights in Technical Data clause proposed to be used for this grant may not permit the utilization of proprietary data in the grant work or, if the use of proprietary data is permitted, may not be adequate to meet programmatic requirements. Use of data which is proprietary may, prevent you from meeting, the data requirements of the grant (including delivery of data). Your attention is particularly drawn to the use of LICENSED COMPUTER SOFTWARE.

Please indicate that you have reviewed the requirements in the technical scope of work and to the best of your knowledge:

- No proprietary data will be utilized in the grant work.
- Proprietary data as follows will be utilized in the grant work:

- No LICENSED COMPUTER SOFTWARE will be utilized in the grant work.

- LICENSED COMPUTER SOFTWARE as follows will be utilized in the grant work:

Microsoft Word for Windows, Windows XP, Microsoft Office 2003, Excel, and Word Perfect

B. TYPE OF BUSINESS (IF NOT SPECIFICALLY IDENTIFIED IN SECTION A. 1. OF THIS PRE-AWARD INFORMATION SHEET)

The Recipient is a:

- Individual
- Partnership
- State or Local Government
- Joint Venture

C. SOCIAL SECURITY NUMBER (SSN)

If the Recipient does not have an Internal Revenue Service (IRS) assigned Employer Identification Number (EIN), Grantee SSN is _____. (See block 5 of Grant Application, Standard Form 424.)

D. DATA UNIVERSAL NUMBERING SYSTEM (DUNS NUMBER)

Grantee DUNS Number is 26-07NT43109. For assistance in obtaining a DUNS Number, call DUNN & Bradstreet at 1-800-333-0505. The offeror should be prepared to provide the following information to DUNN & Bradstreet:

- (1) Company name.
- (2) Company address.
- (3) Company telephone number
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the company was started.
- (7) Number of people employed by the company.
- (8) Company affiliation.

E. CIVIL RIGHTS REQUIREMENTS

In accordance with 10 CFR 1040, the recipient is required to appoint a person as the Affirmative Action Officer to be responsible for Civil Rights matters. The person you appoint should be knowledgeable of 10CFR 1040, Nondiscrimination in Federally Assisted Programs. You are also responsible for prominently displaying reasonable numbers of Civil Rights posters at your facility. A copy of 10 CFR 1040 can be found at www.pr.doe.gov/1f040_toc.html and the poster at www.eren.doe.gov/golden/paf.html. Copies can also be obtained from your awarding DOE office.

Doris Wright has been appointed as the Affirmative Action Officer and has familiarized himself/herself with 10 CFR 1040. DOE Civil Rights posters have been displayed prominently and in reasonable numbers at our facility.

Organization Name Office of Community Services Phone: (501) 682-8729
and address P.O. Box 1437/Slot S330 Fax: (501) 682-6736

Little Rock, Arkansas 72203
E-mail: Doris.Wright@arkansas.gov

I certify that the above information is complete and accurate to the best of my knowledge.

Signature

Date

Thomas E. Green, Assistant Director
Name and Title of Authorized Representative

ENERGY AUDIT PLAN

ENERGY AUDIT PLAN

RE: Weatherization Program Notice
WAIVER AUDIT APPROVAL PROCEDURES (REVISED)

The Arkansas Weatherization Program uses the National Energy Audit (NEAT) and Mobile Home Energy Audit (MHEA).

1. Approval Criterion: Energy audit procedures must comply with §440.21(b),(d),(e), and (h).

Submittal Requirement: In addition to the items listed below, the submittal package must include the energy audit procedures. This could include: a copy of the auditors' manual, a description of how energy audits are conducted and how different audit findings affect the auditor's actions and recommendations; and/or the detailed instructions for the data collections forms.

Submittal: The instruction manuals provided by DOE for use of NEAT and MHEA will be used.

2. Approval Criterion: DOE-funded weatherization materials/measures considered by audit must be included in Appendix A.

Submittal Requirement: The submittal package must include a list of all the weatherization materials/measures that the audit considers. Those weatherization materials/measures to be funded with DOE-WAP monies should be noted. The submittal package must also include a statement that the requirements of Appendix A will be followed.

Submittal: Material costs will depend on solicited cost in each area. The subgrantee actual costs will be verified during monitoring visits by comparing contracts, invoices, and other cost data to NEAT and MHEA program files. General Heat Waste materials used will be coupled with Blower Door testing to determine the point at which the measures are not cost effective. All materials will conform to standards that apply from Appendix A.

3. Approval Criterion: The energy savings calculations must take into account local heating or cooling degree days. Alternatively, the audit algorithms may use bin or hourly weather data in its energy savings calculations.

Submittal Requirement: The narrative portion of the submittal package should state the type of weather data used, the published source of the weather data, the geographic locations for which the weather data will be used, and how the energy savings calculations use the weather data.

Submittal: The subgrantees will use the weather data from the NEAT and MHEA file most appropriate for local conditions, e.g., Little Rock, AR; Fort Smith, AR; Joplin, MO; Springfield, MO; Memphis, TN; Jackson, MS; Shreveport, LA.

4. Approval Criterion: The audit must use reasonable methods and assumptions.

Submittal Requirement: The narrative portion of the submittal package must describe the energy savings calculation algorithms (methods) and assumptions. Assumptions include a range of variables such as treatment of buffered envelope surfaces, treatment of solar insulation, wind, humidity, CD factor, if applicable, etc. It does not include default values which can be changed by the auditor.

Submittal: NEAT and MHEA are the energy audits used. The energy savings methods and assumptions are contained in the audits.

5. Approval Criterion: The audit must use reasonable methods and assumptions (approval criteria #4 is intentionally repeated here as #5 to specify an additional submittal requirement).

Submittal Requirement: In addition to the narrative description of the energy savings calculation methods and assumptions required by approval criterion #4, the submittal package should also include the input data, assumptions, and audit results (recommended measures) for two sample dwelling units typical of those weatherized by grantee's program.

Submittal: Audit results of two sample dwelling units of frame houses and audit results of two sample dwelling units of mobile homes have been submitted previously.

6. Approval Criterion: The figures used for the lifetime of the materials and for the costs of materials and installation must be generally accepted in the relevant trade.

Submittal Requirement: Include the figures used for the lifetime of the materials and for the costs of materials and installation. State the sources of this information and how the values compare with current actual costs and lifetime values presently used.

Submittal: The number of years used for the lifetime of the materials to be considered by NEAT and MHEA is included in the software approved by the Department of Energy and will not be changed by Arkansas.

7. Approval Criterion: The energy audit procedures must consider the rate of energy use.

Submittal Requirement: Describe how the energy audit procedures consider the rate of energy use. The energy audit procedures must consider energy efficiency as well as total energy savings. For example, replacing an existing space heater, currently heating one room, with a more energy efficient space heater, capable of heating several rooms, may not save any energy. However, the occupants would gain the use of more of their dwelling

unit. If not handled as a health and safety measure, this measure would have to be cost justified by the audit. The only way to cost justify this measure would be to impute energy savings by calculating the amount of energy the inefficient space heater would have used to heat the several rooms now heated by the efficient space heater, and subtracting the estimated energy use of the new efficient space heater.

Other examples include instances where the occupant cannot afford to heat the dwelling to an adequate temperature or operate the furnace at all. Installing insulation and tuning up the furnace may now make the use of the furnace affordable. However, energy use is increased, not decreased. Again, if not handled as a health and safety measure, energy savings would have to be imputed to cost justify the insulation and/or the furnace tune-up through the audit. While not mandatory within the audit software, if used, the overall energy audit procedures must consider these types of circumstances.

Submittal: Arkansas will use all shell and equipment measures listed in the SETUP option of NEAT and MHEA. Emphasis on correct material and labor costs will ensure the SIR ranking is valid and can be applied until funds available for the dwelling are exhausted or the SIR becomes too small. Space heaters are justified as a health and safety measure. Heating system replacement will be a minimum of 85% Energy Efficiency Rating. The standard to replace constant burning pilot with electric ignition device on gas-fueled furnaces or boiler will conform to standards listed in Appendix A. All insulation will be installed at R-Values recommended by NEAT and MHEA.

8. Approval Criterion: Where cooling needs are significant, the energy audit must consider cooling measures.

Submittal Requirement: In States where cooling needs are significant, the list of weatherization materials/measures considered by the audit should include cooling measures. The narrative portion of the submittal package should describe how the energy audit considers cooling measures, including the algorithms and assumptions used. Internal gains, latent loads, and solar incidence must be considered.

DOE considers States with over 2,000 cooling degree days per year (65°F base) to have significant cooling needs and expect their audits to consider cooling measures. States with between 1,300 and 2,000 cooling degree days, whose audits do not consider cooling measures, must provide an adequate explanation why cooling measures are not considered.

Submittal: The only cooling measures installed will be those recommended by NEAT and MHEA. The standard for air conditioner replacement is a SEER 13. Materials for cooling measures will conform to standards listed in Appendix A.

9. Approval Criterion: The energy audit procedures must make provision for use of advanced diagnostic and assessment techniques which DOE has determined are consistent with sound engineering practices.

Submittal Requirement: Describe the advanced diagnostic and assessment techniques that can be used as part of the energy audit. Such techniques may include blower doors, infrared cameras or detectors, various furnace testing procedures, health and safety testing, psychrometers, duct-leakage testing, bypass testing, etc. Describe how the results of this diagnostic work would be used and how the energy audit would consider the results of these techniques.

Submittal: An audit will be conducted on each house, as opposed to a priority list. Likewise, a blower door test will be conducted on each house. The default contained in the audit will not be used except under circumstances where the house is in such state of repair that an initial blower test cannot be conducted. Diagnostic equipment will be used to determine carbon monoxide levels on houses containing gas appliances before and after weatherization. Health and safety hazard costs will be keyed into the audits and will not be considered in the SIR. However, health and safety costs will be included in the maximum averages allowed by the Department of Energy.

10. Approval Criterion: The energy audit procedures must determine energy use from actual energy bills or by generally accepted engineering calculations.

Submittal Requirement: Describe how the energy audit determines energy use and how this value is verified.

Submittal: Fuel costs that will be used will be determined by each subgrantee by conducting yearly averages.

11. Approval Criterion: The energy audit procedures must determine that each weatherization material is cost-effective by ensuring that the discounted savings-to-investment ratio (SIR) is greater than or equal to one. The denominator in the SIR equation must include the costs of material, labor, and on-site supervisory personnel (§440.18(c)(1),(2), and (7)).

Submittal Requirement: Show the SIR equation used by the audit and describe how future fuel cost savings are discounted to present value. If the State elects not to use the discount rate provided by DOE, show the discount rate to be used and its published source. Describe how fuel cost escalation is treated and show these factors, or refer to their source. (The discount and fuel cost escalation rates may be given here or under #16.) Show the costs included in the denominator of the SIR equation.

Submittal: The state assures that the discounted savings-to investment ratio will be greater or equal to one by using the discounted rate provided by DOE. Local subgrantees determine fuel cost escalation by contacting the local fuel supplier. State monitors verify this during their routine monitoring visits.

12. Approval Criterion: The energy audit procedures must assign priorities among weatherization materials in descending order of SIR and must account for interaction between architectural and mechanical measures. After adjusting the estimated fuel cost

savings for interaction between measures, the energy audit procedures must eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal Requirement: Describe how the energy audit accounts for the interaction between architectural and mechanical measures. Describe how, when moving from an architectural to a mechanical measure (or vice versa), the energy audit procedures adjust the estimated fuel cost savings of measures with lower non-interacted SIRs. Show that the energy audit procedures eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal: NEAT and MHEA approved energy audits eliminate measures with less than an SIR of one and provide for the interaction between architectural and mechanical measures.

13. **Approval Criterion:** The energy audit procedures must ensure that the overall SIR for the entire package of measures is greater than or equal to one. In calculating the overall SIR, the energy audit procedures must add the cost of incidental repairs (§440.18(c)(9)) to the costs of materials, labor, and on-site supervisory personnel in the denominator.

Submittal Requirement: Show the equation for the overall SIR used by the audit and describe how the energy audit ensures that the overall SIR is greater than or equal to one. List the costs included in the denominator of the overall SIR equation.

Submittal: The DOE approved audits provide for the inclusion of incidental repairs (including material, labor, and on-site supervisory personnel) in the overall SIR to assure that the overall SIR is greater than or equal to one.

14. **Approval Criterion:** The energy audit procedures must identify health and safety hazards to be abated with DOE funds in compliance with the State's DOE-approved health and safety procedures under §440.16(h).

Submittal Requirement: Describe how the energy audit procedures identify health and safety hazards to be abated with DOE funds and how the material and labor costs of health and safety abatement are determined on each home.

Submittal: Health and safety hazards to be abated are contained in the health and safety plan that is included in the state plan.

15. **Approval Criterion:** The energy audit procedures must treat the dwelling unit as a whole system by:
- a) Examining its heating and cooling system;
 - b) Examining its air exchange system;
 - c) Examining its occupants' living habits and needs; and
 - d) Making necessary adjustments to the priority of weatherization materials in response to these examinations.

Submittal Requirement: Describe how the energy audit procedures treat the dwelling unit as a whole system. Specifically, describe how the energy audit procedures examine the heating and cooling system, the air exchange system, and occupants' living habits and needs. Explain how the audit procedures make necessary adjustments to the priority of weatherization materials in response to these examinations and how these adjustments are documented.

Submittal: The energy efficiency rating of the heating system and the SEER of the cooling system is considered in calculation of the SIR. The air exchange system is determined by use of the blower door before and after weatherization. Carbon monoxide levels are determined by use of a detector. Occupant's living habits and needs are determined for use in installing digital thermostats. All of these factors are documented in the client file.

16. **Approval Criterion:** The energy audit must provide for use of an annually adjusted discount rate.

Submittal Requirement: If not specified under #11, state the discount and fuel cost escalation rates to be used and their published source (if the DOE-provided discount rate is not used).

Submittal: DOE provided discount rate is used, as stated in #11.

17. **Approval Criterion:** Priority lists, if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program. Priority lists must be revalidated by conducting a representative sample of site-specific energy audits every 5 years.

Submittal Requirement: Provide any priority lists to be used and explain how the priority lists were developed. State the energy audit on which the priority lists are based and how it complies with §440.21(H), if different than the audit being submitted. If seeking approval just for a revalidated priority list(s), give the name of waiver audit and when it was approved. Describe the circumstances that will require a site-specific audit rather than the use of the priority lists and the audit to be used in such circumstances (in compliance with §440.12(h)).

Submittal: Priority lists are not used.

18. **Approval Criterion:** Priority lists (and lists of general heat waste measures), if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h)) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program (approval criteria #17 is intentionally repeated here as #18 to specify an additional submittal requirement).

Submittal Requirement: Describe how the representative sample of typical dwelling units for each major dwelling type was determined. Some States have indicated that fuel type and construction factors (assemblies) predict energy use (and weatherization energy savings) better than dwelling type. DOE will accept a representative sample determined on this basis, provided an adequate explanation is given to substantiate this method. Assuming the same representative sample was used for the priority lists and the GHW lists addressed in #19, only one discussion under #18 is required. If the samples for priority lists and GHW lists are different, a separate discussion of each is required, plus an explanation of why different samples were used.

Submittal: Priority lists are not used. General Heat Waste measures are required to have an SIR greater than or equal to one. Arkansas has only two typical dwelling units, the mobile home and the frame house. Two sample audits for each have been submitted previously.

19. Approval Criterion: Lists of presumptively cost-effective general heat waste (GHW) reduction weatherization materials are subject to DOE approval and must state the circumstance under which such materials may be presumed cost-effective. The list of GHW materials must be shown to be cost-effective in typical dwelling units for major dwelling units types in the State based on documentation of a representative number of site-specific energy audits (in compliance with §440.21(h)).

Submittal Requirement: Provide any lists of general heat waste reduction weatherization materials to be used and state the circumstance under which such materials are presumed to be cost-effective. Describe how the lists were developed including the energy audit on which the lists are based. If different than the audit being submitted, describe how the audit on which the GHW list is based complies with §440.21(h). Provide documentation of a representative number of site-specific energy audits showing how these materials, in the circumstances and the amounts, were determined.

Under #18 above, describe how the representative sample of typical dwelling units was determined for the GHW list. See #18 for the discussion of representative samples.

Submittal: General Heat Waste measures will be required to have an SIR greater than or equal to one prior to installation on unit.

20. Approval Criterion: Energy audit procedures must comply with §440.21(b),(d),(e), and (h).

Submittal Requirement: In addition to the items listed below, the submittal package must include the energy audit procedures. This could include: a copy of the auditors' manual, a description of how energy audits are conducted and how different audit findings affect the auditor's actions and recommendations; and/or the detailed instructions for the data collections forms.

Submittal: The instruction manuals provided by DOE for use of NEAT and MHEA will be used.

21. Approval Criterion: DOE-funded weatherization materials/measures considered by the audit must be included in Appendix A.

Submittal Requirement: The submittal package must include a list of all the weatherization materials/measures that the audit considers. Those weatherization materials/measures to be funded with DOE-ARRA monies should be noted. The submittal package must also include a statement that the requirements of Appendix A will be followed.

Submittal: Material costs will depend on solicited cost in each area. The subgrantee actual costs will be verified during monitoring visits by comparing contracts, invoices, and other cost data to NEAT and MHEA program files. General Heat Waste materials used will be coupled with Blower Door testing to determine the point at which the measures are not cost effective. All materials will conform to standards that apply from Appendix A.

22. Approval Criterion: The energy savings calculations must take into account local heating or cooling degree days. Alternatively, the audit algorithms may use bin or hourly weather data in its energy savings calculations.

Submittal Requirement: The narrative portion of the submittal package should state the type of weather data used, the published source of the weather data, the geographic locations for which the weather data will be used, and how the energy savings calculations use the weather data.

Submittal: The subgrantees will use the weather data from the NEAT and MHEA file most appropriate for local conditions, e.g., Little Rock, AR; Fort Smith, AR; Joplin, MO; Springfield, MO; Memphis, TN; Jackson, MS; Shreveport, LA.

23. Approval Criterion: The audit must use reasonable methods and assumptions.

Submittal Requirement: The narrative portion of the submittal package must describe the energy savings calculation algorithms (methods) and assumptions. Assumptions include a range of variables such as treatment of buffered envelope surfaces, treatment of solar insulation, wind, humidity, CD factor, if applicable, etc. It does not include default values which can be changed by the auditor.

Submittal: NEAT and MHEA are the energy audits used. The energy savings methods and assumptions are contained in the audits.

24. Approval Criterion: The audit must use reasonable methods and assumptions (approval criteria #4 is intentionally repeated here as #5 to specify an additional submittal requirement).

Submittal Requirement: In addition to the narrative description of the energy savings calculation methods and assumptions required by approval criterion #4, the submittal package should also include the input data, assumptions, and audit results (recommended measures) for two sample dwelling units typical of those weatherized by grantee's program.

Submittal: Audit results of two sample dwelling units of frame houses and audit results of two sample dwelling units of mobile homes have been previously submitted.

25. Approval Criterion: The figures used for the lifetime of the materials and for the costs of materials and installation must be generally accepted in the relevant trade.

Submittal Requirement: Include the figures used for the lifetime of the materials and for the costs of materials and installation. State the sources of this information and how the values compare with current actual costs and lifetime values presently used.

Submittal: The number of years used for the lifetime of the materials to be considered by NEAT and MHEA is included in the software approved by the Department of Energy and will not be changed by Arkansas.

26. Approval Criterion: The energy audit procedures must consider the rate of energy use.

Submittal Requirement: Describe how the energy audit procedures consider the rate of energy use. The energy audit procedures must consider energy efficiency as well as total energy savings. For example, replacing an existing space heater, currently heating one room, with a more energy efficient space heater, capable of heating several rooms, may not save any energy. However, the occupants would gain the use of more of their dwelling unit. If not handled as a health and safety measure, this measure would have to be cost justified by the audit. The only way to cost justify this measure would be to impute energy savings by calculating the amount of energy the inefficient space heater would have used to heat the several rooms now heated by the efficient space heater, and subtracting the estimated energy use of the new efficient space heater.

Other examples include instances where the occupant cannot afford to heat the dwelling to an adequate temperature or operate the furnace at all. Installing insulation and tuning up the furnace may now make the use of the furnace affordable. However, energy use is increased, not decreased. Again, if not handled as a health and safety measure, energy savings would have to be imputed to cost justify the insulation and/or the furnace tune-up through the audit. While not mandatory within the audit software, if used, the overall energy audit procedures must consider these types of circumstances.

Submittal: Arkansas will use all shell and equipment measures listed in the SETUP option of NEAT and MHEA. Emphasis on correct material and labor costs will ensure the SIR ranking is valid and can be applied until funds available for the dwelling are exhausted or the SIR becomes too small. Space heaters are justified as a health and safety measure. Heating system replacement will be a minimum of 85% Energy Efficiency Rating. The standard to replace constant burning pilot with electric ignition device on gas-fueled furnaces or boiler will conform to standards listed in Appendix A. All insulation will be installed at R-Values recommended by NEAT and MHEA.

27. Approval Criterion: Where cooling needs are significant, the energy audit must consider cooling measures.

Submittal Requirement: In States where cooling needs are significant, the list of weatherization materials/measures considered by the audit should include cooling measures. The narrative portion of the submittal package should describe how the energy audit considers cooling measures, including the algorithms and assumptions used. Internal gains, latent loads, and solar incidence must be considered.

DOE considers States with over 2,000 cooling degree days per year (65°F base) to have significant cooling needs and expect their audits to consider cooling measures. States with between 1,300 and 2,000 cooling degree days, whose audits do not consider cooling measures, must provide an adequate explanation why cooling measures are not considered.

Submittal: The only cooling measures installed will be those recommended by NEAT and MHEA. The standard for air conditioner replacement is an SEER 11. Materials for cooling measures will conform to standards listed in Appendix A.

28. Approval Criterion: The energy audit procedures must make provision for use of advanced diagnostic and assessment techniques which DOE has determined are consistent with sound engineering practices.

Submittal Requirement: Describe the advanced diagnostic and assessment techniques that can be used as part of the energy audit. Such techniques may include blower doors, infrared cameras or detectors, various furnace testing procedures, health and safety testing, psychrometers, duct-leakage testing, bypass testing, etc. Describe how the results of this diagnostic work would be use and how the energy audit would consider the results of these techniques.

Submittal: An audit will be conducted on each house, as opposed to a priority list. Likewise, a blower test will be conducted on each house. The default contained in the audit will not be used except under circumstances where the house is in such state of repair that an initial blower door test cannot be conducted. Diagnostic equipment will be used to determine carbon monoxide levels on houses containing gas appliances before and after weatherization. Health and safety hazard costs will be keyed into the audits and will not

be considered in the SIR. However, health and safety costs will be included in the maximum averages allowed by the Department of Energy.

29. Approval Criterion: The energy audit procedures must determine energy use from actual energy bills or by generally accepted engineering calculations.

Submittal Requirement: Describe how the energy audit determines energy use and how this value is verified.

Submittal: Fuel costs that will be used will be determined by each subgrantee by conducting yearly averages.

30. Approval Criterion: The energy audit procedures must determine that each weatherization material is cost-effective by ensuring that the discounted savings-to-investment ratio (SIR) is greater than or equal to one. The denominator in the SIR equation must include the costs of material, labor, and on-site supervisory personnel (§440.18(c)(1),(2), and (7)).

Submittal Requirement: Show the SIR equation used by the audit and describe how future fuel cost savings are discounted to present value. If the State elects not to use the discount rate provided by DOE, show the discount rate to be used and its published source. Describe how fuel cost escalation is treated and show these factors, or refer to their source. (The discount and fuel cost escalation rates may be given here or under #16.) Show the costs included in the denominator of the SIR equation.

Submittal: The state assures that the discounted savings-to investment ratio will be greater or equal to one by using the discounted rate provided by DOE. Local subgrantees determine fuel cost escalation by contacting the local fuel supplier. State monitors verify this during their routine monitoring visits.

31. Approval Criterion: The energy audit procedures must assign priorities among weatherization materials in descending order of SIR and must account for interaction between architectural and mechanical measures. After adjusting the estimated fuel cost savings for interaction between measures, the energy audit procedures must eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal Requirement: Describe how the energy audit accounts for the interaction between architectural and mechanical measures. Describe how, when moving from an architectural to a mechanical measure (or vice versa), the energy audit procedures adjust the estimated fuel cost savings of measures with lower non-interacted SIRs. Show that the energy audit procedures eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal: NEAT and MHEA approved energy audits eliminate measures with less than an SIR of one and provide for the interaction between architectural and mechanical measures.

32. Approval Criterion: The energy audit procedures must ensure that the overall SIR for the entire package of measures is greater than or equal to one. In calculating the overall SIR, the energy audit procedures must add the cost of incidental repairs (§440.18(c)(9)) to the costs of materials, labor, and on-site supervisory personnel in the denominator.

Submittal Requirement: Show the equation for the overall SIR used by the audit and describe how the energy audit ensures that the overall SIR is greater than or equal to one. List the costs included in the denominator of the overall SIR equation.

Submittal: The DOE approved audits provide for the inclusion of incidental repairs (including material, labor, and on-site supervisory personnel) in the overall SIR to assure that the overall SIR is greater to or equal to one.

33. Approval Criterion: The energy audit procedures must identify health and safety hazards to be abated with DOE funds in compliance with the State's DOE-approved health and safety procedures under §440.16(h).

Submittal Requirement: Describe how the energy audit procedures identify health and safety hazards to be abated with DOE funds and how the material and labor costs of health and safety abatement are determined on each home.

Submittal: Health and safety hazards to be abated are contained in the health and safety plan that is included in the state plan that is approved by DOE.

34. Approval Criterion: The energy audit procedures must treat the dwelling unit as a whole system by:

- a) Examining its heating and cooling system;
- b) Examining its air exchange system;
- c) Examining its occupants' living habits and needs; and
- d) Making necessary adjustments to the priority of weatherization materials in response to these examinations.

Submittal Requirement: Describe how the energy audit procedures treat the dwelling unit as a whole system. Specifically, describe how the energy audit procedures examine the heating and cooling system, the air exchange system, and occupants' living habits and needs. Explain how the audit procedures make necessary adjustments to the priority of weatherization materials in response to these examinations and how these adjustments are documented.

Submittal: The energy efficiency rating of the heating system and the SEER of the cooling system is considered in calculation of the SIR. The air exchange system is determined by use of the blower door before and after weatherization. Carbon monoxide levels are determined by use of a detector. Occupant's living habits and needs are determined for use in installing digital thermostats. All of these factors are documented in the client file.

35. Approval Criterion: The energy audit must provide for use of an annually adjusted discount rate.

Submittal Requirement: If not specified under #11, state the discount and fuel cost escalation rates to be used and their published source (if the DOE-provided discount rate is not used).

Submittal: DOE provided discount rate is used, as stated in #11.

36. Approval Criterion: Priority lists, if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program. Priority lists must be revalidated by conducting a representative sample of site-specific energy audits every 5 years.

Submittal Requirement: Provide any priority lists to be used and explain how the priority lists were developed. State the energy audit on which the priority lists are based and how it complies with §440.21(H), if different than the audit being submitted. If seeking approval just for a revalidated priority list(s), give the name of waiver audit and when it was approved. Describe the circumstances that will require a site-specific audit rather than the use of the priority lists and the audit to be used in such circumstances (in compliance with §440.12(h)).

Submittal: Priority lists are not used.

37. Approval Criterion: Priority lists (and lists of general heat waste measures), if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h)) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program (approval criteria #17 is intentionally repeated here as #18 to specify an additional submittal requirement).

Submittal Requirement: Describe how the representative sample of typical dwelling units for each major dwelling type was determined. Some States have indicated that fuel type and construction factors (assemblies) predict energy use (and weatherization energy savings) better than dwelling type. DOE will accept a representative sample determined on this basis, provided an adequate explanation is given to substantiate this method. Assuming the same representative sample was used for the priority lists and the GHW lists addressed in #19, only one discussion under #18 is required. If the samples for priority lists and GHW lists are different, a separate discussion of each is required, plus an explanation of why different samples were used.

Submittal: Priority lists are not used. General Heat Waste measures are required to have a SIR greater than or equal to one. Arkansas has only two typical dwelling units, the mobile home and the frame house. Two sample audits for each have been previously submitted.

38. Approval Criterion: Lists of presumptively cost-effective general heat waste (GHW) reduction weatherization materials are subject to DOE approval and must state the circumstance under which such materials may be presumed cost-effective. The list of GHW materials must be shown to be cost-effective in typical dwelling units for major dwelling units types in the State based on documentation of a representative number of site-specific energy audits (in compliance with §440.21(h)).
39. Approval Criterion: Energy audit procedures must comply with §440.21(b),(d),(e), and (h).

Submittal Requirement: In addition to the items listed below, the submittal package must include the energy audit procedures. This could include: a copy of the auditors' manual, a description of how energy audits are conducted and how different audit findings affect the auditor's actions and recommendations; and/or the detailed instructions for the data collections forms.

Submittal: The instruction manuals provided by DOE for use of NEAT and MHEA will be used.

40. Approval Criterion: DOE-funded weatherization materials/measures considered by audit must be included in Appendix A.

Submittal Requirement: The submittal package must include a list of all the weatherization materials/measures that the audit considers. Those weatherization materials/measures to be funded with DOE-WAP monies should be noted. The submittal package must also include a statement that the requirements of Appendix A will be followed.

Submittal: Material costs will depend on solicited cost in each area. The subgrantee actual costs will be verified during monitoring visits by comparing contracts, invoices, and other cost data to NEAT and MHEA program files. General Heat Waste materials used will be coupled with Blower Door testing to determine the point at which the measures are not cost effective. All materials will conform to standards that apply from Appendix A.

41. Approval Criterion: The energy savings calculations must take into account local heating or cooling degree days. Alternatively, the audit algorithms may use bin or hourly weather data in its energy savings calculations.

Submittal Requirement: The narrative portion of the submittal package should state the type of weather data used, the published source of the weather data, the geographic locations for which the weather data will be used, and how the energy savings calculations use the weather data.

Submittal: The subgrantees will use the weather data from the NEAT and MHEA file most appropriate for local conditions, e.g., Little Rock, AR; Fort Smith, AR; Joplin, MO; Springfield, MO; Memphis, TN; Jackson, MS; Shreveport, LA.

42. Approval Criterion: The audit must use reasonable methods and assumptions.

Submittal Requirement: The narrative portion of the submittal package must describe the energy savings calculation algorithms (methods) and assumptions. Assumptions include a range of variables such as treatment of buffered envelope surfaces, treatment of solar insulation, wind, humidity, CD factor, if applicable, etc. It does not include default values which can be changed by the auditor.

Submittal: NEAT and MHEA are the energy audits used. The energy savings methods and assumptions are contained in the audits.

43. Approval Criterion: The audit must use reasonable methods and assumptions (approval criteria #4 is intentionally repeated here as #5 to specify an additional submittal requirement).

Submittal Requirement: In addition to the narrative description of the energy savings calculation methods and assumptions required by approval criterion #4, the submittal package should also include the input data, assumptions, and audit results (recommended measures) for two sample dwelling units typical of those weatherized by grantee's program.

Submittal: Audit results of two sample dwelling units of frame houses and audit results of two sample dwelling units of mobile homes have been previously submitted.

44. Approval Criterion: The figures used for the lifetime of the materials and for the costs of materials and installation must be generally accepted in the relevant trade.

Submittal Requirement: Include the figures used for the lifetime of the materials and for the costs of materials and installation. State the sources of this information and how the values compare with current actual costs and lifetime values presently used.

Submittal: The number of years used for the lifetime of the materials to be considered by NEAT and MHEA is included in the software approved by the Department of Energy and will not be changed by Arkansas.

45. Approval Criterion: The energy audit procedures must consider the rate of energy use.

Submittal Requirement: Describe how the energy audit procedures consider the rate of energy use. The energy audit procedures must consider energy efficiency as well as total energy savings. For example, replacing an existing space heater, currently heating one room, with a more energy efficient space heater, capable of heating several rooms, may not save any energy. However, the occupants would gain the use of more of their dwelling unit. If not handled as a health and safety measure, this measure would have to be cost justified by the audit. The only way to cost justify this measure would be to impute energy savings by calculating the amount of energy the inefficient space heater would have used to

heat the several rooms now heated by the efficient space heater, and subtracting the estimated energy use of the new efficient space heater.

Other examples include instances where the occupant cannot afford to heat the dwelling to an adequate temperature or operate the furnace at all. Installing insulation and tuning up the furnace may now make the use of the furnace affordable. However, energy use is increased, not decreased. Again, if not handled as a health and safety measure, energy savings would have to be imputed to cost justify the insulation and/or the furnace tune-up through the audit. While not mandatory within the audit software, if used, the overall energy audit procedures must consider these types of circumstances.

Submittal: Arkansas will use all shell and equipment measures listed in the SETUP option of NEAT and MHEA. Emphasis on correct material and labor costs will ensure the SIR ranking is valid and can be applied until funds available for the dwelling are exhausted or the SIR becomes too small. Space heaters are justified as a health and safety measure. Heating system replacement will be a minimum of 85% Energy Efficiency Rating. The standard to replace constant burning pilot with electric ignition device on gas-fueled furnaces or boiler will conform to standards listed in Appendix A. All insulation will be installed at R-Values recommended by NEAT and MHEA.

46. Approval Criterion: Where cooling needs are significant, the energy audit must consider cooling measures.

Submittal Requirement: In States where cooling needs are significant, the list of weatherization materials/measures considered by the audit should include cooling measures. The narrative portion of the submittal package should describe how the energy audit considers cooling measures, including the algorithms and assumptions used. Internal gains, latent loads, and solar incidence must be considered.

DOE considers States with over 2,000 cooling degree days per year (65°F base) to have significant cooling needs and expect their audits to consider cooling measures. States with between 1,300 and 2,000 cooling degree days, whose audits do not consider cooling measures, must provide an adequate explanation why cooling measures are not considered.

Submittal: The only cooling measures installed will be those recommended by NEAT and MHEA. The standard for air conditioner replacement is an SEER 11. Materials for cooling measures will conform to standards listed in Appendix A.

47. Approval Criterion: The energy audit procedures must make provision for use of advanced diagnostic and assessment techniques which DOE has determined are consistent with sound engineering practices.

Submittal Requirement: Describe the advanced diagnostic and assessment techniques that can be used as part of the energy audit. Such techniques may include blower doors, infrared cameras or detectors, various furnace testing procedures, health and safety testing, psychrometers, duct-leakage testing, bypass testing, etc. Describe how the results of this

diagnostic work would be use and how the energy audit would consider the results of these techniques.

Submittal: An audit will be conducted on each house, as opposed to a priority list. Likewise, a blower test will be conducted on each house. The default contained in the audit will not be used except under circumstances where the house is in such state of repair that an initial blower test cannot be conducted. Diagnostic equipment will be used to determine carbon monoxide levels on houses containing gas appliances before and after weatherization. Health and safety hazard costs will be keyed into the audits and will not be considered in the SIR. However, health and safety costs will be included in the maximum averages allowed by the Department of Energy.

48. Approval Criterion: The energy audit procedures must determine energy use from actual energy bills or by generally accepted engineering calculations.

Submittal Requirement: Describe how the energy audit determines energy use and how this value is verified.

Submittal: Fuel costs that will be used will be determined by each subgrantee by conducting yearly averages.

49. Approval Criterion: The energy audit procedures must determine that each weatherization material is cost-effective by ensuring that the discounted savings-to-investment ratio (SIR) is greater than or equal to one. The denominator in the SIR equation must include the costs of material, labor, and on-site supervisory personnel (§440.18(c)(1),(2), and (7)).

Submittal Requirement: Show the SIR equation used by the audit and describe how future fuel cost savings are discounted to present value. If the State elects not to use the discount rate provided by DOE, show the discount rate to be used and its published source. Describe how fuel cost escalation is treated and show these factors, or refer to their source. (The discount and fuel cost escalation rates may be given here or under #16.) Show the costs included in the denominator of the SIR equation.

Submittal: The state assures that the discounted savings-to investment ratio will be greater than or equal to one by using the discounted rate provided by DOE. Local subgrantees determine fuel cost escalation by contacting the local fuel supplier. State monitors verify this during their routine monitoring visits.

50. Approval Criterion: The energy audit procedures must assign priorities among weatherization materials in descending order of SIR and must account for interaction between architectural and mechanical measures. After adjusting the estimated fuel cost savings for interaction between measures, the energy audit procedures must eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal Requirement: Describe how the energy audit accounts for the interaction between architectural and mechanical measures. Describe how, when moving from an

architectural to a mechanical measure (or vice versa), the energy audit procedures adjust the estimated fuel cost savings of measures with lower non-interacted SIRs. Show that the energy audit procedures eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal: NEAT and MHEA approved energy audits eliminate measures with less than an SIR of one and provide for the interaction between architectural and mechanical measures.

51. Approval Criterion: The energy audit procedures must ensure that the overall SIR for the entire package of measures is greater than or equal to one. In calculating the overall SIR, the energy audit procedures must add the cost of incidental repairs (§440.18(c)(9)) to the costs of materials, labor, and on-site supervisory personnel in the denominator.

Submittal Requirement: Show the equation for the overall SIR used by the audit and describe how the energy audit ensures that the overall SIR is greater than or equal to one. List the costs included in the denominator of the overall SIR equation.

Submittal: The DOE approved audits provide for the inclusion of incidental repairs (including material, labor, and on-site supervisory personnel) in the overall SIR to assure that the overall SIR is greater than or equal to one.

52. Approval Criterion: The energy audit procedures must identify health and safety hazards to be abated with DOE funds in compliance with the State's DOE-approved health and safety procedures under §440.16(h).

Submittal Requirement: Describe how the energy audit procedures identify health and safety hazards to be abated with DOE funds and how the material and labor costs of health and safety abatement are determined on each home.

Submittal: Health and safety hazards to be abated are contained in the health and safety plan that is included in the state plan that is updated annually and approved by DOE.

53. Approval Criterion: The energy audit procedures must treat the dwelling unit as a whole system by:
- a) Examining its heating and cooling system;
 - b) Examining its air exchange system;
 - c) Examining its occupants' living habits and needs; and
 - d) Making necessary adjustments to the priority of weatherization materials in response to these examinations.

Submittal Requirement: Describe how the energy audit procedures treat the dwelling unit as a whole system. Specifically, describe how the energy audit procedures examine the heating and cooling system, the air exchange system, and occupants' living habits and needs. Explain how the audit procedures make necessary adjustments to the priority of weatherization materials in response to these examinations and how these adjustments are documented.

Submittal: The energy efficiency rating of the heating system and the SEER of the cooling system are considered in calculation of the SIR. The air exchange system is determined by use of the blower door before and after weatherization. Carbon monoxide levels are determined by use of a detector. Occupant's living habits and needs are determined for use in installing digital thermostats. All of these factors are documented in the client file.

54. **Approval Criterion:** Priority lists (and lists of general heat waste measures), if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h)) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program (approval criteria #17 is intentionally repeated here as #18 to specify an additional submittal requirement).

Submittal Requirement: Describe how the representative sample of typical dwelling units for each major dwelling type was determined. Some States have indicated that fuel type and construction factors (assemblies) predict energy use (and weatherization energy savings) better than dwelling type. DOE will accept a representative sample determined on this basis, provided an adequate explanation is given to substantiate this method. Assuming the same representative sample was used for the priority lists and the GHW lists addressed in #19, only one discussion under #18 is required. If the samples for priority lists and GHW lists are different, a separate discussion of each is required, plus an explanation of why different samples were used.

Submittal: Priority lists are not used. General Heat Waste measures are required to have an SIR greater to or equal to one. Arkansas has only two typical dwelling units, the mobile home and the frame house. Two sample audits for each have been previously submitted.

55. **Approval Criterion:** Lists of presumptively cost-effective general heat waste (GHW) reduction weatherization materials are subject to DOE approval and must state the circumstance under which such materials may be presumed cost-effective. The list of GHW materials must be shown to be cost-effective in typical dwelling units for major dwelling units types in the State based on documentation of a representative number of site-specific energy audits (in compliance with §440.21(h)).

Submittal Requirement: Provide any lists of general heat waste reduction weatherization materials to be used and state the circumstance under which such materials are presumed to be cost-effective. Describe how the lists were developed including the energy audit on which the lists are based. If different than the audit being submitted, describe how the audit on which the GHW list is based complies with §440.21(h). Provide documentation

of a representative number of site-specific energy audits showing how these materials, in the circumstances and the amounts, were determined.

Under #18 above, describe how the representative sample of typical dwelling units was determined for the GHW list. See #18 for the discussion of representative samples.

Submittal: General Heat Waste measures will be required to have an SIR greater than or equal to one prior to installation on unit.

56. Approval Criterion: Energy audit procedures must comply with §440.21(b),(d),(e), and (h).

Submittal Requirement: In addition to the items listed below, the submittal package must include the energy audit procedures. This could include: a copy of the auditors' manual, a description of how energy audits are conducted and how different audit findings affect the auditor's actions and recommendations; and/or the detailed instructions for the data collections forms.

Submittal: The instruction manuals provided by DOE for use of NEAT and MHEA will be used.

57. Approval Criterion: DOE-funded weatherization materials/measures considered by audit must be included in Appendix A.

Submittal Requirement: The submittal package must include a list of all the weatherization materials/measures that the audit considers. Those weatherization materials/measures to be funded with DOE-ARRA monies should be noted. The submittal package must also include a statement that the requirements of Appendix A will be followed.

Submittal: Material costs will depend on solicited cost in each area. The subgrantee actual costs will be verified during monitoring visits by comparing contracts, invoices, and other cost data to NEAT and MHEA program files. General Heat Waste materials used will be coupled with Blower Door testing to determine the point at which the measures are not cost effective. All materials will conform to standards that apply from Appendix A.

58. Approval Criterion: The energy savings calculations must take into account local heating or cooling degree days. Alternatively, the audit algorithms may use bin or hourly weather data in its energy savings calculations.

Submittal Requirement: The narrative portion of the submittal package should state the type of weather data used, the published source of the weather data, the geographic locations for which the weather data will be used, and how the energy savings calculations use the weather data.

Submittal: The subgrantees will use the weather data from the NEAT and MHEA file most appropriate for local conditions, e.g., Little Rock, AR; Fort Smith, AR; Joplin, MO; Springfield, MO; Memphis, TN; Jackson, MS; Shreveport, LA.

59. Approval Criterion: The audit must use reasonable methods and assumptions.

Submittal Requirement: The narrative portion of the submittal package must describe the energy savings calculation algorithms (methods) and assumptions. Assumptions include a range of variables such as treatment of buffered envelope surfaces, treatment of solar insulation, wind, humidity, CD factor, if applicable, etc. It does not include default values which can be changed by the auditor.

Submittal: NEAT and MHEA are the energy audits used. The energy savings methods and assumptions are contained in the audits.

60. Approval Criterion: The audit must use reasonable methods and assumptions (approval criteria #4 is intentionally repeated here as #5 to specify an additional submittal requirement).

Submittal Requirement: In addition to the narrative description of the energy savings calculation methods and assumptions required by approval criterion #4, the submittal package should also include the input data, assumptions, and audit results (recommended measures) for two sample dwelling units typical of those weatherized by grantee's program.

Submittal: Audit results of two sample dwelling units of frame houses and audit results of two sample dwelling units of mobile homes have been previously submitted.

61. Approval Criterion: The figures used for the lifetime of the materials and for the costs of materials and installation must be generally accepted in the relevant trade.

Submittal Requirement: Include the figures used for the lifetime of the materials and for the costs of materials and installation. State the sources of this information and how the values compare with current actual costs and lifetime values presently used.

Submittal: The number of years used for the lifetime of the materials to be considered by NEAT and MHEA is included in the software approved by the Department of Energy and will not be changed by Arkansas.

62. Approval Criterion: The energy audit procedures must consider the rate of energy use.

Submittal Requirement: Describe how the energy audit procedures consider the rate of energy use. The energy audit procedures must consider energy efficiency as well as total energy savings. For example, replacing an existing space heater, currently heating one room, with a more energy efficient space heater, capable of heating several rooms, may not

save any energy. However, the occupants would gain the use of more of their dwelling unit. If not handled as a health and safety measure, this measure would have to be cost justified by the audit. The only way to cost justify this measure would be to impute energy savings by calculating the amount of energy the inefficient space heater would have used to heat the several rooms now heated by the efficient space heater, and subtracting the estimated energy use of the new efficient space heater.

Other examples include instances where the occupant cannot afford to heat the dwelling to an adequate temperature or operate the furnace at all. Installing insulation and tuning up the furnace may now make the use of the furnace affordable. However, energy use is increased, not decreased. Again, if not handled as a health and safety measure, energy savings would have to be imputed to cost justify the insulation and/or the furnace tune-up through the audit. While not mandatory within the audit software, if used, the overall energy audit procedures must consider these types of circumstances.

Submittal: Arkansas will use all shell and equipment measures listed in the SETUP option of NEAT and MHEA. Emphasis on correct material and labor costs will ensure the SIR ranking is valid and can be applied until funds available for the dwelling are exhausted or the SIR becomes too small. Space heaters are justified as a health and safety measure. Heating system replacement will be a minimum of 85% Energy Efficiency Rating. The standard to replace constant burning pilot with electric ignition device on gas-fueled furnaces or boiler will conform to standards listed in Appendix A. All insulation will be installed at R-Values recommended by NEAT and MHEA.

63. Approval Criterion: Where cooling needs are significant, the energy audit must consider cooling measures.

Submittal Requirement: In States where cooling needs are significant, the list of weatherization materials/measures considered by the audit should include cooling measures. The narrative portion of the submittal package should describe how the energy audit considers cooling measures, including the algorithms and assumptions used. Internal gains, latent loads, and solar incidence must be considered.

DOE considers States with over 2,000 cooling degree days per year (65°F base) to have significant cooling needs and expect their audits to consider cooling measures. States with between 1,300 and 2,000 cooling degree days, whose audits do not consider cooling measures, must provide an adequate explanation why cooling measures are not considered.

Submittal: The only cooling measures installed will be those recommended by NEAT and MHEA. The standard for air conditioner replacement is an SEER 11. Materials for cooling measures will conform to standards listed in Appendix A.

64. Approval Criterion: The energy audit procedures must make provision for use of advanced diagnostic and assessment techniques which DOE has determined are consistent with sound engineering practices.

Submittal Requirement: Describe the advanced diagnostic and assessment techniques that can be used as part of the energy audit. Such techniques may include blower doors, infrared cameras or detectors, various furnace testing procedures, health and safety testing, psychrometers, duct-leakage testing, bypass testing, etc. Describe how the results of this diagnostic work would be used and how the energy audit would consider the results of these techniques.

Submittal: An audit will be conducted on each house, as opposed to a priority list. Likewise, a blower door test will be conducted on each house. The default contained in the audit will not be used except under circumstances where the house is in such state of repair that an initial blower test cannot be conducted. Diagnostic equipment will be used to determine carbon monoxide levels on houses containing gas appliances before and after weatherization. Health and safety hazard costs will be keyed into the audits and will not be considered in the SIR. However, health and safety costs will be included in the maximum averages allowed by the Department of Energy.

65. Approval Criterion: The energy audit procedures must determine energy use from actual energy bills or by generally accepted engineering calculations.

Submittal Requirement: Describe how the energy audit determines energy use and how this value is verified.

Submittal: Fuel costs that will be used will be determined by each subgrantee by conducting yearly averages.

66. Approval Criterion: The energy audit procedures must determine that each weatherization material is cost-effective by ensuring that the discounted savings-to-investment ratio (SIR) is greater than or equal to one. The denominator in the SIR equation must include the costs of material, labor, and on-site supervisory personnel (§440.18(c)(1),(2), and (7)).

Submittal Requirement: Show the SIR equation used by the audit and describe how future fuel cost savings are discounted to present value. If the State elects not to use the discount rate provided by DOE, show the discount rate to be used and its published source. Describe how fuel cost escalation is treated and show these factors, or refer to their source. (The discount and fuel cost escalation rates may be given here or under #16.) Show the costs included in the denominator of the SIR equation.

Submittal: The state assures that the discounted savings-to investment ratio will be greater than or equal to one by using the discounted rate provided by DOE. Local subgrantees determine fuel cost escalation by contacting the local fuel supplier. State monitors verify this during their routine monitoring visits.

Approval Criterion: The energy audit procedures must assign priorities among weatherization materials in descending order of SIR and must account for interaction between architectural and mechanical measures. After adjusting the estimated fuel cost savings for interaction between measures, the energy audit procedures must eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal Requirement: Describe how the energy audit accounts for the interaction between architectural and mechanical measures. Describe how, when moving from an architectural to a mechanical measure (or vice versa), the energy audit procedures adjust the estimated fuel cost savings of measures with lower non-interacted SIRs. Show that the energy audit procedures eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal: NEAT and MHEA approved energy audits eliminate measures with less than an SIR of one and provide for the interaction between architectural and mechanical measures.

67. Approval Criterion: The energy audit procedures must ensure that the overall SIR for the entire package of measures is greater than or equal to one. In calculating the overall SIR, the energy audit procedures must add the cost of incidental repairs (§440.18(c)(9)) to the costs of materials, labor, and on-site supervisory personnel in the denominator.

Submittal Requirement: Show the equation for the overall SIR used by the audit and describe how the energy audit ensures that the overall SIR is greater than or equal to one. List the costs included in the denominator of the overall SIR equation.

Submittal: The DOE approved audits provide for the inclusion of incidental repairs (including material, labor, and on-site supervisory personnel) in the overall SIR to assure that the overall SIR is greater than to or equal to one.

68. Approval Criterion: The energy audit procedures must identify health and safety hazards to be abated with DOE funds in compliance with the State's DOE-approved health and safety procedures under §440.16(h).

Submittal Requirement: Describe how the energy audit procedures identify health and safety hazards to be abated with DOE funds and how the material and labor costs of health and safety abatement are determined on each home.

Submittal: Health and safety hazards to be abated are contained in the health and safety plan that is included in the state plan that is updated annually and approved by DOE.

69. Approval Criterion: The energy audit procedures must treat the dwelling unit as a whole system by:
- a) Examining its heating and cooling system;
 - b) Examining its air exchange system;
 - c) Examining its occupants' living habits and needs; and

- d) Making necessary adjustments to the priority of weatherization materials in response to these examinations.

Submittal Requirement: Describe how the energy audit procedures treat the dwelling unit as a whole system. Specifically, describe how the energy audit procedures examine the heating and cooling system, the air exchange system, and occupants' living habits and needs. Explain how the audit procedures make necessary adjustments to the priority of weatherization materials in response to these examinations and how these adjustments are documented.

Submittal: The energy efficiency rating of the heating system and the SEER of the cooling system is considered in calculation of the SIR. The air exchange system is determined by use of the blower door before and after weatherization. Carbon monoxide levels are determined by use of a detector. Occupant's living habits and needs are determined for use in installing digital thermostats. All of these factors are documented in the client file.

- 70. Approval Criterion: The energy audit must provide for use of an annually adjusted discount rate.

Submittal Requirement: If not specified under #11, state the discount and fuel cost escalation rates to be used and their published source (if the DOE-provided discount rate is not used).

Submittal: DOE provided discount rate is used, as stated in #11.

- 71. Approval Criterion: Priority lists, if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program. Priority lists must be revalidated by conducting a representative sample of site-specific energy audits every 5 years.

Submittal Requirement: Provide any priority lists to be used and explain how the priority lists were developed. State the energy audit on which the priority lists are based and how it complies with §440.21(H), if different than the audit being submitted. If seeking approval just for a revalidated priority list(s), give the name of waiver audit and when it was approved. Describe the circumstances that will require a site-specific audit rather than the use of the priority lists and the audit to be used in such circumstances (in compliance with §440.12(h)).

Submittal: Priority lists are not used.

- 72. Approval Criterion: Priority lists (and lists of general heat waste measures), is used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h)) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program (approval criteria #17 is intentionally repeated here as #18 to specify an additional submittal requirement).

Submittal Requirement: Describe how the representative sample of typical dwelling units for each major dwelling type was determined. Some States have indicated that fuel type and construction factors (assemblies) predict energy use (and weatherization energy savings) better than dwelling type. DOE will accept a representative sample determined on this basis, provided an adequate explanation is given to substantiate this method. Assuming the same representative sample was used for the priority lists and the GHW lists addressed in #19, only one discussion under #18 is required. If the samples for priority lists and GHW lists are different, a separate discussion of each is required, plus an explanation of why different samples were used.

Submittal: Priority lists are not used. General Heat Waste measures are required to have an SIR greater to or equal to one. Arkansas has only two typical dwelling units, the mobile home and the frame house. Two sample audits for each have been previously submitted.

73. Approval Criterion: Lists of presumptively cost-effective general heat waste (GHW) reduction weatherization materials are subject to DOE approval and must state the circumstance under which such materials may be presumed cost-effective. The list of GHW materials must be shown to be cost-effective in typical dwelling units for major dwelling units types in the State based on documentation of a representative number of site-specific energy audits (in compliance with §440.21(h)).

Submittal Requirement: Provide any lists of general heat waste reduction weatherization materials to be used and state the circumstance under which such materials are presumed to be cost-effective. Describe how the lists were developed including the energy audit on which the lists are based. If different than the audit being submitted, describe how the audit on which the GHW list is based complies with §440.21(h). Provide documentation of a representative number of site-specific energy audits showing how these materials, in the circumstances and the amounts, were determined.

Under #18 above, describe how the representative sample of typical dwelling units was determined for the GHW list. See #18 for the discussion of representative samples.

Submittal: General Heat Waste measures will be required to have an SIR greater than or equal to one prior to installation on unit.

74. Approval Criterion: Energy audit procedures must comply with §440.21(b),(d),(e), and (h).

Submittal Requirement: In addition to the items listed below, the submittal package must include the energy audit procedures. This could include: a copy of the auditors' manual, a description of how energy audits are conducted and how different audit findings affect the auditor's actions and recommendations; and/or the detailed instructions for the data collections forms.

Submittal: The instruction manuals provided by DOE for use of NEAT and MHEA will be used.

75. Approval Criterion: DOE-funded weatherization materials/measures considered by audit must be included in Appendix A.

Submittal Requirement: The submittal package must include a list of all the weatherization materials/measures that the audit considers. Those weatherization materials/measures to be funded with DOE-WAP monies should be noted. The submittal package must also include a statement that the requirements of Appendix A will be followed.

Submittal: Material costs will depend on solicited cost in each area. The subgrantee actual costs will be verified during monitoring visits by comparing contracts, invoices, and other cost data to NEAT and MHEA program files. General Heat Waste materials used will be coupled with Blower Door testing to determine the point at which the measures are not cost effective. All materials will conform to standards that apply from Appendix A.

76. Approval Criterion: The energy savings calculations must take into account local heating or cooling degree days. Alternatively, the audit algorithms may use bin or hourly weather data in its energy savings calculations.

Submittal Requirement: The narrative portion of the submittal package should state the type of weather data used, the published source of the weather data, the geographic locations for which the weather data will be used, and how the energy savings calculations use the weather data.

Submittal: The subgrantees will use the weather data from the NEAT and MHEA file most appropriate for local conditions, e.g., Little Rock, AR; Fort Smith, AR; Joplin, MO; Springfield, MO; Memphis, TN; Jackson, MS; Shreveport, LA.

77. Approval Criterion: The audit must use reasonable methods and assumptions.

Submittal Requirement: The narrative portion of the submittal package must describe the energy savings calculation algorithms (methods) and assumptions. Assumptions include a range of variables such as treatment of buffered envelope surfaces, treatment of solar insulation, wind, humidity, CD factor, if applicable, etc. It does not include default values which can be changed by the auditor.

Submittal: NEAT and MHEA are the energy audits used. The energy savings methods and assumptions are contained in the audits.

78. Approval Criterion: The audit must use reasonable methods and assumptions (approval criteria #4 is intentionally repeated here as #5 to specify an additional submittal requirement).

Submittal Requirement: In addition to the narrative description of the energy savings calculation methods and assumptions required by approval criterion #4, the submittal package should also include the input data, assumptions, and audit results (recommended measures) for two sample dwelling units typical of those weatherized by grantee's program.

Submittal: Audit results of two sample dwelling units of frame houses and audit results of two sample dwelling units of mobile homes have been previously submitted.

79. Approval Criterion: The figures used for the lifetime of the materials and for the costs of materials and installation must be generally accepted in the relevant trade.

Submittal Requirement: Include the figures used for the lifetime of the materials and for the costs of materials and installation. State the sources of this information and how the values compare with current actual costs and lifetime values presently used.

Submittal: The number of years used for the lifetime of the materials to be considered by NEAT and MHEA is included in the software approved by the Department of Energy and will not be changed by Arkansas.

80. Approval Criterion: The energy audit procedures must consider the rate of energy use.

Submittal Requirement: Describe how the energy audit procedures consider the rate of energy use. The energy audit procedures must consider energy efficiency as well as total energy savings. For example, replacing an existing space heater, currently heating one room, with a more energy efficient space heater, capable of heating several rooms, may not save any energy. However, the occupants would gain the use of more of their dwelling unit. If not handled as a health and safety measure, this measure would have to be cost justified by the audit. The only way to cost justify this measure would be to impute energy savings by calculating the amount of energy the inefficient space heater would have used to heat the several rooms now heated by the efficient space heater, and subtracting the estimated energy use of the new efficient space heater.

Other examples include instances where the occupant cannot afford to heat the dwelling to an adequate temperature or operate the furnace at all. Installing insulation and tuning up the furnace may now make the use of the furnace affordable. However, energy use is increased, not decreased. Again, if not handled as a health and safety measure, energy savings would have to be imputed to cost justify the insulation and/or the furnace tune-up through the audit. While not mandatory within the audit software, if used, the overall energy audit procedures must consider these types of circumstances.

Submittal: Arkansas will use all shell and equipment measures listed in the SETUP option of NEAT and MHEA. Emphasis on correct material and labor costs will ensure the SIR ranking is valid and can be applied until funds available for the dwelling are exhausted or the SIR becomes too small. Space heaters are justified as a health and safety measure. Heating system replacement will be a minimum of 85% Energy Efficiency Rating. The standard to replace constant burning pilot with electric ignition device on gas-fueled

furnaces or boiler will conform to standards listed in Appendix A. All insulation will be installed at R-Values recommended by NEAT and MHEA.

81. Approval Criterion: Where cooling needs are significant, the energy audit must consider cooling measures.

Submittal Requirement: In States where cooling needs are significant, the list of weatherization materials/measures considered by the audit should include cooling measures. The narrative portion of the submittal package should describe how the energy audit considers cooling measures, including the algorithms and assumptions used. Internal gains, latent loads, and solar incidence must be considered.

DOE considers States with over 2,000 cooling degree days per year (65°F base) to have significant cooling needs and expect their audits to consider cooling measures. States with between 1,300 and 2,000 cooling degree days, whose audits do not consider cooling measures, must provide an adequate explanation why cooling measures are not considered.

Submittal: The only cooling measures installed will be those recommended by NEAT and MHEA. The standard for air conditioner replacement is an SEER 11. Materials for cooling measures will conform to standards listed in Appendix A.

82. Approval Criterion: The energy audit procedures must make provision for use of advanced diagnostic and assessment techniques which DOE has determined are consistent with sound engineering practices.

Submittal Requirement: Describe the advanced diagnostic and assessment techniques that can be used as part of the energy audit. Such techniques may include blower doors, infrared cameras or detectors, various furnace testing procedures, health and safety testing, psychrometers, duct-leakage testing, bypass testing, etc. Describe how the results of this diagnostic work would be use and how the energy audit would consider the results of these techniques.

Submittal: An audit will be conducted on each house, as opposed to a priority list. Likewise, a blower test will be conducted on each house. The default contained in the audit will not be used except under circumstances where the house is in such state of repair that an initial blower test cannot be conducted. Diagnostic equipment will be used to determine carbon monoxide levels on houses containing gas appliances before and after weatherization. Health and safety hazard costs will be keyed into the audits and will not be considered in the SIR. However, health and safety costs will be included in the maximum averages allowed by the Department of Energy.

83. Approval Criterion: The energy audit procedures must determine energy use from actual energy bills or by generally accepted engineering calculations.

Submittal Requirement: Describe how the energy audit determines energy use and how this value is verified.

Submittal: Fuel costs that will be used will be determined by each subgrantee by conducting yearly averages.

84. Approval Criterion: The energy audit procedures must determine that each weatherization material is cost-effective by ensuring that the discounted savings-to-investment ratio (SIR) is greater than or equal to one. The denominator in the SIR equation must include the costs of material, labor, and on-site supervisory personnel (§440.18(c)(1),(2), and (7)).

Submittal Requirement: Show the SIR equation used by the audit and describe how future fuel cost savings are discounted to present value. If the State elects not to use the discount rate provided by DOE, show the discount rate to be used and its published source. Describe how fuel cost escalation is treated and show these factors, or refer to their source. (The discount and fuel cost escalation rates may be given here or under #16.) Show the costs included in the denominator of the SIR equation.

Submittal: The state assures that the discounted savings-to investment ratio will be greater or equal to one by using the discounted rate provided by DOE. Local subgrantees determine fuel cost escalation by contacting the local fuel supplier. State monitors verify this during their routine monitoring visits.

85. Approval Criterion: The energy audit procedures must assign priorities among weatherization materials in descending order of SIR and must account for interaction between architectural and mechanical measures. After adjusting the estimated fuel cost savings for interaction between measures, the energy audit procedures must eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal Requirement: Describe how the energy audit accounts for the interaction between architectural and mechanical measures. Describe how, when moving from an architectural to a mechanical measure (or vice versa), the energy audit procedures adjust the estimated fuel cost savings of measures with lower non-interacted SIRs. Show that the energy audit procedures eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal: NEAT and MHEA approved energy audits eliminate measures with less than an SIR of one and provide for the interaction between architectural and mechanical measures.

86. Approval Criterion: The energy audit procedures must ensure that the overall SIR for the entire package of measures is greater than or equal to one. In calculating the overall SIR, the energy audit procedures must add the cost of incidental repairs (§440.18(c)(9)) to the costs of materials, labor, and on-site supervisory personnel in the denominator.

Submittal Requirement: Show the equation for the overall SIR used by the audit and describe how the energy audit ensures that the overall SIR is greater than or equal to one. List the costs included in the denominator of the overall SIR equation.

Submittal: The DOE approved audits provide for the inclusion of incidental repairs (including material, labor, and on-site supervisory personnel) in the overall SIR to assure that the overall SIR is greater to or equal to one.

87. Approval Criterion: The energy audit procedures must identify health and safety hazards to be abated with DOE funds in compliance with the State's DOE-approved health and safety procedures under §440.16(h).

Submittal Requirement: Describe how the energy audit procedures identify health and safety hazards to be abated with DOE funds and how the material and labor costs of health and safety abatement are determined on each home.

Submittal: Health and safety hazards to be abated are contained in the health and safety plan that is included in the state plan that is approved by DOE.

88. Approval Criterion: The energy audit procedures must treat the dwelling unit as a whole system by:

- a) Examining its heating and cooling system;
- b) Examining its air exchange system;
- c) Examining its occupants' living habits and needs; and
- d) Making necessary adjustments to the priority of weatherization materials in response to these examinations.

Submittal Requirement: Describe how the energy audit procedures treat the dwelling unit as a whole system. Specifically, describe how the energy audit procedures examine the heating and cooling system, the air exchange system, and occupants' living habits and needs. Explain how the audit procedures make necessary adjustments to the priority of weatherization materials in response to these examinations and how these adjustments are documented.

Submittal: The energy efficiency rating of the heating system and the SEER of the cooling system is considered in calculation of the SIR. The air exchange system is determined by use of the blower door before and after weatherization. Carbon monoxide levels are determined by use of a detector. Occupant's living habits and needs are determined for use in installing digital thermostats. All of these factors are documented in the client file.

89. Approval Criterion: The energy audit must provide for use of an annually adjusted discount rate.

Submittal Requirement: If not specified under #11, state the discount and fuel cost escalation rates to be used and their published source (if the DOE-provided discount rate is not used).

Submittal: DOE provided discount rate is used, as stated in #11.

90. Approval Criterion: Priority lists, if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program. Priority lists must be revalidated by conducting a representative sample of site-specific energy audits every 5 years.

Submittal Requirement: Provide any priority lists to be used and explain how the priority lists were developed. State the energy audit on which the priority lists are based and how it complies with §440.21(H), if different than the audit being submitted. If seeking approval just for a revalidated priority list(s), give the name of waiver audit and when it was approved. Describe the circumstances that will require a site-specific audit rather than the use of the priority lists and the audit to be used in such circumstances (in compliance with §440.12(h)).

Submittal: Priority lists are not used.

91. Approval Criterion: Priority lists (and lists of general heat waste measures), if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h)) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program (approval criteria #17 is intentionally repeated here as #18 to specify an additional submittal requirement).

Submittal Requirement: Describe how the representative sample of typical dwelling units for each major dwelling type was determined. Some States have indicated that fuel type and construction factors (assemblies) predict energy use (and weatherization energy savings) better than dwelling type. DOE will accept a representative sample determined on this basis, provided an adequate explanation is given to substantiate this method. Assuming the same representative sample was used for the priority lists and the GHW lists addressed in #19, only one discussion under #18 is required. If the samples for priority lists and GHW lists are different, a separate discussion of each is required, plus an explanation of why different samples were used.

Submittal: Priority lists are not used. General Heat Waste measures are required to have an SIR greater than to or equal to one. Arkansas has only two typical dwelling units, the mobile home and the frame house. Two sample audits for each have been previously submitted.

92. Approval Criterion: Lists of presumptively cost-effective general heat waste (GHW) reduction weatherization materials are subject to DOE approval and must state the circumstance under which such materials may be presumed cost-effective. The list of GHW materials must be shown to be cost-effective in typical dwelling units for major dwelling units types in the State based on documentation of a representative number of site-specific energy audits (in compliance with §440.21(h)).

Submittal Requirement: Provide any lists of general heat waste reduction weatherization materials to be used and state the circumstance under which such materials are presumed

to be cost-effective. Describe how the lists were developed including the energy audit on which the lists are based. If different than the audit being submitted, describe how the audit on which the GHW list is based complies with §440.21(h). Provide documentation of a representative number of site-specific energy audits showing how these materials, in the circumstances and the amounts, were determined.

Under #18 above, describe how the representative sample of typical dwelling units was determined for the GHW list. See #18 for the discussion of representative samples.

Submittal: General Heat Waste measures will be required to have an SIR greater than or equal to one prior to installation on unit.

93. Approval Criterion: Energy audit procedures must comply with §440.21(b),(d),(e), and (h).

Submittal Requirement: In addition to the items listed below, the submittal package must include the energy audit procedures. This could include: a copy of the auditors' manual, a description of how energy audits are conducted and how different audit findings affect the auditor's actions and recommendations; and/or the detailed instructions for the data collections forms.

Submittal: The instruction manuals provided by DOE for use of NEAT and MHEA will be used.

94. Approval Criterion: DOE-funded weatherization materials/measures considered by audit must be included in Appendix A.

Submittal Requirement: The submittal package must include a list of all the weatherization materials/measures that the audit considers. Those weatherization materials/measures to be funded with DOE-ARRA monies should be noted. The submittal package must also include a statement that the requirements of Appendix A will be followed.

Submittal: Material costs will depend on solicited cost in each area. The subgrantee actual costs will be verified during monitoring visits by comparing contracts, invoices, and other cost data to NEAT and MHEA program files. General Heat Waste materials used will be coupled with Blower Door testing to determine the point at which the measures are not cost effective. All materials will conform to standards that apply from Appendix A.

95. Approval Criterion: The energy savings calculations must take into account local heating or cooling degree days. Alternatively, the audit algorithms may use bin or hourly weather data in its energy savings calculations.

Submittal Requirement: The narrative portion of the submittal package should state the type of weather data used, the published source of the weather data, the geographic

locations for which the weather data will be used, and how the energy savings calculations use the weather data.

Submittal: The subgrantees will use the weather data from the NEAT and MHEA file most appropriate for local conditions, e.g., Little Rock, AR; Fort Smith, AR; Joplin, MO; Springfield, MO; Memphis, TN; Jackson, MS; Shreveport, LA.

96. Approval Criterion: The audit must use reasonable methods and assumptions.

Submittal Requirement: The narrative portion of the submittal package must describe the energy savings calculation algorithms (methods) and assumptions. Assumptions include a range of variables such as treatment of buffered envelope surfaces, treatment of solar insulation, wind, humidity, CD factor, if applicable, etc. It does not include default values which can be changed by the auditor.

Submittal: NEAT and MHEA are the energy audits used. The energy savings methods and assumptions are contained in the audits.

97. Approval Criterion: The audit must use reasonable methods and assumptions (approval criteria #4 is intentionally repeated here as #5 to specify an additional submittal requirement).

Submittal Requirement: In addition to the narrative description of the energy savings calculation methods and assumptions required by approval criterion #4, the submittal package should also include the input data, assumptions, and audit results (recommended measures) for two sample dwelling units typical of those weatherized by grantee's program.

Submittal: Audit results of two sample dwelling units of frame houses and audit results of two sample dwelling units of mobile homes have been previously submitted.

98. Approval Criterion: The figures used for the lifetime of the materials and for the costs of materials and installation must be generally accepted in the relevant trade.

Submittal Requirement: Include the figures used for the lifetime of the materials and for the costs of materials and installation. State the sources of this information and how the values compare with current actual costs and lifetime values presently used.

Submittal: The number of years used for the lifetime of the materials to be considered by NEAT and MHEA is included in the software approved by the Department of Energy and will not be changed by Arkansas.

99. Approval Criterion: The energy audit procedures must consider the rate of energy use.

Submittal Requirement: Describe how the energy audit procedures consider the rate of energy use. The energy audit procedures must consider energy efficiency as well as total energy savings. For example, replacing an existing space heater, currently heating one

room, with a more energy efficient space heater, capable of heating several rooms, may not save any energy. However, the occupants would gain the use of more of their dwelling unit. If not handled as a health and safety measure, this measure would have to be cost justified by the audit. The only way to cost justify this measure would be to impute energy savings by calculating the amount of energy the inefficient space heater would have used to heat the several rooms now heated by the efficient space heater, and subtracting the estimated energy use of the new efficient space heater.

Other examples include instances where the occupant cannot afford to heat the dwelling to an adequate temperature or operate the furnace at all. Installing insulation and tuning up the furnace may now make the use of the furnace affordable. However, energy use is increased, not decreased. Again, if not handled as a health and safety measure, energy savings would have to be imputed to cost justify the insulation and/or the furnace tune-up through the audit. While not mandatory within the audit software, if used, the overall energy audit procedures must consider these types of circumstances.

Submittal: Arkansas will use all shell and equipment measures listed in the SETUP option of NEAT and MHEA. Emphasis on correct material and labor costs will ensure the SIR ranking is valid and can be applied until funds available for the dwelling are exhausted or the SIR becomes too small. Space heaters are justified as a health and safety measure. Heating system replacement will be a minimum of 85% Energy Efficiency Rating. The standard to replace constant burning pilot with electric ignition device on gas-fueled furnaces or boiler will conform to standards listed in Appendix A. All insulation will be installed at R-Values recommended by NEAT and MHEA.

100. Approval Criterion: Where cooling needs are significant, the energy audit must consider cooling measures.

Submittal Requirement: In States where cooling needs are significant, the list of weatherization materials/measures considered by the audit should include cooling measures. The narrative portion of the submittal package should describe how the energy audit considers cooling measures, including the algorithms and assumptions used. Internal gains, latent loads, and solar incidence must be considered.

DOE considers States with over 2,000 cooling degree days per year (65°F base) to have significant cooling needs and expect their audits to consider cooling measures. States with between 1,300 and 2,000 cooling degree days, whose audits do not consider cooling measures, must provide an adequate explanation why cooling measures are not considered.

Submittal: The only cooling measures installed will be those recommended by NEAT and MHEA. The standard for air conditioner replacement is an SEER 11. Materials for cooling measures will conform to standards listed in Appendix A.

101. Approval Criterion: The energy audit procedures must make provision for use of advanced diagnostic and assessment techniques which DOE has determined are consistent with sound engineering practices.

Submittal Requirement: Describe the advanced diagnostic and assessment techniques that can be used as part of the energy audit. Such techniques may include blower doors, infrared cameras or detectors, various furnace testing procedures, health and safety testing, psychrometers, duct-leakage testing, bypass testing, etc. Describe how the results of this diagnostic work would be use and how the energy audit would consider the results of these techniques.

Submittal: An audit will be conducted on each house, as opposed to a priority list. Likewise, a blower door test will be conducted on each house. The default contained in the audit will not be used except under circumstances where the house is in such state of repair that an initial blower test cannot be conducted. Diagnostic equipment will be used to determine carbon monoxide levels on houses containing gas appliances before and after weatherization. Health and safety hazard costs will be keyed into the audits and will not be considered in the SIR. However, health and safety costs will be included in the maximum averages allowed by the Department of Energy.

102. **Approval Criterion:** The energy audit procedures must determine energy use from actual energy bills or by generally accepted engineering calculations.

Submittal Requirement: Describe how the energy audit determines energy use and how this value is verified.

Submittal: Fuel costs that will be used will be determined by each subgrantee by conducting yearly averages.

103. **Approval Criterion:** The energy audit procedures must determine that each weatherization material is cost-effective by ensuring that the discounted savings-to-investment ratio (SIR) is greater than or equal to one. The denominator in the SIR equation must include the costs of material, labor, and on-site supervisory personnel (§440.18(c)(1),(2), and (7)).

Submittal Requirement: Show the SIR equation used by the audit and describe how future fuel cost savings are discounted to present value. If the State elects not to use the discount rate provided by DOE, show the discount rate to be used and its published source. Describe how fuel cost escalation is treated and show these factors, or refer to their source. (The discount and fuel cost escalation rates may be given here or under #16.) Show the costs included in the denominator of the SIR equation.

Submittal: The state assures that the discounted savings-to investment ratio will be greater or equal to one by using the discounted rate provided by DOE. Local subgrantees determine fuel cost escalation by contacting the local fuel supplier. State monitors verify this during their routine monitoring visits.

104. **Approval Criterion:** The energy audit procedures must assign priorities among weatherization materials in descending order of SIR and must account for interaction between architectural and mechanical measures. After adjusting the estimated fuel cost

savings for interaction between measures, the energy audit procedures must eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal Requirement: Describe how the energy audit accounts for the interaction between architectural and mechanical measures. Describe how, when moving from an architectural to a mechanical measure (or vice versa), the energy audit procedures adjust the estimated fuel cost savings of measures with lower non-interacted SIRs. Show that the energy audit procedures eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal: NEAT and MHEA approved energy audits eliminate measures with less than a SIR of one and provide for the interaction between architectural and mechanical measures.

105. **Approval Criterion:** The energy audit procedures must ensure that the overall SIR for the entire package of measures is greater than or equal to one. In calculating the overall SIR, the energy audit procedures must add the cost of incidental repairs (§440.18(c)(9)) to the costs of materials, labor, and on-site supervisory personnel in the denominator.

Submittal Requirement: Show the equation for the overall SIR used by the audit and describe how the energy audit ensures that the overall SIR is greater than or equal to one. List the costs included in the denominator of the overall SIR equation.

Submittal: The DOE approved audits provide for the inclusion of incidental repairs (including material, labor, and on-site supervisory personnel) in the overall SIR to assure that the overall SIR is greater than or equal to one.

106. **Approval Criterion:** The energy audit procedures must identify health and safety hazards to be abated with DOE funds in compliance with the State's DOE-approved health and safety procedures under §440.16(h).

Submittal Requirement: Describe how the energy audit procedures identify health and safety hazards to be abated with DOE funds and how the material and labor costs of health and safety abatement are determined on each home.

Submittal: Health and safety hazards to be abated are contained in the health and safety plan that is included in the state plan that is approved by DOE.

107. **Approval Criterion:** The energy audit procedures must treat the dwelling unit as a whole system by:

- a) Examining its heating and cooling system;
- b) Examining its air exchange system;
- c) Examining its occupants' living habits and needs; and
- d) Making necessary adjustments to the priority of weatherization materials in response to these examinations.

Submittal Requirement: Describe how the energy audit procedures treat the dwelling unit as a whole system. Specifically, describe how the energy audit procedures examine the heating and cooling system, the air exchange system, and occupants' living habits and needs. Explain how the audit procedures make necessary adjustments to the priority of weatherization materials in response to these examinations and how these adjustments are documented.

Submittal: The energy efficiency rating of the heating system and the SEER of the cooling system is considered in calculation of the SIR. The air exchange system is determined by use of the blower door before and after weatherization. Carbon monoxide levels are determined by use of a detector. Occupant's living habits and needs are determined for use in installing digital thermostats. All of these factors are documented in the client file.

108. Approval Criterion: The energy audit must provide for use of an annually adjusted discount rate.

Submittal Requirement: If not specified under #11, state the discount and fuel cost escalation rates to be used and their published source (if the DOE-provided discount rate is not used).

Submittal: DOE provided discount rate is used, as stated in #11.

109. Approval Criterion: Priority lists, if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program. Priority lists must be revalidated by conducting a representative sample of site-specific energy audits every 5 years.

Submittal Requirement: Provide any priority lists to be used and explain how the priority lists were developed. State the energy audit on which the priority lists are based and how it complies with §440.21(H), if different than the audit being submitted. If seeking approval just for a revalidated priority list(s), give the name of waiver audit and when it was approved. Describe the circumstances that will require a site-specific audit rather than the use of the priority lists and the audit to be used in such circumstances (in compliance with §440.12(h)).

Submittal: Priority lists are not used.

110. Approval Criterion: Priority lists (and lists of general heat waste measures), if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h)) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program (approval criteria #17 is intentionally repeated here as #18 to specify an additional submittal requirement).

Submittal Requirement: Describe how the representative sample of typical dwelling units for each major dwelling type was determined. Some States have indicated that fuel type

and construction factors (assemblies) predict energy use (and weatherization energy savings) better than dwelling type. DOE will accept a representative sample determined on this basis, provided an adequate explanation is given to substantiate this method. Assuming the same representative sample was used for the priority lists and the GHW lists addressed in #19, only one discussion under #18 is required. If the samples for priority lists and GHW lists are different, a separate discussion of each is required, plus an explanation of why different samples were used.

Submittal: Priority lists are not used. General Heat Waste measures are required to have an SIR greater than or equal to one. Arkansas has only two typical dwelling units, the mobile home and the frame house. Two sample audits for each have been previously submitted.

111. Approval Criterion: Lists of presumptively cost-effective general heat waste (GHW) reduction weatherization materials are subject to DOE approval and must state the circumstance under which such materials may be presumed cost-effective. The list of GHW materials must be shown to be cost-effective in typical dwelling units for major dwelling units types in the State based on documentation of a representative number of site-specific energy audits (in compliance with §440.21(h)).

Submittal Requirement: Provide any lists of general heat waste reduction weatherization materials to be used and state the circumstance under which such materials are presumed to be cost-effective. Describe how the lists were developed including the energy audit on which the lists are based. If different than the audit being submitted, describe how the audit on which the GHW list is based complies with §440.21(h). Provide documentation of a representative number of site-specific energy audits showing how these materials, in the circumstances and the amounts, were determined.

Under #18 above, describe how the representative sample of typical dwelling units was determined for the GHW list. See #18 for the discussion of representative samples.

Submittal: General Heat Waste measures will be required to have an SIR greater than or equal to one prior to installation on unit.

112. Approval Criterion: Energy audit procedures must comply with §440.21(b),(d),(e), and (h).

Submittal Requirement: In addition to the items listed below, the submittal package must include the energy audit procedures. This could include: a copy of the auditors' manual, a description of how energy audits are conducted and how different audit findings affect the auditor's actions and recommendations; and/or the detailed instructions for the data collections forms.

Submittal: The instruction manuals provided by DOE for use of NEAT and MHEA will be used.

113. Approval Criterion: DOE-funded weatherization materials/measures considered by audit must be included in Appendix A.

Submittal Requirement: The submittal package must include a list of all the weatherization materials/measures that the audit considers. Those weatherization materials/measures to be funded with DOE-ARRA monies should be noted. The submittal package must also include a statement that the requirements of Appendix A will be followed.

Submittal: Material costs will depend on solicited cost in each area. The subgrantee actual costs will be verified during monitoring visits by comparing contracts, invoices, and other cost data to NEAT and MHEA program files. General Heat Waste materials used will be coupled with Blower Door testing to determine the point at which the measures are not cost effective. All materials will conform to standards that apply from Appendix A.

114. Approval Criterion: The energy savings calculations must take into account local heating or cooling degree days. Alternatively, the audit algorithms may use bin or hourly weather data in its energy savings calculations.

Submittal Requirement: The narrative portion of the submittal package should state the type of weather data used, the published source of the weather data, the geographic locations for which the weather data will be used, and how the energy savings calculations use the weather data.

Submittal: The subgrantees will use the weather data from the NEAT and MHEA file most appropriate for local conditions, e.g., Little Rock, AR; Fort Smith, AR; Joplin, MO; Springfield, MO; Memphis, TN; Jackson, MS; Shreveport, LA.

115. Approval Criterion: The audit must use reasonable methods and assumptions.

Submittal Requirement: The narrative portion of the submittal package must describe the energy savings calculation algorithms (methods) and assumptions. Assumptions include a range of variables such as treatment of buffered envelope surfaces, treatment of solar insulation, wind, humidity, CD factor, if applicable, etc. It does not include default values which can be changed by the auditor.

Submittal: NEAT and MHEA are the energy audits used. The energy savings methods and assumptions are contained in the audits.

116. Approval Criterion: The audit must use reasonable methods and assumptions (approval criteria #4 is intentionally repeated here as #5 to specify an additional submittal requirement).

Submittal Requirement: In addition to the narrative description of the energy savings calculation methods and assumptions required by approval criterion #4, the submittal package should also include the input data, assumptions, and audit results (recommended

measures) for two sample dwelling units typical of those weatherized by grantee's program.

Submittal: Audit results of two sample dwelling units of frame houses and audit results of two sample dwelling units of mobile homes have been previously submitted.

117. Approval Criterion: The figures used for the lifetime of the materials and for the costs of materials and installation must be generally accepted in the relevant trade.
Submittal Requirement: Include the figures used for the lifetime of the materials and for the costs of materials and installation. State the sources of this information and how the values compare with current actual costs and lifetime values presently used.

Submittal: The number of years used for the lifetime of the materials to be considered by NEAT and MHEA is included in the software approved by the Department of Energy and will not be changed by Arkansas.

118. Approval Criterion: The energy audit procedures must consider the rate of energy use.

Submittal Requirement: Describe how the energy audit procedures consider the rate of energy use. The energy audit procedures must consider energy efficiency as well as total energy savings. For example, replacing an existing space heater, currently heating one room, with a more energy efficient space heater, capable of heating several rooms, may not save any energy. However, the occupants would gain the use of more of their dwelling unit. If not handled as a health and safety measure, this measure would have to be cost justified by the audit. The only way to cost justify this measure would be to impute energy savings by calculating the amount of energy the inefficient space heater would have used to heat the several rooms now heated by the efficient space heater, and subtracting the estimated energy use of the new efficient space heater.

Other examples include instances where the occupant cannot afford to heat the dwelling to an adequate temperature or operate the furnace at all. Installing insulation and tuning up the furnace may now make the use of the furnace affordable. However, energy use is increased, not decreased. Again, if not handled as a health and safety measure, energy savings would have to be imputed to cost justify the insulation and/or the furnace tune-up through the audit. While not mandatory within the audit software, if used, the overall energy audit procedures must consider these types of circumstances.

Submittal: Arkansas will use all shell and equipment measures listed in the SETUP option of NEAT and MHEA. Emphasis on correct material and labor costs will ensure the SIR ranking is valid and can be applied until funds available for the dwelling are exhausted or the SIR becomes too small. Space heaters are justified as a health and safety measure. Heating system replacement will be a minimum of 85% Energy Efficiency Rating. The standard to replace constant burning pilot with electric ignition device on gas-fueled furnaces or boiler will conform to standards listed in Appendix A. All insulation will be installed at R-Values recommended by NEAT and MHEA.

119. Approval Criterion: Where cooling needs are significant, the energy audit must consider cooling measures.

Submittal Requirement: In States where cooling needs are significant, the list of weatherization materials/measures considered by the audit should include cooling measures. The narrative portion of the submittal package should describe how the energy audit considers cooling measures, including the algorithms and assumptions used. Internal gains, latent loads, and solar incidence must be considered.

DOE considers States with over 2,000 cooling degree days per year (65°F base) to have significant cooling needs and expect their audits to consider cooling measures. States with between 1,300 and 2,000 cooling degree days, whose audits do not consider cooling measures, must provide an adequate explanation why cooling measures are not considered.

Submittal: The only cooling measures installed will be those recommended by NEAT and MHEA. The standard for air conditioner replacement is an SEER 11. Materials for cooling measures will conform to standards listed in Appendix A.

120. Approval Criterion: The energy audit procedures must make provision for use of advanced diagnostic and assessment techniques which DOE has determined are consistent with sound engineering practices.

Submittal Requirement: Describe the advanced diagnostic and assessment techniques that can be used as part of the energy audit. Such techniques may include blower door doors, infrared cameras or detectors, various furnace testing procedures, health and safety testing, psychrometers, duct-leakage testing, bypass testing, etc. Describe how the results of this diagnostic work would be use and how the energy audit would consider the results of these techniques.

Submittal: An audit will be conducted on each house, as opposed to a priority list. Likewise, a blower door test will be conducted on each house. The default contained in the audit will not be used except under circumstances where the house is in such state of repair that an initial blower test cannot be conducted. Diagnostic equipment will be used to determine carbon monoxide levels on houses containing gas appliances before and after weatherization. Health and safety hazard costs will be keyed into the audits and will not be considered in the SIR. However, health and safety costs will be included in the maximum averages allowed by the Department of Energy.

121. Approval Criterion: The energy audit procedures must determine energy use from actual energy bills or by generally accepted engineering calculations.

Submittal Requirement: Describe how the energy audit determines energy use and how this value is verified.

Submittal: Fuel costs that will be used will be determined by each subgrantee by conducting yearly averages.

122. Approval Criterion: The energy audit procedures must determine that each weatherization material is cost-effective by ensuring that the discounted savings-to-investment ratio (SIR) is greater than or equal to one. The denominator in the SIR equation must include the costs of material, labor, and on-site supervisory personnel (§440.18(c)(1),(2), and (7)).

Submittal Requirement: Show the SIR equation used by the audit and describe how future fuel cost savings are discounted to present value. If the State elects not to use the discount rate provided by DOE, show the discount rate to be used and its published source. Describe how fuel cost escalation is treated and show these factors, or refer to their source. (The discount and fuel cost escalation rates may be given here or under #16.) Show the costs included in the denominator of the SIR equation.

Submittal: The state assures that the discounted savings-to investment ratio will be greater than or equal to one by using the discounted rate provided by DOE. Local subgrantees determine fuel cost escalation by contacting the local fuel supplier. State monitors verify this during their routine monitoring visits.

123. Approval Criterion: The energy audit procedures must assign priorities among weatherization materials in descending order of SIR and must account for interaction between architectural and mechanical measures. After adjusting the estimated fuel cost savings for interaction between measures, the energy audit procedures must eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal Requirement: Describe how the energy audit accounts for the interaction between architectural and mechanical measures. Describe how, when moving from an architectural to a mechanical measure (or vice versa), the energy audit procedures adjust the estimated fuel cost savings of measures with lower non-interacted SIRs. Show that the energy audit procedures eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal: NEAT and MHEA approved energy audits eliminate measures with less than an SIR of one and provide for the interaction between architectural and mechanical measures.

124. Approval Criterion: The energy audit procedures must ensure that the overall SIR for the entire package of measures is greater than or equal to one. In calculating the overall SIR, the energy audit procedures must add the cost of incidental repairs (§440.18(c)(9)) to the costs of materials, labor, and on-site supervisory personnel in the denominator.

Submittal Requirement: Show the equation for the overall SIR used by the audit and describe how the energy audit ensures that the overall SIR is greater than or equal to one. List the costs included in the denominator of the overall SIR equation.

Submittal: The DOE approved audits provide for the inclusion of incidental repairs (including material, labor, and on-site supervisory personnel) in the overall SIR to assure that the overall SIR is greater than or equal to one.

125. Approval Criterion: The energy audit procedures must identify health and safety hazards to be abated with DOE funds in compliance with the State's DOE-approved health and safety procedures under §440.16(h).

Submittal Requirement: Describe how the energy audit procedures identify health and safety hazards to be abated with DOE funds and how the material and labor costs of health and safety abatement are determined on each home.

Submittal: Health and safety hazards to be abated are contained in the health and safety plan that is included in the state plan that is updated annually and approved by DOE.

126. Approval Criterion: The energy audit procedures must treat the dwelling unit as a whole system by:

- a) Examining its heating and cooling system;
- b) Examining its air exchange system;
- c) Examining its occupants' living habits and needs; and
- d) Making necessary adjustments to the priority of weatherization materials in response to these examinations.

Submittal Requirement: Describe how the energy audit procedures treat the dwelling unit as a whole system. Specifically, describe how the energy audit procedures examine the heating and cooling system, the air exchange system, and occupants' living habits and needs. Explain how the audit procedures make necessary adjustments to the priority of weatherization materials in response to these examinations and how these adjustments are documented.

Submittal: The energy efficiency rating of the heating system and the SEER of the cooling system is considered in calculation of the SIR. The air exchange system is determined by use of the blower door before and after weatherization. Carbon monoxide levels are determined by use of a detector. Occupant's living habits and needs are determined for use in installing digital thermostats. All of these factors are documented in the client file.

127. Approval Criterion: The energy audit must provide for use of an annually adjusted discount rate.

Submittal Requirement: If not specified under #11, state the discount and fuel cost escalation rates to be used and their published source (if the DOE-provided discount rate is not used).

Submittal: DOE provided discount rate is used, as stated in #11.

128. Approval Criterion: Priority lists, if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program. Priority lists must be revalidated by conducting a representative sample of site-specific energy audits every 5 years.

Submittal Requirement: Provide any priority lists to be used and explain how the priority lists were developed. State the energy audit on which the priority lists are based and how it complies with §440.21(H), if different than the audit being submitted. If seeking approval just for a revalidated priority list(s), give the name of waiver audit and when it was approved. Describe the circumstances that will require a site-specific audit rather than the use of the priority lists and the audit to be used in such circumstances (in compliance with §440.12(h)).

Submittal: Priority lists are not used.

129. Approval Criterion: Priority lists (and lists of general heat waste measures), if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h)) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program (approval criteria #17 is intentionally repeated here as #18 to specify an additional submittal requirement).

Submittal Requirement: Describe how the representative sample of typical dwelling units for each major dwelling type was determined. Some States have indicated that fuel type and construction factors (assemblies) predict energy use (and weatherization energy savings) better than dwelling type. DOE will accept a representative sample determined on this basis, provided an adequate explanation is given to substantiate this method. Assuming the same representative sample was used for the priority lists and the GHW lists addressed in #19, only one discussion under #18 is required. If the samples for priority lists and GHW lists are different, a separate discussion of each is required, plus an explanation of why different samples were used.

Submittal: Priority lists are not used. General Heat Waste measures are required to have an SIR greater to or equal to one. Arkansas has only two typical dwelling units, the mobile home and the frame house. Two sample audits for each have been previously submitted.

130. Approval Criterion: Lists of presumptively cost-effective general heat waste (GHW) reduction weatherization materials are subject to DOE approval and must state the circumstance under which such materials may be presumed cost-effective. The list of GHW materials must be shown to be cost-effective in typical dwelling units for major dwelling units types in the State based on documentation of a representative number of site-specific energy audits (in compliance with §440.21(h)).

Submittal Requirement: Provide any lists of general heat waste reduction weatherization materials to be used and state the circumstance under which such materials are presumed to be cost-effective. Describe how the lists were developed including the energy audit on which the lists are based. If different than the audit being submitted, describe how the audit on which the GHW list is based complies with §440.21(h). Provide documentation

of a representative number of site-specific energy audits showing how these materials, in the circumstances and the amounts, were determined.

Under #18 above, describe how the representative sample of typical dwelling units was determined for the GHW list. See #18 for the discussion of representative samples.

Submittal: General Heat Waste measures will be required to have an SIR greater than or equal to one prior to installation on unit.

131. Approval Criterion: Energy audit procedures must comply with §440.21(b),(d),(e), and (h).

Submittal Requirement: In addition to the items listed below, the submittal package must include the energy audit procedures. This could include: a copy of the auditors' manual, a description of how energy audits are conducted and how different audit findings affect the auditor's actions and recommendations; and/or the detailed instructions for the data collections forms.

Submittal: The instruction manuals provided by DOE for use of NEAT and MHEA will be used.

132. Approval Criterion: DOE-funded weatherization materials/measures considered by audit must be included in Appendix A.

Submittal Requirement: The submittal package must include a list of all the weatherization materials/measures that the audit considers. Those weatherization materials/measures to be funded with DOE-ARRA monies should be noted. The submittal package must also include a statement that the requirements of Appendix A will be followed.

Submittal: Material costs will depend on solicited cost in each area. The subgrantee actual costs will be verified during monitoring visits by comparing contracts, invoices, and other cost data to NEAT and MHEA program files. General Heat Waste materials used will be coupled with Blower Door testing to determine the point at which the measures are not cost effective. All materials will conform to standards that apply from Appendix A.

133. Approval Criterion: The energy savings calculations must take into account local heating or cooling degree days. Alternatively, the audit algorithms may use bin or hourly weather data in its energy savings calculations.

Submittal Requirement: The narrative portion of the submittal package should state the type of weather data used, the published source of the weather data, the geographic locations for which the weather data will be used, and how the energy savings calculations use the weather data.

Submittal: The subgrantees will use the weather data from the NEAT and MHEA file most appropriate for local conditions, e.g., Little Rock, AR; Fort Smith, AR; Joplin, MO; Springfield, MO; Memphis, TN; Jackson, MS; Shreveport, LA.

134. Approval Criterion: The audit must use reasonable methods and assumptions.

Submittal Requirement: The narrative portion of the submittal package must describe the energy savings calculation algorithms (methods) and assumptions. Assumptions include a range of variables such as treatment of buffered envelope surfaces, treatment of solar insulation, wind, humidity, CD factor, if applicable, etc. It does not include default values which can be changed by the auditor.

Submittal: NEAT and MHEA are the energy audits used. The energy savings methods and assumptions are contained in the audits.

135. Approval Criterion: The audit must use reasonable methods and assumptions (approval criteria #4 is intentionally repeated here as #5 to specify an additional submittal requirement).

Submittal Requirement: In addition to the narrative description of the energy savings calculation methods and assumptions required by approval criterion #4, the submittal package should also include the input data, assumptions, and audit results (recommended measures) for two sample dwelling units typical of those weatherized by grantee's program.

Submittal: Audit results of two sample dwelling units of frame houses and audit results of two sample dwelling units of mobile homes have been previously submitted.

136. Approval Criterion: The figures used for the lifetime of the materials and for the costs of materials and installation must be generally accepted in the relevant trade.

Submittal Requirement: Include the figures used for the lifetime of the materials and for the costs of materials and installation. State the sources of this information and how the values compare with current actual costs and lifetime values presently used.

Submittal: The number of years used for the lifetime of the materials to be considered by NEAT and MHEA is included in the software approved by the Department of Energy and will not be changed by Arkansas.

137. Approval Criterion: The energy audit procedures must consider the rate of energy use.

Submittal Requirement: Describe how the energy audit procedures consider the rate of energy use. The energy audit procedures must consider energy efficiency as well as total energy savings. For example, replacing an existing space heater, currently heating one room, with a more energy efficient space heater, capable of heating several rooms, may not save any energy. However, the occupants would gain the use of more of their dwelling

unit. If not handled as a health and safety measure, this measure would have to be cost justified by the audit. The only way to cost justify this measure would be to impute energy savings by calculating the amount of energy the inefficient space heater would have used to heat the several rooms now heated by the efficient space heater, and subtracting the estimated energy use of the new efficient space heater.

Other examples include instances where the occupant cannot afford to heat the dwelling to an adequate temperature or operate the furnace at all. Installing insulation and tuning up the furnace may now make the use of the furnace affordable. However, energy use is increased, not decreased. Again, if not handled as a health and safety measure, energy savings would have to be imputed to cost justify the insulation and/or the furnace tune-up through the audit. While not mandatory within the audit software, if used, the overall energy audit procedures must consider these types of circumstances.

Submittal: Arkansas will use all shell and equipment measures listed in the SETUP option of NEAT and MHEA. Emphasis on correct material and labor costs will ensure the SIR ranking is valid and can be applied until funds available for the dwelling are exhausted or the SIR becomes too small. Space heaters are justified as a health and safety measure. Heating system replacement will be a minimum of 85% Energy Efficiency Rating. The standard to replace constant burning pilot with electric ignition device on gas-fueled furnaces or boiler will conform to standards listed in Appendix A. All insulation will be installed at R-Values recommended by NEAT and MHEA.

138. Approval Criterion: Where cooling needs are significant, the energy audit must consider cooling measures.

Submittal Requirement: In States where cooling needs are significant, the list of weatherization materials/measures considered by the audit should include cooling measures. The narrative portion of the submittal package should describe how the energy audit considers cooling measures, including the algorithms and assumptions used. Internal gains, latent loads, and solar incidence must be considered.

DOE considers States with over 2,000 cooling degree days per year (65°F base) to have significant cooling needs and expect their audits to consider cooling measures. States with between 1,300 and 2,000 cooling degree days, whose audits do not consider cooling measures, must provide an adequate explanation why cooling measures are not considered.

Submittal: The only cooling measures installed will be those recommended by NEAT and MHEA. The standard for air conditioner replacement is an SEER 11. Materials for cooling measures will conform to standards listed in Appendix A.

139. Approval Criterion: The energy audit procedures must make provision for use of advanced diagnostic and assessment techniques which DOE has determined are consistent with sound engineering practices.

Submittal Requirement: Describe the advanced diagnostic and assessment techniques that can be used as part of the energy audit. Such techniques may include blower doors, infrared cameras or detectors, various furnace testing procedures, health and safety testing, psychrometers, duct-leakage testing, bypass testing, etc. Describe how the results of this diagnostic work would be used and how the energy audit would consider the results of these techniques.

Submittal: An audit will be conducted on each house, as opposed to a priority list. Likewise, a blower test will be conducted on each house. The default contained in the audit will not be used except under circumstances where the house is in such state of repair that an initial blower test cannot be conducted. Diagnostic equipment will be used to determine carbon monoxide levels on houses containing gas appliances before and after weatherization. Health and safety hazard costs will be keyed into the audits and will not be considered in the SIR. However, health and safety costs will be included in the maximum averages allowed by the Department of Energy.

140. Approval Criterion: The energy audit procedures must determine energy use from actual energy bills or by generally accepted engineering calculations.

Submittal Requirement: Describe how the energy audit determines energy use and how this value is verified.

Submittal: Fuel costs that will be used will be determined by each subgrantee by conducting yearly averages.

141. Approval Criterion: The energy audit procedures must determine that each weatherization material is cost-effective by ensuring that the discounted savings-to-investment ratio (SIR) is greater than or equal to one. The denominator in the SIR equation must include the costs of material, labor, and on-site supervisory personnel (§440.18(c)(1),(2), and (7)).

Submittal Requirement: Show the SIR equation used by the audit and describe how future fuel cost savings are discounted to present value. If the State elects not to use the discount rate provided by DOE, show the discount rate to be used and its published source. Describe how fuel cost escalation is treated and show these factors, or refer to their source. (The discount and fuel cost escalation rates may be given here or under #16.) Show the costs included in the denominator of the SIR equation.

Submittal: The state assures that the discounted savings-to investment ratio will be greater or equal to one by using the discounted rate provided by DOE. Local subgrantees determine fuel cost escalation by contacting the local fuel supplier. State monitors verify this during their routine monitoring visits.

142. Approval Criterion: The energy audit procedures must assign priorities among weatherization materials in descending order of SIR and must account for interaction between architectural and mechanical measures. After adjusting the estimated fuel cost savings for interaction between measures, the energy audit procedures must eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal Requirement: Describe how the energy audit accounts for the interaction between architectural and mechanical measures. Describe how, when moving from an architectural to a mechanical measure (or vice versa), the energy audit procedures adjust the estimated fuel cost savings of measures with lower non-interacted SIRs. Show that the energy audit procedures eliminate any measure whose interaction-adjusted SIR is less than one.

Submittal: NEAT and MHEA approved energy audits eliminate measures with less than an SIR of one and provide for the interaction between architectural and mechanical measures.

143. **Approval Criterion:** The energy audit procedures must ensure that the overall SIR for the entire package of measures is greater than or equal to one. In calculating the overall SIR, the energy audit procedures must add the cost of incidental repairs (§440.18(c)(9)) to the costs of materials, labor, and on-site supervisory personnel in the denominator.

Submittal Requirement: Show the equation for the overall SIR used by the audit and describe how the energy audit ensures that the overall SIR is greater than or equal to one. List the costs included in the denominator of the overall SIR equation.

Submittal: The DOE approved audits provide for the inclusion of incidental repairs (including material, labor, and on-site supervisory personnel) in the overall SIR to assure that the overall SIR is greater to or equal to one.

144. **Approval Criterion:** The energy audit procedures must identify health and safety hazards to be abated with DOE funds in compliance with the State's DOE-approved health and safety procedures under §440.16(h).

Submittal Requirement: Describe how the energy audit procedures identify health and safety hazards to be abated with DOE funds and how the material and labor costs of health and safety abatement are determined on each home.

Submittal: Health and safety hazards to be abated are contained in the health and safety plan that is included in the state plan that is approved by DOE.

145. **Approval Criterion:** The energy audit procedures must treat the dwelling unit as a whole system by:

- a) Examining its heating and cooling system;
- b) Examining its air exchange system;
- c) Examining its occupants' living habits and needs; and
- d) Making necessary adjustments to the priority of weatherization materials in response to these examinations.

Submittal Requirement: Describe how the energy audit procedures treat the dwelling unit as a whole system. Specifically, describe how the energy audit procedures examine the heating and cooling system, the air exchange system, and occupants' living habits and needs. Explain how the audit procedures make necessary adjustments to the priority of weatherization materials in response to these examinations and how these adjustments are documented.

Submittal: The energy efficiency rating of the heating system and the SEER of the cooling system is considered in calculation of the SIR. The air exchange system is determined by use of the blower door before and after weatherization. Carbon monoxide levels are determined by use of a detector. Occupant's living habits and needs are determined for use in installing digital thermostats. All of these factors are documented in the client file.

146. Approval Criterion: The energy audit must provide for use of an annually adjusted discount rate.

Submittal Requirement: If not specified under #11, state the discount and fuel cost escalation rates to be used and their published source (if the DOE-provided discount rate is not used).

Submittal: DOE provided discount rate is used, as stated in #11.

147. Approval Criterion: Priority lists, if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program. Priority lists must be revalidated by conducting a representative sample of site-specific energy audits every 5 years.

Submittal Requirement: Provide any priority lists to be used and explain how the priority lists were developed. State the energy audit on which the priority lists are based and how it complies with §440.21(H), if different than the audit being submitted. If seeking approval just for a revalidated priority list(s), give the name of waiver audit and when it was approved. Describe the circumstances that will require a site-specific audit rather than the use of the priority lists and the audit to be used in such circumstances (in compliance with §440.12(h)).

Submittal: Priority lists are not used.

148. Approval Criterion: Priority lists (and lists of general heat waste measures), if used, must be developed by conducting site-specific energy audits (that comply with the requirements in §440.21(h)) of a representative sample of typical dwelling units for each major dwelling type covered by the State's weatherization program (approval criteria #17 is intentionally repeated here as #18 to specify an additional submittal requirement).

Submittal Requirement: Describe how the representative sample of typical dwelling units for each major dwelling type was determined. Some States have indicated that fuel type and construction factors (assemblies) predict energy use (and weatherization energy

savings) better than dwelling type. DOE will accept a representative sample determined on this basis, provided an adequate explanation is given to substantiate this method. Assuming the same representative sample was used for the priority lists and the GHW lists addressed in #19, only one discussion under #18 is required. If the samples for priority lists and GHW lists are different, a separate discussion of each is required, plus an explanation of why different samples were used.

Submittal: Priority lists are not used. General Heat Waste measures are required to have an SIR greater than or equal to one. Arkansas has only two typical dwelling units, the mobile home and the frame house. Two sample audits for each have been previously submitted.

149. Approval Criterion: Lists of presumptively cost-effective general heat waste (GHW) reduction weatherization materials are subject to DOE approval and must state the circumstance under which such materials may be presumed cost-effective. The list of GHW materials must be shown to be cost-effective in typical dwelling units for major dwelling units types in the State based on documentation of a representative number of site-specific energy audits (in compliance with §440.21(h)).

Submittal Requirement: Provide any lists of general heat waste reduction weatherization materials to be used and state the circumstance under which such materials are presumed to be cost-effective. Describe how the lists were developed including the energy audit on which the lists are based. If different than the audit being submitted, describe how the audit on which the GHW list is based complies with §440.21(h). Provide documentation of a representative number of site-specific energy audits showing how these materials, in the circumstances and the amounts, were determined.

Under #18 above, describe how the representative sample of typical dwelling units was determined for the GHW list. See #18 for the discussion of representative samples.

Submittal: General Heat Waste measures will be required to have an SIR greater than or equal to one prior to installation on unit.

PART II
MASTER FILE

ELIGIBLE POPULATION

ELIGIBLE POPULATION

STATE: ARKANSAS

REGULATION REFERENCE: 440.3 440.14(b)(xi)

DATE ADOPTED: _____

REVISED DATE: 04/01/09 Updated Annually

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT: “Low Income” in accordance with 440.3
440.14(b)(xi)

POLICY/PROCEDURE:

The eligible populations are those families at or below 200% of the poverty level, as updated annually.

Priority will be given to the elderly, disabled, and those families with children.

General Description

Low-Income means that income in relation to family, which: is at or below 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office Management and Budget, except that the Secretary may establish a higher level if the Secretary, after consulting with the Secretary of Agriculture and the Secretary of Health and Human Services, determines that such a higher level is necessary to carry out the purposes of this part and is consistent with eligibility criteria established for the Weatherization Program under section 222 (a) (12) of the EOA of 1964.

Documentation of client income is kept in the client file.

Children means dependents not exceeding 19 years.

An estimate of the number of eligible dwelling units in which the elderly reside. There is an estimated 62,965 eligible dwelling units in which the elderly reside.

An estimate of the number of eligible dwelling units in which the handicapped reside.

There was no information in the census report that provided an estimate of the number of eligible dwelling units in which the handicapped reside. The Division of Rehabilitation Services stated that 16.8% of all dwelling units in the State are occupied by the handicapped. We can, therefore, assume that 16.8% of all eligible dwelling units are occupied by the handicapped.

The extent to which priority will be given to the weatherization of single family or other high energy consuming dwelling units.

The DOE Point System will be used to prioritize applications from the elderly and handicapped low income persons. Priority is given to the elderly and handicapped who live in single dwellings or other high energy consuming units. Children have been added to the priority system.

There are no Indian Tribes in Arkansas.

Selection of Area to be Served

An explanation of the method used to select each area to be served by a weatherization project.

The Office of Community Services implements the Weatherization Program through 15 subgrantees. All seventy-five counties in the State are served by a Weatherization project.

Priorities

The DOE Point System gives priority to the elderly and persons with disabilities.

STATE: Arkansas

REGULATION REFERENCE: 440.14(b)(iii)

DATE ADOPTED: 04/01/96

REVISED DATE: 04/01/09

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT: Attach Priority Criteria
440.14 (b)(9)(iii)

POLICY/PROCEDURE:

DOE POINT SYSTEM GUIDELINES

<u>Age</u>	<u>Points</u>
Under 55 -----	1
55 - 60 -----	2
61 - 65 -----	3
66 - 70 -----	4
71 - 75 -----	5
76 - 80 -----	6
80 and up -----	7

INCOME

(See DOE Eligibility Requirements). Subtract the total household income from the appropriate category. The figure obtained should fit into one of the following categories:

0 - 100 -----	1
101 - 250 -----	2
251 - 350 -----	3
351 - 450 -----	4
451 - 550 -----	5
551 - 650 -----	6
651 and up -----	7

SSI-AFDC ELIGIBILITY ADJUSTMENT

Households in which an SSI or AFDC recipient resides are eligible for weatherization assistance regardless of total household income. Households above the 200% low-income criteria level shall be prioritized based on the amount of annual household income above 200% low-income criteria.

Amount of annual income above
200% low-income criteria

0 - 500 -----	-3
501 - 1000 -----	-6
1001 - 1500 -----	-9
1501 + -----	-15

TYPE OF FUEL USED

Bottled Gas -----	5
Electricity -----	6
Wood -----	4
Natural Gas -----	2

DISABLED

A household at which a disabled person
 resides will be awarded five (5) points. ----- 5

CHILDREN

A household at which a child, as defined by
 DOE Regulations 10 CFR, Part 440.3, resides
 will be awarded five (5) points. ----- 5

LENGTH OF TIME WAITED

First 6 months, no points
 After 6 months, 1 point - 1 month

CONDITION OF HOMES

Emergency -----	12
Substandard -----	6
Standard -----	1

CLIMATIC CONDITIONS

Climatic Conditions

Heating and Cooling Degree Days was obtained from the Arkansas Energy Office. The Department of Energy provided energy audit for single family frame and mobile homes is used. The weather data provided by DOE is used in these audits.

HEATING AND COOLING DEGREE DAYS

County	Reporting Station	Normal 30 Year Heating Degree Day	Normal 30 Year Cooling Degree Day	Heating & Cooling Degree Days	$0.5 \times \frac{(L_{DD} - S_{minDD})}{(S_{maxDD} - S_{minDD})} \times x_o$
Arkansas	St. Charles	3061	2025	5086	23.98
Ashley	Crossett	2488	2118	4606	00.00
Baxter	Mtn. Home	3852	1551	5403	39.81
Benton	Gravette	4034	1471	5505	44.90
Boone	Harrison	3884	1447	5331	36.21
Bradley	Warren	2577	2231	4808	10.09
Calhoun	*None	2639	2203	4842	11.79
Carroll	Eureka Springs	3787	1528	5315	35.41
Chicot	*None	2601	2156	4657	2.53
Clark	Arkadelphia	2838	2070	4908	15.08
Clay	Corning	3678	1773	5451	42.21
Cleburne	*None	3467	1768	5235	31.42
Cleveland	*None	2627	2190	4817	10.04
Columbia	Magnolia	2468	2179	4647	2.05
Conway	Morrilton	3131	2004	5135	26.42
Craighead	Jonesboro	3352	1938	5290	34.16
Crawford	*None	3587	1754	5341	36.71
Crittenden	*None	3337	1869	5206	29.97
Cross	*None	3354	1875	5229	31.12
Dallas	Fordyce	2627	2190	4817	10.54
Desha	Dumas	2713	2194	4907	15.03
Drew	Monticello	2694	2075	4749	7.14
Faulkner	Conway	3049	1985	5034	21.38
Franklin	Ozark	3199	1962	5161	27.72
Fulton	Mammoth Spring	3959	1512	5471	43.20
Garland	Hot Springs	2729	2205	4934	16.38
Grant	Sheridan	2968	1936	4904	14.88
Greene	Paragould	3538	1945	5483	43.80
Hempstead	Hope	2928	2011	4939	16.63
Hot Spring	*None	2954	1906	4860	12.68
Howard	Nashville	3025	1940	4965	17.93
Independence	Batesville	3780	1594	5374	38.36
Izard	*None	3816	1572	5388	39.06
Jackson	Newport	3242	1952	5194	29.52
Jefferson	Pine Bluff	2800	2314	5114	25.37
Johnson	*None	3281	1875	5156	27.47
Lafayette	*None	2564	2095	4659	2.64
Lawrence	*None	3507	1833	5340	36.66
Lee	Marianna	3165	1893	5058	22.57
Lincoln	*None	2757	2194	4951	17.23

Little River	*None	2782	2015	4797	9.54
Logan	Subiaco	3118	2005	5123	25.82
Lonoke	*None	3250	1934	5184	28.87
Madison	*None	3862	1745	5607	50.00
Marion	*None	3868	1508	5376	
Miller	*None	2659	2042	4701	4.74
Mississippi	Blytheville	3386	1982	5368	38.06
Monroe	Brinkley	3200	1922	5122	25.77
Montgomery	Mt. Ida	3328	1696	5024	20.88
Nevada	Prescott	2749	2251	5000	19.68
Newton	*None	3877	1662	5539	46.60
Ouachita	Camden	2707	2187	4894	14.38
Perry	Perry	3137	1866	5003	19.82
Phillips	Helena	3037	2036	5073	23.32
Pike	*None	3177	1854	5031	21.23
Poinsett	Marked Tree	3508	1844	5352	37.26
Polk	Mena	3105	1777	4885	13.93
Pope	Russellville	3163	1966	5129	26.12
Prairie	Des Arc	3147	2038	5185	28.92
Pulaski	Little Rock	3354	1925	5279	33.61
Randolph	Pocahontas	3662	1715	5377	38.51
St. Francis	*None	3144	1915	5059	22.62
Saline	Benton	3281	1743	5124	20.88
Scott	Waldron	3166	1882	5048	22.08
Searcy	Gilbert	3914	1466	5380	38.66
Sebastian	Ft. Smith	3336	2022	5358	37.56
Sevier	DeQueen	2855	1988	4843	11.84
Sharp	*None	3800	1533	5333	36.31
Stone	*None	3847	1685	5532	46.25
Union	El Dorado	2645	2204	4849	12.14
Van Buren	*None	3523	1722	5245	31.92
Washington	Fayetteville	3839	1487	5326	35.96
White	Searcy	3154	1942	5096	24.47
Woodruff	*None	3221	1937	5158	27.57
Yell	Dardanelle	3128	2039	5167	28.02

State of Arkansas		3214	1892	5106	24.97
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*Averages determined by the Arkansas Energy Office

WEATHERIZATION

WORK

STATE: ARKANSAS

REGULATION REFERENCE: 440.3 440.14(b)(xi)

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT: Procedures for determining the most cost-effective measures in a dwelling unit or a statement that project Retro-Tech will be used.

POLICY/PROCEDURE:

Type of Work to be Done

The National Energy Audit is used and the mobile home audit will be used to determine measures. Most common are attic and wall insulation, air infiltration measures, and smart thermostat.

Energy Audit Procedures

The type of weatherization work to be done.

The following is a list of mandatory retrofits that must be in place or accounted for on all single family units before a unit can be reported as completed:

1. NEAT measures of an SIR of 1 or greater on all single family frame units.
2. The DOE approved mobile home audit is being used to determine retrofits on all mobile homes.
3. Health and safety measures required before weatherization or as a result of weatherization.

The above lists of mandatory retrofits are in effect as of April 1, 2009. The maximum average allowed by DOE will be used.

The state is requiring use of the blower door on all units. A waiver on the use of the blower door for an individual unit may be obtained upon submission of written justification and approval from the Assistant Director of the Office of Community Services.

HEALTH AND SAFETY

**HEALTH AND SAFETY CHECKLIST
REVIEW AND CHECKLIST**

Appliances	CO- Reading		Corrective Action
Living Area (Ambient Air)			
Space Heater #1			
Space Heater #2			
Space Heater #3			
Furnace			
Water Heater			
Kitchen Range/Oven			
Burner #1			
Burner #2			
Burner #3			
Burner #4			
Fireplace/Stove			
Other			

CARBON MONOXIDE ACTION LEVELS

Living Area (Ambient Air) **09 PPM**

Un-vented Space Heaters 25 PPM

Top Burners on Cook Stove 25 PPM

Cooking Ovens 50 PPM

Gas Appliances, in Flue **100 PPM**

Checked for GAS LEAKS

Pre weatherization YES NO Post weatherization YES NO

Evaluate duct sealing on NEAT YES NO

Blower Door Diagnostics:

Initial House Fan
 Test _____ Pressure _____ Pressure _____ CFM _____

Sealed ducts House Fan
 Test _____ Pressure _____ Pressure _____ CFM _____

Final House Fan
 Test _____ Pressure _____ Pressure _____ CFM _____

 Agency Representative Signature

 Date

SECTION I - HEALTH AND SAFETY

PREAMBLE

Recognizing that flexible expenditure authority requires sophisticated diagnostic and application techniques, the Health and Safety Plan is divided into "Policy" and "Procedures" sections. The policy section gives the general management philosophy while the procedures, published in the "Weatherization Installation Standards Manual," provides detailed guidance regarding inspection and testing in addition to safety considerations and requirements.

PURPOSE

To establish the plan under which health and safety concerns are addressed in the Weatherization Assistance Program.

GOAL

To ensure energy savings are the result of ARRA Weatherization Assistance Program actions while promoting a healthy and safe environment for clients and WAP workers and contractors.

SCOPE

The Health and Safety Plan is applicable to all ARRA-WAP actions and operates in conjunction with the Space Heater Policy.

DEFINITIONS

Health and Safety Measures: Measures necessary to eliminate hazards which result from Weatherization measures, cause damage to Weatherization materials, or are necessary to repair damage to a dwelling caused by Weatherization activities.

General Heat Waste Measures: Measures which reduce or regulate air infiltration.

Weatherization Measures: Shell and equipment measures determined to be cost effective ($SIR > 1$) and listed on page 47 of the NEAT Audit Manual and in the SETUP option of the NEAT software program.

Incidental Repairs: Repairs necessary for the effective performance or preservation of weatherization materials.

Weatherization Materials: Those materials listed in Appendix A of the DOE Weatherization Assistance Program for Low Income Persons Final Rule, 10 CFR Part 440. Materials for incidental repairs do not have to be listed in Appendix A but should be at least equal to the industry standard practices.

EXPENDITURE LIMITS AND REPORTING

Health and Safety Measures: Costs may not exceed 20 percent of the average per dwelling unit cost limitation of \$6,500 adjusted average for the grant program. These measures and associated costs must be recorded as entries under "Other" on page 4 of the BCJOS. Health and Safety costs are not included in the calculation of the SIR, are included in the "Total Actual Cost" of the dwelling, and will be reported as "Health and Safety Costs" on the Monthly Progress Report. Subgrantees will not be reimbursed for costs which exceed the 10 percent budgeted line items (except for materials, on items A – F) of the weatherization budget.

Weatherization Measure Costs: These costs may not exceed the average per dwelling unit cost limitation of \$6,500 adjusted average. The Weatherization measures and associated costs will be recorded in the BCJOS, included in the "Total Actual Cost" of the dwelling, and reported separately in the Monthly Progress Report.

Incidental Repairs: These repairs and associated costs will be recorded on page 3 of the BCJOS under "Additional Necessary Repairs", included in the SIR calculations, included in the "Total Actual Cost" of the dwelling, and reported in the Monthly Progress Report.

HEALTH AND SAFETY POLICY

The two most common health and safety concerns are carbon monoxide resulting from the incomplete combustion in household appliances and excess moisture conditions. Detailed inspection and test procedures are found in the Installation Standards Manual. However, the following guidelines should be followed on each unit weatherized. If the unit has an ambient air reading that exceeds the acceptable level of 9, the agency is instructed to find out what gas appliance is causing the high CO and correct it. This could mean a simple cleaning of a stove or space heater or the replacement of the defective appliance. If the agency is unsure of how to proceed, they are advised to seek guidance from the Office of Community Services.

If the unit has a gas appliance that exceeds the acceptable level for CO, the agency must address the appliance by cleaning or replacing as needed.

All units weatherized must have a carbon monoxide detector installed. The CO detectors should be installed in all areas containing a gas appliance.

All weatherization clients should receive client education information about CO and the dangers associated with it. The clients should be made aware of how the CO detector works and what to do should the unit begin to "beep". The Client Education Checklist should be documented to reflect that the client has been informed about carbon monoxide and the dangers associated with it. The client must sign this form indicating that they have been made aware of the dangers.

If the unit contains a space heater or the agency installs a new infrared space heater, the client must be advised that the manufacturer recommends that a window be left open at least 2 inches to allow any CO emitted from the appliance to dissipate. The Client Education Checklist must be documented to reflect that the client received these instructions.

Agencies are advised that state policy requires that if a unit has CO readings that are above acceptable levels, the agency should advise the client of the dangers and ask that the problem be corrected prior to any weatherization taking place. If the client cannot correct the problem and the agency is unable to address the problem and stay in compliance with the average cost per unit, the unit must be considered a Walk-A-Way and the application denied. The client must be sent a letter advising them of the reason for the denial of their application.

Agencies are advised that the CO Monoxide Detector must be used correctly and requires maintenance. The CO Detector has an inlet sensor) that must be clear at all times in order to get an accurate reading. Before each reading is taken, the CO Detector must be adjusted using the instrument provided by the manufacturer so that a zero is reflected in the display window. When using the probe to check appliances, the probe should not be inserted into a flame or allowed to touch the heat producing element.

The manufacturer should calibrate the CO Detector at regular intervals. This will require the unit to be sent to the nearest Bacharach Service Center. As a quick check to see if the instrument is functioning, the agency is advised to perform a response check by exposing the instrument to a source of CO (e.g., cigarette smoke, smoke from a recently snuffed-out match, bottled CO). If the instrument does not show the presence of CO, or if the reading is obviously in error, do not use the instrument until it has been serviced by an authorized Bacharach Service Center.

Agencies are advised that if unsure of how to proceed, to contact the Office of Community Services. Under no circumstances should a unit be weatherized and the above guidelines not be followed. If a unit is weatherized and the above procedures are not followed, the agency will be required to reimburse the Weatherization Assistance Program in non-federal dollars for the cost of weatherizing this unit.

The Space Heater Policy, which remains in effect, also complements the Health and Safety Policy with respect to elevated carbon monoxide levels and excess moisture problems.

Other potential hazards such as radon gas, contamination from deteriorating lead based paint, friable asbestos, biologicals, volatile organic compounds, and existing health problems must be considered during the "in-take" interviews and initial dwelling inspection. If these problems are found, they must be resolved by the owner and other appropriate state and federal agencies.

Individual worker safety is paramount. Compliance with OSHA regulations coupled with common-sense work practices are the basis of personal protection. Detailed inspection, testing, and safety procedures are published as part of the Installation Standards Manual.

To implement the Health and Safety Plan, the Office of Community Services will assist subgrantees in purchasing the equipment necessary for problem identification and provide the necessary training for the use and maintenance of the equipment. Individual protective and test equipment purchased by subgrantees is to be charged to the "Health and Safety" budget category. Proper accountability will be maintained by the subgrantees.

ACCEPTABLE HEALTH AND SAFETY MEASURES

The cost of remediation of any health and safety problem or hazard will vary greatly. Any measure listed below will have to be judged on the actual cost before the final decision can be made to install the measure. The measures shown are examples of acceptable measures for general guidance and **not** an exhaustive list. Reasonable activities under the definition of health and safety measures should be undertaken if they can be done under the financial limitations of the program or be paid for with leveraged funds.

Typical measures include:

- Cleaning, tuning, and testing of gas or oil combustion appliances including gas cook stoves.

- Venting of unvented water and space heaters.

- Installation of required heating system safety equipment, including safety controls required by building codes.

- Minor repairs or cleaning of heating system venting devices, including chimneys and flues.

- Installation of ventilation equipment to assure adequate ventilation and moisture control.

- Installation of moisture retarders in basements and crawlspaces to prevent the flow of moisture into the structure. Low cost measures installed to prevent bulk moisture from entering or remaining in the building.

- Minor repairs to electrical wiring that will allow the installation of weatherization materials or the installation of properly sized fuses to prevent wiring overloads.

WALKAWAY STANDARDS

The decision to walkaway from a dwelling is difficult to make but, in some cases, the problems are beyond the scope of the Weatherization Assistance Program. Walkaway does not imply that the case is closed but that weatherization work must be postponed until the problems can be resolved. In all cases, proper procedures must be followed and the decision process well documented. Subgrantees must develop a standard "WALKAWAY" form. It must include the client's name and address; dates of the audit and when the client was informed; a clear description of the problem or problems; conditions under which weatherization can continue; a clearly defined course of action showing the responsibilities of all parties involved; the client's signature indicating that they understand and that they have been informed of their rights and options.

Walkaway conditions include but are not limited to:

Elevated Carbon monoxide levels (see Installation Standards Manual for testing techniques and CO level limits).

Problems with heating system vents, including chimneys, that permit gases to leak into the dwelling or are in imminent danger of causing a fire.

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

A house that is "too tight" and the ventilation needs cannot be installed under the health and safety expenditure limits.

A house with sewage or other sanitary problems that not only endanger the clients but the workers who will perform the weatherization work.

The client's health conditions are so fragile that the effects on the indoor environment will cause distress to the client.

A house that has existing asbestos siding that will be disturbed if weatherization takes place.

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

A house that contains **mold and mildew** problems to the extent that weatherization of the house would disturb the mold and mildew and endanger the health of the clients and the workers.

Requirements for Houses with Mold and Mildew

The use of DOE funds for the removal of mold and other related biological substances is not an allowable weatherization expense. The checklist that subgrantees use to inspect houses has been amended to include mold and mildew. If a mold condition is discovered during the initial inspection of the home by the energy auditor that cannot be adequately addressed by the weatherization crew, then the unit should be referred to the appropriate public and non-profit agency for remediation. Notification shall be provided to the client that informs the client what specifically was done to the home that is expected to alleviate the condition and/or that the work performed should not promote new growth. This notification shall be discussed with and signed by the client and/or landlord. A training plan has been included in the Health and Safety Plan.

"NOTIFICATION REQUIREMENTS FOR LEAD HAZARD EDUCATION BEFORE RENOVATION. For **immediate** implementation - all Low-Income Weatherization Assistance Program activities doing renovation work in pre-1978 housing are subject to the provision of a Federal regulation that requires them to give a notification to the occupants of the housing about the potential hazards of lead paint and lead paint dust. This notification applies to all entities who do renovation work the law requires that individuals receive certain information before renovating six square feet or more of painted surfaces in a room for interior projects or more

than twenty square feet of painted surfaces for exterior projects in housing, child care facilities and schools built before 1978.

Renovators may mail a copy of the EPA booklet “Renovate Right – Important Lead Hazard Information for Families, Child Care Providers and Schools” at least seven days prior to start of work. There are several specific exclusions like emergency repairs. Also, there is a record keeping requirement.

EPA has a lead homepage that is a part of the EPA website where there is useful information about this notification requirement and other information. The website is located at www.epa.gov/pubs/leadinfo/htm or by calling 1-800-242-5323. States and local agencies will have to bear the cost of copying the booklet. States and local agencies needing the booklet for upcoming weatherization work may download the booklet from the web site and reproduce it locally.

Please remember – under this regulation local agencies who do not give proper notification could incur hefty fines if found doing renovation work in pre-1978 housing stock where more than six or more of painted surfaces in a room for interior projects or more than twenty square feet of painted surfaces for exterior projects in housing built before 1978.

To meet the LSW minimum standards, staff, crews, or contractors must follow the general principles of working in a lead-safe manner. Procedures include these safety precautions: Wear personal protective gear specifically suited for the particular LSW measure. Use the National Institute for Occupational Safety approved respirators with HEPA filters, use disposable overalls, gloves, goggles, and disposable shoe/boot covers. Keep dust to a minimum and properly contain dust and paint chips to the work area, clean up area during and after work.

All agencies should aggressively pursue alternative funding to reduce the occurrences of walk-a-ways. It is considered to be a minimum requirement to establish an open line of communication with as many other funding sources so that the leveraging or referral process will be as efficient as possible. The following is a list of potential funding sources.

- HUD - HOME program
- CSBG/CDBG
- Rural Economic Community Development
- State Programs
- Local Utilities
- Cities
- Landlords
- Local Churches or Community Groups
- Local Businesses
- Non Profits
- Home Builders Association

SPACE HEATER

APPLICABILITY

This policy applies to natural gas (NG) and Liquid Propane Gas (LPG) fueled space heaters only. This policy applies to NG and LPG fueled space heaters whether the appliance is the primary or secondary heat source.

INCIDENTAL REPAIRS

Incidental repairs under the Weatherization Assistance Program are not affected by the policy contained herein. Agencies may continue making incidental repairs necessary to allow weatherization work to proceed safely.

SPACE HEATER POLICY

The space heater replacement or repair procedure includes inspection to ensure that a working smoke detector is installed on the same floor as the space heater. In instances where a smoke detector is not present or is not operating properly, one may be purchased and installed with Weatherization Assistance Program funds. The cost of the purchase and installation of the smoke detector is a material cost.

Client education, including information on the proper operation of the equipment, shall be provided. Checks shall be made to insure that auxiliary considerations, such as electrical wiring or chimneys, are in good condition; and, that no obvious building code violations or other safety hazards related to the space heater are evident. Installation of space heaters requires knowledge of appropriate industry standards and adherence to all aspects of the applicable building code(s) in the municipality where installation is taking place. Building permits shall be secured, where required, (this is a materials cost as well). All space heaters will be installed to comply with all state and local codes and licensing requirements. The provided Client Education checklist must be reviewed with each client and placed in the client file. The Space Heater Replacement or Repair Final Inspection Sheet shall be completed and placed in the client file.

DEFECTIVE VENTED HEATERS

In cases where weatherization work takes place on homes with Defective Vented Space Heaters, local agencies shall determine if a replacement vented heater can be installed or consider not weatherizing the house with measures that decrease air infiltration. In cases where replacement is indicated, agencies shall carefully analyze existing conditions to best determine whether to require replacement with the same fuel type. The decision to change fuel types shall be on a limited, case-by-case basis.

UNVENTED HEATERS

In cases where weatherization work takes place on homes with defective unvented space heaters as primary sources, local agencies shall determine if a replacement infrared space heater can be installed to carry the major heating load. In cases where replacement is indicated, agencies shall carefully analyze existing conditions to best determine whether to require replacement with the same fuel items. The decision to change fuel types will be on a limited case-by-case basis.

ELECTRIC SPACE HEATERS

DOE funds cannot be used to work on electric space heaters. This is because of the high cost of electricity as compared to fossil fuels; the lower output ratings (size); the risk of fire hazards--especially in older homes; and, the inadequate electrical systems in older homes frequently cannot safely carry the power required to operate an electric heater. Work on such systems may make local agencies liable for inadequate electric wiring and damages that may result.

GAS SPACE HEATERS

Replacement of gas space heaters should occur only when the existing ones are in poor mechanical condition or pose health and safety risks. Such replacement should be with a vented gas space heater, where proper ventilation exists. Replacement of a vented space heater must be with a vented space heater. Replacement of a non-vented space heater must be with a vented space heater.

KEROSENE SPACE HEATERS

Because of the potential for serious indoor air quality and moisture problems, the potential fire hazards and that the user must select the proper grade of kerosene, local agencies shall replace the unvented kerosene space heaters with a NG or LPG vented space heater, or not weatherize the house.

IMPLEMENTATION

Funds to address these items will be an allowable Weatherization Assistance Program cost; however, the maximum average amount permitted per dwelling unit will not be increased as a result of the space heater measures. The subgrantee must develop and follow inspection and safety procedures. Adequate liability insurance is required. In all cases, an education component for clients shall be included in the space heater work. Testing for indoor air quality, especially carbon monoxide levels in all homes with vented or unvented space heaters, shall be performed.

HEATER REPLACEMENT CRITERIA

Any defective vented or unvented space heater:

- Bad burners
- Cross fueled (natural gas heater or LPG)
- Missing radiants
- Open faced
- Exceeds 25 PPM reading of Carbon Monoxide

DEFECTIVE HEATER DISPOSAL

All defective space heaters removed from client's home shall become the property of the agency and must be made inoperable beyond repair and disposed of by the agency.

ELIGIBILITY

Any client, homeowner or renter, who is eligible for assistance under the U. S. Department of Energy, ARRA Weatherization Assistance Program guidelines are eligible for space heater services. If the client is a renter, the client must sign a certification that the space heater will remain with the house if the client moves; furthermore, the landlord must certify that the house will continue to be rented to a renter who is eligible for the Low-Income Weatherization Assistance Program for a minimum of three years.

SMOKE DETECTORS

- All dwellings, where the heating system is repaired or replaced must have smoke detectors installed before the completion of the work.
- Smoke detectors shall be installed outside of each separate sleeping area in the immediate vicinity of the bedrooms and on each additional story of the dwelling.
- All detectors shall be connected to a sounding device or other detectors to provide, when activated, an alarm which will be audible in all sleeping areas.

- All detectors shall be approved and listed and shall be installed in accordance with the manufacturer's instructions.
- Smoke detectors may be battery powered when installed in existing buildings, if allowed by local codes.

CARBON MONOXIDE DETECTORS

- All dwellings, where the heating system is repaired or replaced must have a carbon monoxide detector installed before the completion of the work.
- Install the detectors in all sleeping areas.
- Do not install detectors within 15 feet of fuel burning appliances and do not install them in potentially humid areas like the bathroom or laundry room.
- Carbon monoxide detectors should be mounted on the wall at eye level.

CLIENT EDUCATION CHECKLIST

ENERGY SAVING KIT

_____ I have received a client partnership energy saving kit. By accepting the kit, I agree to be a partner in the Weatherization efforts in my home, by installing the materials provided to me.

ENERGY SAVING TIPS

_____ I have been informed of the Energy Saving Tips provided by the Weatherization Program. I agree to use these tips when possible. I understand that by using these tips I can further decrease the amount of energy I use to heat or cool my home and save money.

SMOKE DETECTOR

_____ I have been instructed on how to test smoke detector, replace batteries, and what to do when chirping sound is heard.

CARBON MONOXIDE ALARM

_____ I have been instructed on how often to test carbon monoxide detector, replace batteries, and what to do when alarm is heard.

SPACE HEATER

_____ I have been instructed on how to operate and maintain appliance and given owner's manual instruction.

_____ I was advised that the manufacturer of space heaters, or other gas appliances, recommends that a window be left open at least 2 inches to allow any CO emitted from the appliance to dissipate.

SMART THERMOSTAT

_____ I have been instructed on how to operate thermostat, replace batteries (if necessary) and given owner's manual.

_____ I do not want the smart thermostat installed.

LIGHT BULBS

_____ I wish **not** to replace my existing light bulbs with CFL bulbs.

REFRIGERATOR

_____ I wish **not** to replace my existing refrigerator.

HEALTH AND SAFETY CHECKLIST

Combustion Appliance

Appliances	CO- Reading		Corrective Action
Living Area (Ambient Air)			
Space Heater #1			
Space Heater #2			
Space Heater #3			
Furnace			
Water Heater			
Kitchen Range/Oven			
Burner #1			
Burner #2			
Burner #3			
Burner #4			
Fireplace/Stove			
Other			

CARBON MONOXIDE ACTION LEVELS

	Living Area (Ambient Air)	09 PPM
Un-vented Space Heaters	25 PPM	
Top Burners on Cook Stove	25 PPM	
Cooking Ovens	50 PPM	
	Gas Appliances, in Flue	100 PPM

Checked for GAS LEAKS

Pre weatherization YES NO Post weatherization YES NO

Evaluate duct sealing on NEAT YES NO

Blower Door Diagnostics:

Initial House Fan
 Test _____ Pressure _____ Pressure _____ CFM _____

Sealed ducts House Fan
 Test _____ Pressure _____ Pressure _____ CFM _____

Final House Fan
 Test _____ Pressure _____ Pressure _____ CFM _____

 Agency Representative Signature

 Date

SUGGESTED PAMPHLETS FOR CLIENT EDUCATION

- _____ Your Home Fire Safety Checklist

- _____ What You Should Know About Space Heaters

- _____ What You Should Know About Combustion Appliances and Indoor Air Pollution

- _____ What You Should Know About Kerosene Heaters

- _____ Product Safety Fact Sheet - No. 9: Ranges and Ovens

- _____ Smoke Detector Pamphlet

**SPACE HEATER REPLACEMENT
SMOKE DETECTORS & CARBON MONOXIDE DETECTORS**

STANDARDS

VENTED GAS FIRED Room Heater	ANSI ¹ 221.11.1-1981
Smoke Detector	Commercially Available
Carbon Monoxide Detector	UL ² 2034-9

¹ANSI indicates American National Standards Institute

²UL indicates Underwriters Laboratories

WEATHERIZATION LEAD PAINT STANDARDS

PART 1: GENERAL COMPONENT REMOVAL

- A. Care shall be taken to avoid damage to adjacent areas during the removal of components to be replaced. The Weatherization Contractor shall run a sharp utility knife around the edge of the substrate (of component to be removed) and the adjacent substrate (of the component not being removed) to cut any bonding between the substrates and, thereby; eliminating damage when component is removed.
- B. If components to be removed contain gross areas of loose or peeling paint, these areas shall be wet scrapped or HEPA vacuumed prior to removal. The paint chips shall be contained either in the HEPA vacuum or in a separate six-mil polyethylene bag.
- C. Using a garden sprayer or atomizer, lightly mist the component to be removed with water to help keep the dust down during the removal process.
- D. Remove any screws or other fasteners. Using a flat pry instrument and a hammer, carefully pry the affected building component away from the surface to which it is attached. The pry bar should be carefully inserted into the seam at the nail (or other fastening device) at one end of the component and pressure applied. This process should be repeated at other fastening locations until the end of the component is reached. By prying in this manner, the component will be removed intact and chip and dust generation will be minimized. A pry point pad or softener may be required to minimize damaged to adjoining substrates. Carefully lower component to the ground, do not drop or throw component. Begin cleanup immediately after the individual component has been removed. Wider replacement trim may be used to cover adjacent area damage.
- E. Carefully remove or bend back all nails or other fastening devices and wrap with six-mil plastic sheeting and seal with duct tape. Wrapping components in plastic may not be necessary if the dwelling is vacant and if the dumpster and the pathway to the dumpster are lined with six-mil plastic.
- F. Use a HEPA vacuum and wet wash to remove any dust that may have accumulated behind the components as soon as they have been removed. Preparing the area for the new component (i.e., squaring, reducing, to enlarging openings) may also release accumulated dust that should be removed. Dispose of removed components properly.

Bring new lead-free components into the work area only after all dust-generating activity is completed and the dust is cleaned up by at least one HEPA vacuuming.

PART 2: DOOR COMPONENT REMOVAL

- A. The following procedures shall be performed.
 - 1. Place visqueen on floor under door that is to be removed to catch all paint and wood particles.
 - 2. Remove screws or nails from the doorjamb that is holding the door firmly in place.
 - 3. Let door down gently on visqueen and wrap entire door with visqueen, tape the ends of visqueen whereas debris cannot escape from the wrapped door.
 - 4. Take all debris to a local municipal solid waste landfill.
- B. Carefully score paint and caulk lines at walls adjoining casings with razor knife. Removal of jambs and casings shall not damage existing plaster or gypsum board and paint.
- C. Carefully pry jams and casings from wooden anchors and remove, using a wood block at the fulcrum point to protect the plaster.
- D. Remove any protruding paint ridges. Wet scrape and HEPA vacuum all loose paint and debris.
- E. Fill damaged spaces with plaster or equivalent materials to make walls smooth.
- F. Conduct a thorough cleanup using the HEPA vacuum, wet wash sequence.

PART 3: WINDOW COMPONENT REMOVAL and REPLACEMENT OF EXISTING PRIMARY WINDOWS

- A. For window removal from the exterior side, visqueen shall be taped to the interior walls prior to any window removal. For window removal from the interior side, tape visqueen to the exterior wall. These critical barriers shall remain in place until the windows are replaced. Children cannot be present in the house until the visqueen is removed due to the suffocation and lead hazards. Protect the soil/floor from contamination by installing visqueen at the perimeter of the work area and out at least five feet.
- B. For window removals from the exterior side, visqueen shall be taped to the interior walls prior to any window removal. Using a HEPA vacuum equipped with a metal attachment, remove and vacuum all loose chips and flakes of paint from window trough components and remove any existing exterior storm windows and screens and dispose of as construction debris if not being reused.

- C. Using a garden sprayer or atomizer, lightly mist the component to be removed with water to help keep the dust down during the removal process.
- D. Using a utility knife or other sharp instrument, carefully score all affected painted seams.
- E. Any damage to adjacent surfaces due to component removal shall be repaired and restored with similar or better materials.
- F. The sequence of work for component removal shall follow the prescribed order:
 - 1. Loosen exterior facings and remove;
 - 2. Remove screen stop;
 - 3. Remove top sash;
 - 4. Remove parting beads with pry tool, or pliers;
 - 5. Remove bottom sash;
 - 6. Remove all loose dirt and debris, HEPA vacuuming and wet wash all surrounding surfaces and window well;
 - 7. Inspect the window and when no visible dust or debris is found, encapsulate window components with white latex paint;
 - 8. Keep critical barriers intact;
 - 9. When no visible dust or debris is found, window replacement shall proceed;
 - 10. Install new window, stops and new facings.

PART 4: REMOVAL AND REPLACEMENT OF EXISTING WOODEN PRIMARY WINDOWS FROM THE INTERIOR OF THE HOUSE.

- A. For window removal from the interior side, visqueen shall be taped to the exterior walls prior to any window removal. These critical barriers shall remain in place until the windows are replaced. Children cannot be present in the house until the visqueen is removed due to the suffocation and lead hazards. Protect the soil/floor from contamination by installing visqueen at the perimeter of the work area and out at least five feet.
- B. Using a HEPA vacuum equipped with a metal attachment, remove and vacuum all loose chips and flakes of paint from the window trough components and remove any existing storm windows and screens and dispose of as construction debris.
- C. Using a garden sprayer or atomizer, lightly mist the component to be removed with water to help keep the dust down during the removal process.
- D. Using a utility knife or other sharp instrument, carefully score all affected painted seams. Any damage to adjacent surfaces due to component removal shall be repaired and restored with similar or better materials.
- E. The sequence of work for the component removal shall follow this prescribed order:

1. Carefully pry off interior stops and remove;
 2. Remove bottom sash;
 3. Remove parting beads with pry or pliers;
 4. Remove top sash;
 5. Remove all loose dirt and debris, HEPA vacuum and wet wash all surrounding surfaces and window wells;
 6. Inspect window components and when no visible dust or debris is present encapsulate with latex paint;
 7. Keep critical barriers intact;
 8. Window replacement shall proceed.
- F. If there are any large cavities around window opening, stuff with batt insulation until full.
- G. Caulk around all window trim to prevent air infiltration, smooth caulk for a nice appearance.
- H. Remove all stickers and labels from the new windows.
- I. Windows shall be of appropriate size to match window opening.
- J. Windows shall be installed in accordance with manufacturer's instructions
- K. If mini-blinds are present, they shall be removed for installation of the new window. Upon completion of the window installation, the blinds shall be reinstalled in accordance with manufacture's recommendations.

PART 5: WET SCRAPING AND REPAINTING

- A. Protect the floor/ground with two layers of visqueen.
- B. Mist the subject components with water. Wet scrape or wet sand to remove all loose paint and provide a smooth surface for repainting.
- C. Upon completion of the wet scraping or sanding, immediately remove one layer of the visqueen and dispose of waste properly.
- D. Allow sufficient time to dry. Paint with a minimum of two coats of premium quality interior or exterior paint.
- E. Thoroughly clean the area using the HEPA vacuum, wet wash sequence.
- F. Dispose of waste properly.
1. Small debris is to be placed in a six-mil trash bag tied in gooseneck method. Bend top of trash bag down about six inches and tie down or tape whereas debris cannot escape bag. May be discarded at a municipal solid waste landfill.

2. Place large debris in a container that closes and has lockable doors. Send to a solid waste landfill or combustor.

PART 6: DOOR REMOVAL AND REPLACEMENT

- A. Preparation procedures shall be performed to minimize lead dust contamination. (Cover the work area floor with visqueen.)
- B. Carefully score paint and caulk lines at walls adjoining casings with razor knife. Removal of jambs and casings shall not damage existing plaster or gypsum board and paint.
- C. Carefully pry jambs and casings from wooden anchors and remove, using a wood block as a fulcrum point to protect the plaster or gypsum.
- D. Remove any protruding paint ridges. Wet scrape and HEPA vacuum all loose paint and debris.
- E. Interior doors will be replaced with pre-hung wood or masonite door unit. Exterior door will be replaced with an insulated steel door unit or a wood solid core door that includes all necessary hardware.
- F. Door and trim will be finished to match existing paint or stain trim.
- G. Door will be hung following manufacture's instructions, paying particular attention to install the door plumb and square.
- H. Door will meet the frame properly at the top and bottom of the stops.
- I. All painted surfaces will receive a primer coat (unless pre-painted) and two finish coats of premium paint.
- J. If installing a solid core slab carefully remove pins from hinges and remove the door. Carefully remove hinges from doorjambs. Wet scrape and HEPA vacuum all loose paint and debris. Encapsulate with paint if necessary. Proceed with normal installation of the door.
- K. Thoroughly clean the area with a HEPA vacuum.
- L. Dispose of waste properly.

CONFIRMATION OF RECEIPT OF LEAD PAMPHLET

I have received a copy of the pamphlet, Renovate Right - Important Lead Hazard Information for Families, Child Care Providers and Schools, informing me of the potential risk of the lead hazard exposure. I have been made aware that my house has lead hazards, and that the Weatherization Assistance Program measures installed on my home will not disturb the lead-based paint.

Printed Name of Recipient

Date

Signature of Recipient

MOLD AND MILDEW CERTIFICATION

I acknowledge that I have been informed that my house has mold and mildew. I further acknowledge that I have been informed that the Weatherization Assistance Program is not responsible for removing or correcting the problems causing the mold and mildew and that there are health risks associated with mold and mildew if not removed. The work being performed will not alleviate the mold condition nor will it promote new mold growth. I certify that I have received a copy of EPA 402-K-02-003, A Brief Guide to Mold, Moisture and Your Home.

Printed Name of Recipient

Date

Signature of Recipient

WEATHERIZATION PROGRAM
FINAL INSPECTION SHEET

CLIENT'S NAME _____ JOB # _____

ADDRESS: _____

COUNTY: _____ INSPECTION: _____

- | | | | |
|--|----------|---------|---------|
| Were <u>CO Tests</u> performed? | Yes ____ | No ____ | NA ____ |
| Was <u>Blower Door Test</u> performed on unit before & after weatherization? | Yes ____ | No ____ | NA ____ |
| Have all <u>exterior door</u> been weatherstripped, to the point that light cannot be seen around the door after closing the door: | Yes ____ | No ____ | NA ____ |
| Were all replacement <u>exterior doors</u> properly hung? | Yes ____ | No ____ | NA ____ |
| Were <u>door sweeps or thresholds</u> properly installed as needed? | Yes ____ | No ____ | NA ____ |
| Have all <u>windows</u> been properly adjusted for tight fit? | Yes ____ | No ____ | NA ____ |
| Were all <u>windows</u> properly glazed as indicated? | Yes ____ | No ____ | NA ____ |
| Were all <u>prime windows</u> installed properly if indicated on job order? | Yes ____ | No ____ | NA ____ |
| Were all <u>storm windows</u> installed properly if indicated on job orders? | Yes ____ | No ____ | NA ____ |
| Have all broken <u>window panes</u> been replaced? | Yes ____ | No ____ | NA ____ |
| Have all <u>windows and door panes</u> been properly glazed? | Yes ____ | No ____ | NA ____ |
| Have all <u>window sills</u> been replaced where necessary, and properly caulked? | Yes ____ | No ____ | NA ____ |
| Have all <u>corner boards, window and door exterior trims</u> been replaced where necessary, and properly caulked? | Yes ____ | No ____ | NA ____ |
| Has all <u>new lumber</u> applied been sealed, if needed? | Yes ____ | No ____ | NA ____ |
| Was <u>mobile home</u> roof sealed or coated? | Yes ____ | No ____ | NA ____ |
| Has <u>attic</u> been properly insulated and certification tag installed? | Yes ____ | No ____ | NA ____ |
| Does <u>attic</u> have proper ventilation? | Yes ____ | No ____ | NA ____ |
| Has <u>attic access</u> door been properly weatherstripped? | Yes ____ | No ____ | NA ____ |
| Has <u>roof repair</u> been made as instructed? | Yes ____ | No ____ | NA ____ |
| Was interior <u>caulking</u> smooth and neat? | Yes ____ | No ____ | NA ____ |
| Were all <u>infiltration measures</u> listed on the job work order properly addressed? | Yes ____ | No ____ | NA ____ |
| Were all <u>necessary repairs</u> listed on the job work order properly addressed? | Yes ____ | No ____ | NA ____ |
| Were all <u>vapor barriers</u> laid as instructed? | Yes ____ | No ____ | NA ____ |
| Were <u>walls insulated</u> as indicated by NEAT? | Yes ____ | No ____ | NA ____ |

For any <u>NEAT</u> measures not installed, is there signed documentation by the Client to why the measure was not installed?	Yes ____	No ____	NA ____
Were <u>Health and Safety Measures</u> addressed?	Yes ____	No ____	NA ____
Was there a close inspection of all areas in your home?	Yes ____	No ____	NA ____
Were all indoor air quality issues addressed?	Yes ____	No ____	NA ____
Were additional ventilation/purification/filtration considered?	Yes ____	No ____	NA ____
Were dehumidifiers or air conditioners working properly?	Yes ____	No ____	NA ____
Were all room and closet doors opened?	Yes ____	No ____	NA ____
Is there air movement throughout the home?	Yes ____	No ____	NA ____
Was the furniture moved away from walls?	Yes ____	No ____	NA ____
Was extra clothing removed from closets for air circulation?	Yes ____	No ____	NA ____
Was wall areas insulated?	Yes ____	No ____	NA ____
Were <u>trash and debris</u> hauled off?	Yes ____	No ____	NA ____

Comments:

INSPECTED BY:

AGENCY INSPECTOR

DATE

AGENCY INSPECTOR

DATE

MOLD AND MILDEW TRAINING PLAN

DEFINITION OF MILDEW/MOLD

Superior growth produced by fungi on various surfaces, mildew can form on most materials or products which are exposed to moisture resulting In discoloration and decomposition of a surface

INTRODUCTION TO MOLDS

Mold produce tiny spores to reproduce. Mold spores waft through the indoor and outdoor air continually. When mold spores land on a damp spot indoors, they may begin growing and digesting whatever they are growing on in order to survive. There are molds that can grow on wood, paper, carpet, and foods. When excessive moisture or water accumulates indoors, mold growth will often occur, particularly if the moisture problem remains undiscovered or unaddressed. There is no practical way to eliminate all mold and mold spores in the indoor environment; the way to control indoor mold growth is to control moisture.

WHERE DOES MOLD COME FROM?

Basically the only requirements for mold growth indoors are a food source and a little moisture. Food sources are plentiful in our homes and can include cellulose products such as drywall, wood, insulation, cardboard and paper, as well as, invisible bio-film on hard surfaces, carpet backing, wallpaper adhesive, many fabrics, leather, and especially house dust which is primarily dead skin cells shed from humans. Moisture sources are also multiple and can include humidity trapped inside of homes which are constructed more airtight than they used to be, all areas where moisture builds up as condensation, former or active roof leaks, plumbing leaks, backed-up floor drains, and water seepage through siding or foundations. Due to the abundant food and moisture sources indoors, most homes inspected will have multiple locations where mold is actively growing.

MOISTURE PROBLEMS

Moisture causes billions of dollars in property and high-energy bills each year in American homes.

MOISTURE CONTROL IN HOMES

Moisture control is the key to mold control

TEN THINGS YOU SHOULD KNOW ABOUT MOLD

Potential health effects and symptoms associated with mold exposures include allergic reactions, asthma, and other respiratory complaints.

There is no practical way to eliminate all mold and mold spores in the indoor environment.

If mold is a problem in your home or school, you must clean up the mold and eliminate sources of moisture.

Fix the source of the water problem or leak to prevent mold growth.

Reduce indoor humidity (to 30-60%) to decrease mold by; venting bathrooms, dryers, and other moisture-generating sources to the outside; using air conditioners and de-humidifiers; increasing ventilation; and using exhaust fans whenever cooking, dishwashing, and cleaning.

Clean and dry any damp or wet building materials and furnishings within 24-48 hours to prevent mold growth.

Clean mold off hard surfaces with water and detergent, and dry completely. Absorbent materials such as ceiling tiles, that are moldy, may need to be replaced.

Prevent condensation: Reduce the potential for condensation on cold surfaces (i.e., windows, piping, exterior walls, roof, or floors) by adding insulation.

In areas where there is a perpetual moisture problem, do not install carpeting (i.e., by drinking fountains, by classroom sinks, or on concrete floors with leaks or frequent condensation).

Molds can be found almost anywhere; they can grow on virtually any substance, providing moisture is present. There are molds that can grow on wood, paper, carpet, and foods.

MOISTURE IN YOUR HOME CAN COME FROM MANY SOURCES

Leaking
Seeping
Showers
Cooking
No insulation in walls or other areas
Rooms closed off
Temperature difference between rooms
No air circulation
Landscape of property

The amount of moisture that the air in your home can HOLD depends on the temperature of the air. As the temperature goes down, the air is able to hold less moisture. This is why in cold weather moisture will condense on cold surfaces.

THERE ARE MANY WAYS TO CONTROL MOISTURE IN YOUR HOME:

Fix leaks and seepage. If water is entering the house from the outside, your options range from simple landscaping to extensive excavation and waterproofing.

Place plastic sheeting over the dirt in crawlspaces to prevent moisture from coming from the ground. Be sure crawlspaces are well ventilated.

Use exhaust fans in bathrooms and kitchens to remove moisture to the outside (not in attic). Vent your clothes dryer to the outside.

Turn off certain appliances (such as humidifiers or kerosene and other non-vented sources), if you notice moisture on windows and other surfaces.

Use dehumidifiers and air conditioners, especially in hot, humid climates, to reduce moisture in the air.

Raise the temperature of cold surfaces where moisture condenses. Use insulation or storm windows. (A storm window installed on the inside works better than one installed on the outside.) Open doors between rooms (especially doors to closets which may be colder than the rooms) to increase circulation. Circulation carries heat to the cold surfaces. Increase air circulation by using fans and by moving furniture from wall corners to promote air and heat circulation. Be sure that your house has a source of fresh air and can expel excessive moisture from the home.

Pay special attention to carpet on concrete floors. Carpet can absorb moisture and serve as a place for biological pollutants to grow. Use area rugs that can be taken up and washed often.

Moisture problems and their solutions differ from one climate to another.

INSPECT THE BUILDING FOR SIGNS OF MOLD, MOISTURE, LEAKS, OR SPILLS

- * Check for moldy odors
- * Look for water stains or discoloration on the ceiling, walls, floors, and windowsills
- * Look around and under sinks for standing water, water stains and mold
- * Inspect bathrooms for standing water, water stains, or mold
- * Do not let water stand in air conditioning or refrigerator drip pans

THE INDOOR AIR PROBLEM

Sick homes or "Sick Building Syndrome," as it is more often called, is actually a term that refers to homes and buildings that collect pollutant or directly contribute to the contamination of the air inside. This results in the sickness and disease of the individuals who

live or work inside. Since the 1970's, we have been making our homes and buildings very airtight and energy efficient without considering the affect this would have on the indoor air we breathe. In essence, we have sealed in energy saving heat and air conditioning and sealed out everything that is good for us.

Indoor air pollution is a widespread problem in both new and old homes, whether located in cities or in rural areas. Indoor air contaminants are non-discriminating, affecting everyone from infants to senior citizens.

On average, each human will breathe approximately 2,500 gallons of air every day without proper consideration of its purity.

We spend approximately 90% of our time indoors continuously inhaling dust particle pollutants, household chemicals and construction materials.

SYMPTOMS OF INDOOR AIR CONTAMINATION

STUFFY NOSE	COUGHING
NASAL DRIP	WHEEZING
ITCHY THROAT	TIREDDNESS
ITCHY EYES	FATIGUE
TEARING EYES	LEARNING DISABILITIES
SNEEZING	ALLERGIES
INABILITY TO CONCENTRATE	

WHAT YOU CAN DO

ADDRESS ALL INDOOR AIR QUALITY ISSUES
CONSIDER ADDITIONAL VENTILATION/PURIFICATION & FILTRATION
PURCHASE DEHUMIDIFIERS/AIR CONDITIONERS
OPEN ALL ROOM & CLOSET DOORS
MOVE FURNITURE AWAY FROM WALLS
REMOVE SOME CLOTHING FROM CLOSETS FOR AIR CIRCULATION
INSULATE WALL AREAS

CREW SAFETY

Basic safety rules are nothing more than common sense. Safe work habits protect you and your co-workers. Most accidents are caused by:

- Careless attitudes
- Unsafe working conditions
- Improper use of tools
- Improper lifting

- A. Unsafe Working Conditions
The work site and structure should be checked for unsafe conditions before work begins.
- B. Site Analysis
Check conditions outside the structure which may be hazardous. Below is a list of things to look for.

- Dogs and other pets ·Low electric lines
- Broken glass ·Insect nests
- Trash and debris ·Small children

Nails that stick through the sheathing of the roof are dangerous. Always wear a hard hat while working in the attic.

C. Safe Use of Tools and Equipment

Most accidents that happen during weatherization jobs can be prevented by:

- Wearing protective gear ·Using the right tools
- Using tools correctly ·Observing general safety rules

D. Protective Gear

The following protective gear should be made available to all crew members:

- Hard Hat ·Goggles with side eye protectors
- Gloves ·Respirator (for blown-in insulation and for Lead)
- Dust Mask

Crew members must accept responsibility for their safety by wearing the gear.

E. Ladders

Many serious injuries are caused by the improper use of ladders. Below are some tips for the safe use of ladders:

- Use of ladders when climbing. Do not use boxes, chairs, etc.
- Keep ladder in good repair, check the ladder for broken rungs, steps and rails. Damaged ladders should be repaired or replaced immediately.
- Set up straight (extension ladders on a firm, level base at the proper angle).
- Do not set up ladders near doors or blind corners. If a ladder must be set up near a door, lock the door.
- Do not overreach when on a ladder. Always keep the hips within the side rails.
- Do not leave tools on top of step ladders. Keep tools in a bucket hooked to the ladder or on a tool belt.
- Always face the ladder when going up or down.
- Use caution when using metal ladder on metal roof with low electrical wires.

F. Blowing Machines

Blowing machines should be used cautiously and correctly. Observe the general safety points below while using blowers.

- Never use a blowing machine unless you have been taught to use it properly and safely.

- Electric blowing machines should always be grounded.
- Never use electric blowing machines when the ground is wet or during rain.
- Use heavy duty extension cords for lengths more than 100 feet.
- Always disconnect the power supply before oiling the applicator or making any adjustments to the lines.
- Never put your hands in the hopper when the blowing machine is connected to the power supply.

G. Hand Tools

The improper use of hand tools causes many injuries. Below are a few safety rules that apply to all hand tools.

1. First, and most important, **USE THE PROPER TOOL TO DO THE JOB.** Each tool is designed to do a particular job. Use tools for the job they were made for.
2. Keep tools clean. Wipe away grease, dirt, caulk, etc. Lubricate moving parts to ensure good working conditions.
3. Keep cutting edges sharp. Sharp tools are safer than dull tools and make work easier, improve accuracy, and save time.
4. Discard damaged tools. Be sure to follow proper procedures for disposing of property.

H. Power Tools

Power tools are not dangerous if used properly, but careless use has caused the loss of many fingers and hands. Accidents with power tools happen so quickly that a finger can be lost before you feel the pain. Shock is also a hazard when using power tools. A fall caused by shock can cause serious injury.

WHEN USING POWER TOOLS:

1. Use tools that are grounded.
2. Use three-prong extension cords only. When an adapter is used, it must be grounded.
3. **REPORT** any shock caused by power tools. This indicates a short which must be repaired.
4. Don't use defective power tools. Even minor defects can cause injury.
5. Don't use power tools in wet areas.
6. Don't use tools with damaged electric cords.
7. Never use a power tool unless you have been taught to operate it properly.
8. Wear eye protection when operating electric power tools.
9. Use ear plugs for loud power tools.

10. Be sure the switch is off before plugging the tool into the circuit.
11. Never talk to anyone using a power tool. Talking may distract the person long enough to cause an injury.
12. Check for wiring before cutting into walls.
13. Never remove the ground from a plug. Use a grounded adapter.

I. Housekeeping

Good housekeeping prevents injury and saves time. Areas cluttered with insulation bags, plastic film and trash are hazards. To keep the work site clean and safe:

1. Don't leave tools laying around. Tools should be returned to the tool box or tool pouch.
2. As batt and blanket wrappings are removed, place them in a trash bag or container.
3. As loose-fill insulation bags are emptied and counted, place them in a container or another bag.
4. Place all broken glass in metal containers. Never put broken glass in plastic bags.
5. Remove protruding nails from wood immediately.
6. Spilled grease or oil should be cleaned up immediately .

J. Lifting

Weatherization crew members should know how to lift correctly. Incorrect lifting causes strains, back injuries and hernias. When lifting:

1. Don't lift any more than you can handle.
2. Set feet solidly with one foot slightly ahead of the other.
3. Get as close to the object as possible.
4. Bend knees no more than 90°.
5. Keep the back straight. Bend at the hip and not at the back.
6. Grip the object firmly and lift with your legs.
7. Never carry an object you can't see around.

FIRST AID

Every crew member should know what to do when an accident happens. One person in each crew should be a graduate of a Red Cross First Aid Course. At a minimum, periodic first aid training should be provided to crew members.

The following will introduce you to some basic do's and don'ts when injuries occur--it is not a substitute for taking a first aid course.

GENERAL FIRST AID PROCEDURES:

1. Each crew should have one person responsible for first aid.
2. An industrial first aid kit (Red Cross approved) should be standard equipment for each crew.
3. Always be aware of the locations of the first aid kit and fire extinguisher.
4. The phone numbers of a physician, ambulance, hospital emergency room, fire department, and weatherization office should be posted on the first aid kit and dashboard of each program vehicle.
5. Report all injuries, even minor ones, to the crew chief or program director.

6. Get medical attention when someone is injured. Have a responsible person go with the victim.
7. Crew members should have tetanus shots.

BASIC RULES WHEN INJURIES OCCUR:

1. Call for medical help as soon as possible. Describe the injury and what is being done. If you are not sure what first aid is best, call the hospital emergency room. A doctor or nurse can advise you.
2. Don't move the victim unless absolutely necessary.
3. Keep the victim lying down, the head level with the body, until you know the extent of the injury.
4. Look for the control bleeding.
5. Make sure the victim is breathing.
6. Keep the person warm and as comfortable as possible.
7. Don't give liquid to a semi-conscious person.
8. Use a knife to remove clothing when necessary.
9. Make notes on the accident. Find out exactly what happened. This is important for insurance purposes and to prevent similar accidents in the future.

RENTAL PROCEDURES

MULTI-FAMILY RENTAL PLAN

Prevention of Undue Excessive Enhancements to Multi-Family Rental Dwelling Units

Subgrantees, in order to avoid undue or excessive enhancement in the value of rental dwelling units resulting from the provision of weatherization services, shall request financial participation from owners of buildings who request weatherization services. The amount requested will be a percentage of the total cost of the weatherization work to be performed, such amount requested to be reflective of the anticipated excessive or undue enhancement which will result from weatherization services.

In the situation where a building owner contends that he is unable to financially participate as requested by the subgrantee, an assessment of the owner's financial situation will be made. If it is determined that the building owner is financially unable to participate, his building will be eligible to receive weatherization services in the same priority as building owners who have financially participated. In the case of inability to pay, the subgrantee should, however, assess other means of assuring that no undue or excessive enhancement will occur.

Building owners who are willing to participate financially will be accorded priority in the receipt of weatherization services over building owners who are not willing to participate. Building owners who are financially able to participate will be required to pay 50% or the amount the subgrantee determines the landlord is able to contribute of the weatherization cost or contribute in-kind labor or materials with a fair market value of 50% of the weatherization. Further, if a financially able building owner refuses to participate and the subgrantee has weatherization funds remaining after providing service to participating owners, the subgrantee can provide weatherization services only if services to the non-participating owners will not result in undue or excessive enhancement.

If prior to the start of weatherization work, an escrow account is utilized to hold the funds that are provided by the building owner, the disposition of any interest that accrues from the account shall be the product of mutual agreement between the building owner and the subgrantee.



**ARKANSAS DEPARTMENT OF
HUMAN SERVICES**
ARKANSAS WEATHERIZATION ASSISTANCE PROGRAM



Lessor Agreement

To prevent undue, excessive enhancements to rental units resulting from the provision of weatherization services, property owners must sign a contract to participate in the weatherization assistance program and contribute funds toward the total cost of weatherizing each eligible unit. The minimum contribution varies based on the size of the dwelling, resources of the owner, and energy retrofit needs of the unit as determined by a U.S. Department of Energy-approved energy audit.

**CONTRACT TO PARTICIPATE IN WEATHERIZATION ASSISTANCE PROGRAM
FOR RENTAL HOUSING UNITS**

This contract is entered into by and between the **Property Owner** and **Agency** named below:

Property Owner:

Name _____

Address _____

Telephone Number _____

Agency:

Legal Name _____

Address _____

Telephone Number _____

concerning the real property located at : _____

Address _____

City, State, Zip Code _____

occupied by (**Tenants**) :

Name (s) _____

The parties listed above mutually agree that:

1. This agreement will be in effect for a period of three (3) years after the date of completion of any work undertaken pursuant to this agreement.
2. Owner engages Agency named above for the purpose of securing the benefits of weatherization of the above described property, and gives permission for all work, including delivery of materials, as described in the attached Building Condition and Job Sheet/Weatherization Work Form. All materials and work shall be subject to federal and state program regulation and limitations as promulgated in the federal register and found in the code of Federal Regulations,

and as promulgated and on file with the Arkansas Secretary of State.

3. All materials and work will conform to all local building and zoning codes, to U.S. Department of Energy (DOE) and Arkansas Weatherization Assistance Program (WAP) guidelines.
4. The work completed shall begin within sixty (60) days and be completed within one hundred twenty (120) days of the date of this agreement.
5. (a) **Agency** shall contribute money, materials and labor as follows to complete weatherization:
 - 1) The sum of \$ _____ dollars;
 - 2) Materials: _____
_____;
 - 3) Labor: _____
_____;
- (b) **Owner** shall contribute money, materials and labor as follows to complete weatherization:
 - 1) The sum of \$ _____ dollars;
 - 2) Materials: _____
_____;
 - 3) Labor: _____
_____;

Owner must pay Owner's portion of the cost before materials are ordered and weatherization work begins.

6. Owner agrees not to increase the rent on the dwelling unit(s) covered by this agreement for a period of one (1) year from the date work is completed.
7. Owner agrees not to evict Tenant(s) named in this agreement for a period of three (3) years from the date work is completed so long as Tenant(s) complies with all ongoing obligations and responsibilities owed to Owner.
8. In the event a new Tenant(s) is required for the dwelling unit(s) named in this agreement before the three (3) years referenced in Item 7 above, Owner agrees to rent the dwelling to a Weatherization-eligible household with gross monthly income equal to or less than 200 percent of the current federal poverty guideline (attach current guidelines).
9. Owner represents that the premises are not presently being offered for sale. Owner agrees to give Agency thirty (30) days written notice of intent to sell before the property is offered for sale, and ten (10) days notice prior to any conveyance of title. Owner agrees that Agency will receive the buyer's written agreement to assume Owner's obligations under this agreement at least ten (10) days prior to conveyance.
10. Agency and Owner agree that Tenant(s), present and future, are the intended beneficiaries of the Weatherization Assistance Program and that Tenant(s) may enforce this agreement. Owner agrees to provide a copy of this agreement to any and all future Tenants while this agreement is in effect.
11. Owner shall receive any interest accruing from any escrow account funded wholly by Owner for purposes directly and exclusively related to this agreement.
12. In the event the Owner defaults or materially breaches any term of this agreement, the Owner shall be liable for liquidated damages, immediately due and payable to Agency to be computed as follows: one thirty-sixth (1/36) of the total cost of weatherization not borne by the owner shall be

deducted for each full month between the date of completion of weatherization work and the date of the Owner's default or breach. The remainder shall be paid as liquidated damages.

13. Owner must register any complaints or concerns regarding materials or quality of work with Agency within ten (10) days of notification by Agency that work has been completed.
14. Any disputes arising between Owner and Tenant(s) regarding Owner's approval of completed work shall be referred to Agency. If Tenant(s) or Owner is not satisfied with Agency's decision, the dispute shall be referred to the Department of Human Services, Office of Community Services who shall make and furnish a written decision to all parties along with a written explanation of the parties' appeal rights. Any other disputes arising under this agreement shall be referred directly to the Department of Human Services which shall make a make and furnish a written decision to all parties along with a written explanation of the parties' appeal rights.
15. The parties represent and agree not to discriminate either individually or in concert on any basis, including race, color, religion, sex, national origin, disability or age.
16. Terms of this contract shall be binding on the parties their heirs, executors, administrators, representatives, successors and assigns. The contract can be amended only by written agreement of all parties. The contract cannot be amended after weatherization work has begun.

Please print your name, sign and date below to signify your agreement with all terms and conditions contained herein.

Owner Name

Signature

Date

Agency Representative Name

Signature

Date

**EXHIBIT A:
Eligible Dwelling Units and Rents**

The dwelling units to be weatherized by the Agency under the attached Contract are as follows:

Address: _____

Unit Number or Description: _____

Monthly Rent: _____ Date Rent Verified: _____

Address: _____

Unit Number or Description: _____

Monthly Rent: _____ Date Rent Verified: _____

Address: _____

Unit Number or Description: _____

Monthly Rent: _____ Date Rent Verified: _____

Address: _____

Unit Number or Description: _____

Monthly Rent: _____ Date Rent Verified: _____

Address: _____

Unit Number or Description: _____

Monthly Rent: _____ Date Rent Verified: _____

Address: _____

Unit Number or Description: _____

Monthly Rent: _____ Date Rent Verified: _____

**EXHIBIT D:
Tenant Rights**

Tenant (Print Name): _____

Residing at: _____

Owned by (Print **Owner** Name): _____

Understand that the **Contract** between **Owner** and **Agency** stipulates that:

1. Rent on the above referenced premises shall not be raised for a period of 12 months following the completion of weatherization work.
2. I shall not have the lease terminated on my tenancy without legal cause for a period of three years following completion date of weatherization work.
3. Owner shall not sell premises unless the **Buyer** agrees to assume all obligations contained in the above referenced **Contract** with the **Agency**.

Tenant Signature

Agency Signature

*Original document with signatures stays with the Agency.
One copy goes to the Owner.
One copy goes to the tenant.*

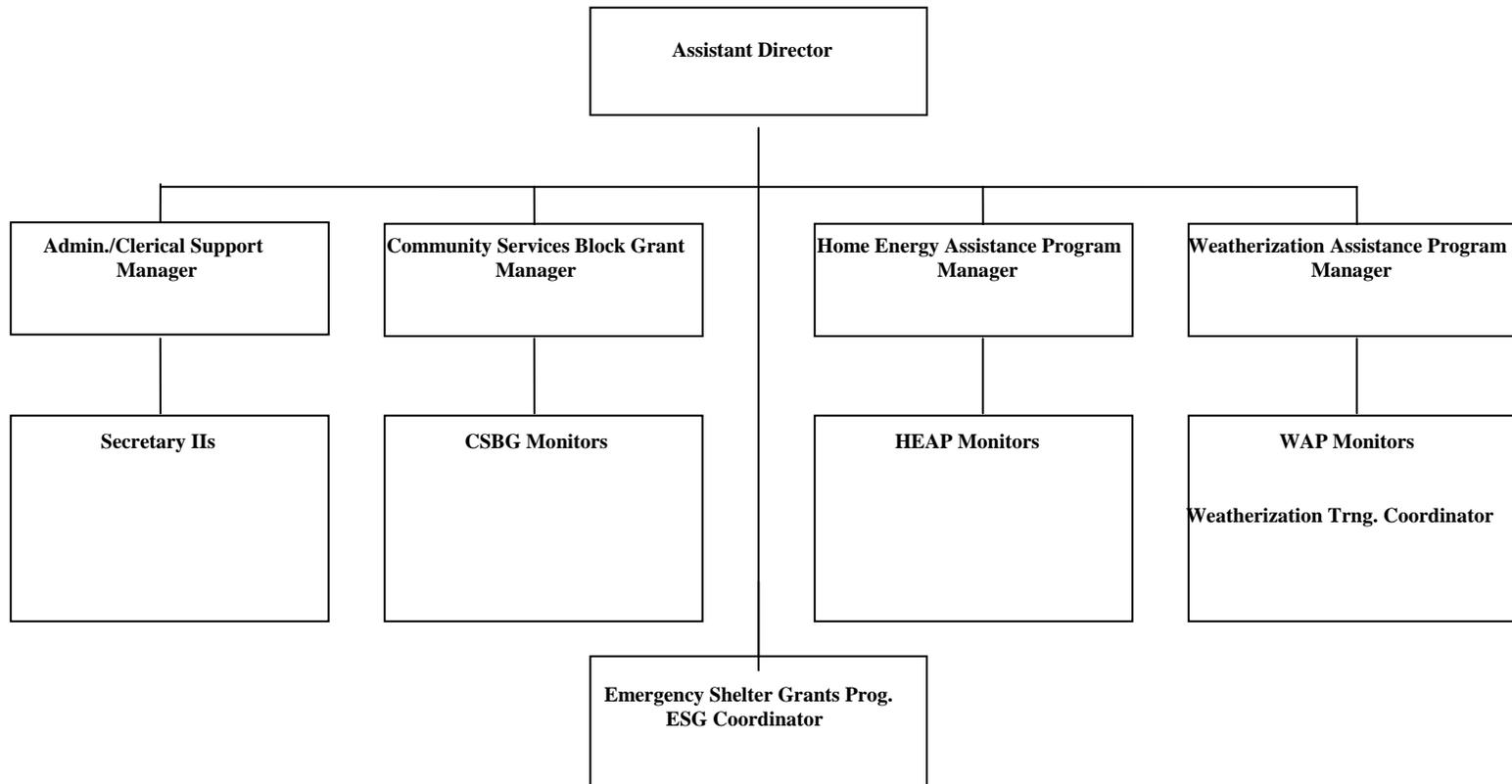
PROGRAM MANAGEMENT

Organization

The state Office of Community Services (OCS) will operate the American Recovery and Reinvestment Act (ARRA) Weatherization Program. OCS administers, DOE's regular Weatherization Assistance Program, the Home Energy Assistance Program, Community Services Block Grant program, and Emergency Shelter Grants program. The Weatherization Assistance Program Manager, also, administers other housing programs as the funds are obtained .

OFFICE OF COMMUNITY SERVICES

ORGANIZATIONAL CHART



CONGRESSIONAL DISTRICT 1

AGENCIES	COUNTIES
<p>BLACK RIVER AREA DEVELOPMENT CORPORATION (BRAD) 1403 HOSPITAL DRIVE POCAHONTAS, ARKANSAS 72455 JIM JANSEN, EXECUTIVE DIRECTOR (870) 892-5218</p>	<p>CLAY LAWRENCE RANDOLPH</p>
<p>CENTRAL ARKANSAS DEVELOPMENT COUNCIL (CADC) 722 GAUNT STREET POST OFFICE BOX 580 BENTON, ARKANSAS 72018 LARRY COGBURN, EXECUTIVE DIRECTOR (501) 315-1121</p>	<p>LONOKE</p>
<p>COMMUNITY ACTION PROGRAM FOR CENTRAL ARKANSAS, INC. (CAPCA) 707 ROBINS STREET, SUITE 118 CONWAY, ARKANSAS 72034 PHYLISS FRY, EXECUTIVE DIRECTOR (501) 329-3891</p>	<p>CLEBURNE</p>
<p>CROWLEY'S RIDGE DEVELOPMENT COUNCIL (CRDC) 2801 FOX MEADOW LANE POST OFFICE BOX 1497 JONESBORO, ARKANSAS 72403 LOYD PRICE, EXECUTIVE DIRECTOR (501) 802-7100</p>	<p>CRAIGHEAD CRITTENDEN CROSS GREENE JACKSON POINSETT ST. FRANCIS WOODRUFF</p>
<p>MID-DELTA COMMUNITY SERVICES, INC. (MDCS) POST OFFICE DRAWER 745 HELENA, ARKANSAS 72342 MARGARET STAUB, EXECUTIVE DIRECTOR (870) 338-6406</p>	<p>LEE MONROE PHILLIPS PRAIRIE</p>

CONGRESSIONAL DISTRICT 1

AGENCIES	COUNTIES
<p>MISSISSIPPI COUNTY, ARKANSAS ECONOMIC OPPORTUNITY COMMISSION, INC. (MCAEOC) 1400 NORTH DIVISION STREET POST OFFICE DRAWER 1289 BLYTHEVILLE, ARKANSAS 72316-1289 SAM SCRUGGS, EXECUTIVE DIRECTOR (870) 776-1054</p>	<p>MISSISSIPPI</p>
<p>NORTHCENTRAL ARKANSAS DEVELOPMENT COUNCIL, INC. (NADC) 550 9TH STREET POST OFFICE BOX 3349 BATESVILLE, ARKANSAS 72503 LARRY GOODWIN, EXECUTIVE DIRECTOR (870) 793-5765</p>	<p>FULTON INDEPENDENCE IZARD SHARP STONE</p>
<p>OZARK OPPORTUNITIES, INC. (OOI) 701 EAST PROSPECT AVENUE POST OFFICE BOX 1400 HARRISON, ARKANSAS 72601 ROGER RUTHERFORD, EXECUTIVE DIRECTOR (870) 741-9406</p>	<p>SEARCY</p>
<p>PINE BLUFF-JEFFERSON COUNTY ECONOMIC OPPORTUNITIES COMMISSION, INC. (PB-JCEOC) 817 SO. CHERRY STREET POST OFFICE BOX 7228 PINE BLUFF, ARKANSAS 71611 CHARLES CUNNINGHAM, INTERIM EXECUTIVE DIRECTOR (870) 536-0046</p>	<p>ARKANSAS</p>

CONGRESSIONAL DISTRICT 2

AGENCIES	COUNTIES
<p>CENTRAL ARKANSAS DEVELOPMENT COUNCIL (CADC) 722 GAUNT STREET POST OFFICE BOX 580 BENTON, ARKANSAS 72018 LARRY COGBURN, EXECUTIVE DIRECTOR (501) 315-1121</p>	<p>SALINE</p>
<p>COMMUNITY ACTION PROGRAM FOR CENTRAL ARKANSAS, INC. (CAPCA) 707 ROBINS STREET, SUITE 118 PHYLISS FRY, EXECUTIVE DIRECTOR (501) 329-3891</p>	<p>FAULKNER WHITE</p>
<p>CENTRAL ARKANSAS DEVELOPMENT COUNCIL (CADC) 5620 W. 12TH STREET, SUITE 9 LITTLE ROCK, ARKANSAS 72204 LARRY COGBURN, EXECUTIVE DIRECTOR (501) 603-0909</p>	<p>PULASKI</p>
<p>OZARK OPPORTUNITIES, INC. (OOI) 701 EAST PROSPECT POST OFFICE BOX 1400 HARRISON, ARKANSAS 72602 ROGER RATCHFORD, EXECUTIVE DIRECTOR (870) 741-9406</p>	<p>VAN BUREN</p>
<p>UNIVERSAL HOUSING DEVELOPMENT CORPORATION (UHDC) 301 EAST THIRD STREET POST OFFICE BOX 846 RUSSELLVILLE, ARKANSAS 72801 PATRICIA ATKINSON, EXECUTIVE DIRECTOR (479) 968-5001</p>	<p>CONWAY YELL PERRY</p>

CONGRESSIONAL DISTRICT 3

AGENCIES	COUNTIES
<p>CRAWFORD-SEBASTIAN COMMUNITY DEVELOPMENT COUNCIL, INC. (C-SCDC) 4831 ARMOUR STREET POST OFFICE BOX 4069 FORT SMITH, ARKNASAS 72914 MARK WHITMER, EXECUTIVE DIRECTOR (479) 785-2303</p>	<p>CRAWFORD SEBASTIAN</p>
<p>OFFICE OF HUMAN CONCERN, INC. (OHC) 506 EAST SPRUCE STREET POST OFFICE BOX 778 ROGERS, ARKANSAS 72757 AL WEST, EXECUTIVE DIRECTOR (479) 636-7301</p>	<p>BENTON CARROLL MADISON WASHINGTON</p>
<p>OZARK OPPORTUNITIES, INC. (OOI) 701 EAST PROSPECT POST OFFICE BOX 1400 HARRISON, ARKANSAS 72601 ROGER RATCHFORD, EXECUTIVE DIRECTOR (870) 741-9406</p>	<p>BAXTER BOONE MARION NEWTON</p>
<p>UNIVERSAL HOUSING DEVELOPMENT CORPORATION (UHDC) 301 EAST THIRD STREET POST OFFICE BOX 846 PATRICIA ATKINSON, EXECUTIVE DIRECTOR (479) 968-5001</p>	<p>FRANKLIN JOHNSON LOGAN POLK POPE SCOTT</p>

CONGRESSIONAL DISTRICT 4

<p>CENTRAL ARKANSAS DEVELOPMENT COUNCIL (CADC) 722 GAUNT STREET POST OFFICE BOX 580 BENTON, ARKANSAS 72018 LARRY COGBURN, EXECUTIVE DIRECTOR (501) 315-1121</p>	<p>CALHOUN CLARK COLUMBIA DALLAS HOT SPRINGS OUACHITA MONTGOMERY PIKE UNION</p>
<p>COMMUNITY SERVICES OFFICE, INC. (CSO) 600 WEST GRAND POST OFFICE BOX 1175 HOT SPRINGS, ARKANSAS 71902 LEON MASSEY, EXECUTIVE DIRECTOR (501) 624-5724</p>	<p>GARLAND</p>
<p>PINE BLUFF-JEFFERSON COUNTY ECONOMIC OPPORTUNITIES COMMISSION, INC. (PB- JCEOC) 817 CHERRY STREET POST OFFICE BOX 7228 PINE BLUFF, AR 71603 CHARLES CUNNINGHAM, INTERIM EXECUTIVE DIRECTOR (870) 741-9406</p>	<p>CLEVELAND JEFFERSON LINCOLN GRANT</p>
<p>SOUTHEAST ARKANSAS COMMUNITY ACTION CORPORATION (SEACAC) 1208 MYRTLE STREET POST OFFICE BOX 312 WARREN, ARKANSAS 71671 LARY HENDERSON, EXECUTIVE DIRECTOR (870)226-2668</p>	<p>ASHLEY BRADLEY CHICOT DESHA DREW</p>
<p>SOUTHWEST ARKANSAS DEVELOPMENT COUNCIL (SWADC) 3902 SANDERSON LANE TEXARKANA, ARKANSAS RICKY PONDEXTER, EXECUTIVE DIRECTOR (870) 773-5504</p>	<p>HEMPSTEAD HOWARD LAFAYETTE LITTLE RIVER MILLER NEVADA SEVIER</p>

**ADMINISTRATIVE
EXPENDITURE
LIMITS**

Administrative Expenditure Limits

Allowable expenditure under this part. Allowable expenditure for the Arkansas Weatherization Program shall be in accordance with 440.18 (c), (d) and (e).

In compliance with P.L. 101-440, which allows some subgrantees to use up to an additional five percent of their subgrants for administrative purposes, the following criteria is submitted:

- A. Arkansas has 15 subgrantees and all will receive more than \$350,000 in grant funds for the grant period, therefore administrative costs will be in accordance with 440.18d.

Expenditures not allowed under 10 CFR 440.18 (e).

No grant funds awarded under this part shall be used for any of the following purposes:

- A. To weatherize a dwelling unit which is designated for acquisition or clearance by a federal, state, or local program within twelve months from the date weatherization of the dwelling unit would be scheduled to be completed; or
- B. To install or otherwise provide weatherization materials for a dwelling unit weatherized previously, except the following:

A house may be weatherized if it was previously weatherized prior to September 30, 1994. Unless such dwelling unit has been damaged by fire, flood or act of God and repair of the damage to weatherization materials is not paid for by insurance.

- C. Low-cost/no-cost weatherization shall be allowed.

MONITORING APPROACH

STATE: ARKANSAS

REGULATION REFERENCE: 440.14(b)(9)(i)

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT: The state assesses the quality of work by use of on-site monitoring and evaluation and in-house review of monthly expenditure and program reports.

POLICY/PROCEDURE:

The manner in which the State Plan is to be implemented:

1. An analysis of the existence and effectiveness of any weatherization project being carried out by a subgrantee.

The Arkansas Weatherization Office analyzes the effectiveness of State's ARRA Weatherization projects through its ongoing monitoring activities.

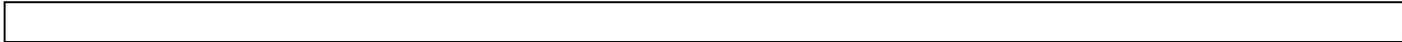
The monitoring activities of the Arkansas Weatherization Office serve three principle purposes:

- To disclose areas of non-compliance with contract and programmatic regulations;
- To identify technical assistance needs among program personnel, provide training to correct deficiencies, identify and resolve questions about program operations;
- To assure quality workmanship on homes weatherized.

Monthly monitoring activities occur in OCS as staff reviews the monthly reports from the subgrantees. The monitoring lends itself to in-office or desk-top review since the fiscal records are readily accessible and financial staff is usually available for consultation.

Before making a monitoring visit, the monitor reviews all reports, requests and pertinent correspondence from the agency to be visited to get an idea of the agency's performance over a period of several months. The audit for the last contract period and the monitoring reports made previously are also reviewed. Year-to-date statistical data is compiled monthly.

The monitor also reviews the production schedule for each agency based on the Arkansas ARRA weatherization allocation formula and compares it to projections and expenditures.



Subgrantees are monitored a minimum of two times annually, but may be required more often if requested by the agency or is deemed necessary by the State Weatherization Office.

Monitoring and evaluation activities include:

- a. Review of the office procedures to determine if all systems are functioning according to written procedures;
- b. Review the client intake procedures, i.e., income guidelines and point system;
- c. Review client files for accuracy and completeness;
- d. Review staffing levels and identify labor problems;
- e. Review material management controls, check warehouse inventory/tools and equipment;
- f. Review Financial Management System;
- g. Review safety issues;
- h. Make at least one home inspection per crew of completions and/or units in progress;
- I. Hold an exit interview with the Program Director and Executive Director, and plan follow-up visits. Following the visit, the monitor files a written report with the Executive Director and/or designee(s), and summarizes the findings along with suggested corrective action and comments.
 - 1) Two full-time monitors will be involved in regularly monitoring the program. The services of the Office of Financial Management will be utilized on an as needed basis.
 - 2) Each subgrantee will be monitored a minimum of two times annually. At least ten percent of the homes weatherized will be inspected by state staff to insure quality control and accountability.
 - 3) Monthly reports, statistical review and monitoring and evaluation instruments are part of the weatherization manual.
 - 4) In addition to the system for resolving problems described, reference the T/TA portion of the state plan which will detail training designed to eliminate problems.
 - 5) Subgrantee Performance Evaluations are conducted through the monitoring process. Subgrantee performance standards are contained in the manual and the subgrantees are evaluated as to whether they are meeting those standards. Two substandard performance ratings by a subgrantee could result in a public hearing process to determine the adequacy of that subgrantee.

MONITORING PLAN

The monitoring plan will be used to monitor DOE ARRA funds.

Monthly and quarterly reports will be submitted as required.

1. Improvements Based on Findings

Subgrantees have made improvements in use of new technology (blower door and carbon monoxide tester), inside caulking, solving moisture problems, and implementation of NEAT and MHEA.

2. Resources for Monitoring

a) Monitoring Staff:

Two full-time monitor positions will be utilized to monitor Arkansas' 15 subgrantees. In addition to the full-time monitors, the state has a Weatherization Training Coordinator and a Weatherization Program Administrator. All present state weatherization program staff have years of experience in weatherization.

b) Dollars:

The monitoring activities will be accomplished with 100% administrative funds.

3. Number of Visits

Each subgrantee will be monitored/evaluated at least two times annually.

4. Number of Units Inspected

Ten percent of the units weatherized will be inspected.

5. Files inspected

Ten percent of the units claimed as completions will be inspected.

6. Specifications of Materials

Monitors will examine materials in inventory to determine if the labels meet ARRA DOE requirements and standards. Subgrantees will also list federal specifications in advertisement bids.

7. Monitoring of Prices Paid for Materials

Subgrantees are required to have written procurement procedures which provide for compliance with OMB and DOE guidelines.

8. Pre/Post Inspections

The State monitors a statistically valid number of units for workmanship and compliance with the energy audit.

9. Monitoring Instrument

Each monitoring visit includes a review of program management, client files, procurement, inventory control, field home inspections, entrance and exit conferences. A written monitoring report is submitted to the program administrator within five working days after the visit. The report shall contain a summary of each system monitored, list of findings, units visited, and suggestions for corrective actions.

10. System for Resolving Problems

The subgrantee is required to submit a corrective action plan to remedy any deficiencies within 15 days of the date of the monitoring report. Follow-up visits will continue until the deficiencies have been corrected or until two consecutive quarterly evaluations with serious deficiencies may merit placing the subgrantee on probation. Follow-up action by the Office of Community Services' Assistant Director, if determined justifiable, could result in withholding of funds from such subgrantee. If deficiencies are serious enough to merit defunding a subgrantee, a public hearing will be arranged to receive comment(s).

11. Priority List

The state will use NEAT to determine priorities on single family units. The mobile home audit is being used to determine measures on mobile homes.

The process will be reviewed periodically to take into consideration new technology and funding flexibility.

The state reviews its maximum costs per unit annually. The cost is adjusted based on the average expenditure per unit the previous year.

12. Monitoring activities of the Arkansas Weatherization Office serve three principle purposes:

- A. To disclose areas of non-compliance with contract and programmatic regulations;
- B. To identify technical assistance needs among program personnel, provide training to correct deficiencies, and identify questions concerning program operations;
- C. To assure quality workmanship on homes weatherized.

Monthly monitoring activities occur in OCS as staff reviews the monthly reports from the subgrantees. The monitoring lends itself to in-office or desk-top review since the fiscal records are readily accessible and the financial staff is usually available for consultation.

Before making a monitoring visit, the monitor reviews all reports, requests, and pertinent correspondence from the agency to be visited to get an idea of the agency's performance over a

period of three months. The audit for the last contract period and the monitoring reports made previously are also reviewed. Year-to-date statistical data is compiled monthly. The monitor also reviews the production schedule for each agency based on the Arkansas Weatherization Assistance Program allocation formula and compares it to projections and expenditures.

Subgrantees are monitored a minimum of two times annually, but is made more often if requested by the agency or if deemed necessary by the State weatherization office. Monitoring activities include:

- a) Review of the office procedures to determine if all weatherization systems are functioning according to written procedures;
- b) Review the client intake procedures, i.e., income guidelines and point system;
- c) Review the client files for accuracy and completeness;
- d) Review staffing levels and identify labor problems;
- e) Review material management controls - review warehouse inventory, tools, and equipment;
- f) Review purchasing system; and financial information.
- g) Review safety issue;
- h) Using the Building Check Job Order Sheet (BCJOS) and Client file, make at least one inspection per crew of completions and/or units in progress; and
- i) Hold an exit interview with the Program Director and Executive Director, if available, and plan follow-up visits.

Following the visit, the monitor files a written report with the Office of Community Services' Weatherization Assistance Program Administrator and summarizes the findings along with recommendations and comments.

If serious deficiencies are listed, the subgrantee is required to submit to the Office of Community Services, within fifteen days, a corrective plan of action to remedy the deficiencies.

Follow-up monitoring visits will continue until the deficiencies have been corrected or until two consecutive quarterly evaluations listing serious deficiencies have been made, which may merit placing the subgrantee on probation. Follow-up action by the Office of Community Services' Assistant Director, if determined justifiable, could result in withholding of funds from such subgrantee. If deficiencies are serious enough to merit defunding a subgrantee, a public hearing will be arranged to receive comments.

1. Two full-time monitors will be involved in monitoring of the program. Services of the Division of Finance will be obtained on an as needed basis.

2. All subgrantees will be monitored twice annually at a minimum.
At least ten percent of the units weatherized in the state will be inspected by state staff to insure quality control and accountability.
3. Statistical reviews are compiled monthly from subgrantee reports.
4. In addition to the system for resolving problems described above, reference the T/TA portion of the plan.
5. Subgrantee Performance Evaluations are conducted in the last quarter of each program year.

All subgrantees are required to conduct a single agency audit in accordance with OMB Circular A-133 covering all funds received by the agency. A copy of the report will be provided directly to the Department of Human Services, Office of Chief Counsel.

1. Audits shall be made in accordance with the General Accounting Office (GAO) Standards for Audit of Governmental Organizations, Programs, Activities and Functions; the GAO Guidelines for Financial and Compliance Audits of Federally Assisted Programs; OMB-approved audit compliance supplements; and generally accepted auditing standards established by the American Institute of Certified Public Accountants.
2. An audit shall be conducted and the results reported in accordance with OMB Circular A-133, and the audit work papers and reports shall be retained for a minimum of three years from the date of audit report.
3. If the audit report does not meet the standards of Circular A-133, the subgrantee will receive notice as to what further action, if any, is necessary to meet the requirements.
4. Audits shall be made annually and submitted to OCS 120 days after the audit has been completed. The audit must meet standards set forth in Circular A-133.
5. All subgrantees shall submit a close-out report of their weatherization program forty five days after the end of the DOE fiscal year.

1001 Client Files

Definition: Client files are defined as those files that contain information on the recipients of weatherization services.

Policy: The weatherization monitor will review a minimum of ten client files on each monitoring visit.

Procedure: The monitor will check the files for the following information:

- a. Application - signed by client, dated and income certified and verified by agency representative.
- b. Rental Agreement - signed by both parties and dated.
- c. Client Response Form - signed by client or a note why client did not sign.
- d. Building Check Job Order Sheet - with materials listed in correct categories, priority list on front, start and completion dates, labor hours and pre-audit dates.
- e. Post Inspection Sheet - signed, dated, client name, address and job number.
- f. Form WAP 8405 - signed by client and agency representative or its equivalent (Fair Hearing).
- g. Material distribution of all materials on unit from warehouse to the unit.
- h. Invoice for any material purchase for unit.

1002 Procurement

Definition: Procurement is defined as the purchasing or leasing of goods and services \$500 and over.

Policy: The weatherization monitor will review all purchases since the last monitoring visit to determine if procurement procedures are followed.

Procedure: The weatherization monitor will review the following:

- a. The subgrantee written policy and procedures that govern procurement for compliance with state and federal guidelines.
- b. Solicitation records based on clear and accurate description of the technical requirements of the procured item.
- c. Procurement records and files of purchases shall include:
 - (i) Contractor selection or rejection.
 - (ii) The basis for the cost or price.
- d. A system for contract administration for ensuring that the contractor conforms with the terms, conditions and specification of the contract, and to ensure adequate and timely follow-up of all purchases.
- e. Purchases up to \$5,000 may be made without competitive bids however, competition should be used to the maximum extent practicable.
- f. Purchases that exceed \$5,000.00 and up to \$25,000.00 shall require at least three informal bids. These may be either verbal or written. The records should indicate these bids and how they were obtained.
- g. Purchases over \$25,000.00 shall be made only after receiving competitive sealed bids in response to advertised requests.

Weatherization monitors will become familiar with state and federal procurement procedures.

1003 Inventory Control

Definition: Inventory control is defined as the method used to track and control weatherization materials and tools.

Policy: Weatherization monitors will review written inventory procedures to determine if subgrantee is in compliance with minimum standards as stated in the Arkansas Minimum Performance Standards (AMPS) or its equivalent.

Procedure: The monitor will review the following:

- a. Written policy vs. actual practice.
- b. Identify type of inventory control system.
- c. Monitor will track a minimum of 10% of client files through the system.
(Monitor will note any variance from written procedures.)
- d. Inventory records to see if they are posted to date and if materials can be traced to the client unit and back into the warehouse, and if excess materials were checked out of the warehouse.
- e. Once yearly, the monitor will reconcile inventory.
- f. The inventory control system to determine if it conforms with the minimum controls outlined in the Arkansas Minimum Performance Standards. Verify financial information based on the amount of funds requested on quarterly reports.

1004 Field/Home Inspection

Definition: Field/Home Inspection is defined as the inspection of the unit using the OCS Home Inspection Sheet and the standards set forth in this manual and the Arkansas Weatherization Minimum Performance Standards.

Policy: The weatherization monitor will inspect a minimum of ten percent of the units weatherized since his last visit, on each monitoring visit.

Procedure: The monitor will randomly select an appropriate number of units weatherized since the last monitoring visit and inspect each unit using the OCS Home Inspection Sheet. The monitor will use the standards listed in the weatherization installation standards manual.

1005 Entrance Interview

Definition: Entrance interview is the meeting with the Executive Director or his designee, the Weatherization Director and other staff designated by the Executive Director to explain the purpose of the monitoring visit, the procedures to be used and the time frame involved.

Policy: Before each monitoring visit the weatherization monitor will hold an entrance conference.

Procedure: As defined in definition.

1006 Exit Conference

Definition: The exit conference is the meeting after the monitoring visit is completed to explain the findings and make suggestions or recommendations. The exit conference shall involve the Executive Director or his designee, the Weatherization Director, and other staff as designated by the Executive Director.

Policy: Each monitoring visit will conclude with an exit conference. No monitoring visit is complete until the exit conference has taken place.

Procedure: All recommendations, suggestions, shall be in accordance with written rules, regulations, policies, procedures, or accepted practices. If in doubt, contact the State Weatherization Director.

The weatherization monitor shall prepare a written summary of his findings and recommendations for the exit interview. This summary will be placed on file to verify monitors position in case of complaints or questions.

1007 The Written Monitoring Report

Definition: The written monitoring report is a statement of facts, findings, recommendations or concerns that is prepared for the State Weatherization Program Administrator after each visit. The report is sent to the Executive Director of the agency monitored, for corrective action and to inform him/her of the program's progress.

Policy: A written monitoring report is due to the State Weatherization Program Administrator at least five days after the monitoring visit.

Procedure: The written report shall state:

- A. A summary of each system monitored.
 - 1. Program Management
 - 2. Client Application Procedures
 - 3. Inventory Process
 - 4. Procurement Procedures

- B. List of Findings.

- C. Units Visited:
 - 1. Job number, name, address of each unit visited.
 - 2. Description of unit by priority measure.

- D. Suggestions for Corrective Actions.



**American Recovery and Reinvestment Act of 2009
ARKANSAS WEATHERIZATION ASSISTANCE PROGRAM**



Monitoring Report

Monitor: _____ Visit Dates: Enter a date. to Enter a date.

DESK AUDIT

I. Agency Profile

Agency Legal Name	Grant #	Vendor #
Physical Address Fax	Purchase Order #	EIN #
Mailing Address (if different) Fax	Outline Agreement #	DUNS #
Weatherization Office Address (if different) Fax		

Weatherization Contacts

Executive Director	Phone	Ext.	Email Address
Weatherization Director	Phone	Ext.	Email Address
Financial Officer	Phone	Ext.	Email Address
Other Contact/Title	Phone	Ext.	Email Address
Other Contact/Title	Phone	Ext.	Email Address

Other Weatherization Facilities

Address	Address
Purpose	Purpose
Service area (s)	

Notes and/or Findings:

- a. Is all contact information current and up to date? Yes No
 - (1) Has agency DUNS Number been updated in the last 12 months? Yes No
 - (2) Has DHS been notified of ED, finance officer and/or WX. Director personnel changes? Yes No
- b. Has agency met all monthly, quarterly reporting deadlines for the current review period? Yes No
- c. Do agency and contractors have liability and workman's compensation insurance for WX employees? Yes No
- d. Does agency have current audit on file? If yes, note any findings below. Yes No

Notes:

II. Current Contracts, Budgets and Goals

Budget Allocation				Client Service Goals		
	Allocation	Total Received	Total Expenditures		PY 09-12 Goal	Actual YTD
Materials	\$0.00			Elderly		
Program Support	\$0.00			Disabled		
Liability Insurance	\$0.00			Children		
Financial Audit	\$0.00			Native American		
Health and Safety	\$0.00			Owner Occupied Home		
Administration	\$0.00			Rental (Single-family)		
T & TA	\$0.00			Rental (Multi-family)		
TOTALS				Owner Occupied Mobile		
				Renter Occupied Mobile		

Cash on hand _____ **Material Cost/Unit**
(percent of WX cost/unit)

WX Cost/Unit _____ **Prog. Supp. Cost/Unit**
(percent of WX cost/unit)

← **Figures from most recent monthly report.**

Unit Production Goals by County

	PY09-12 Goal	Annual Goal	Actual Units		PY09-12 Goal	Annual Goal	Actual Units		PY09-12 Goal	Annual Goal	Actual Units
N/A			N/A				N/A				
N/A			N/A				N/A				
N/A			N/A				N/A				
N/A			N/A				N/A				

Findings:

- a. Does the agency have a file for the current contract and amendments, duly executed by both parties?... Yes No N/A
 - (1) Does the contract include all required ARRA clauses including Davis-Bacon, etc.? Yes No N/A
 - (2) Does the contract contain special conditions specific to this organization?..... Yes No N/A
- b. Are agency expenditures +/- ten percent of budget allocations? Yes No N/A
- c. Is agency within allowable limits for materials, program support and health and safety per unit? Yes No N/A
 - (1) Has agency amortized vehicle/equipment expenses?..... Yes No N/A
- d. Is the WX program serving clients throughout the entire geographic service area? If not, why? Yes No N/A
- e. Does weatherization program have more than three days of operating cash on hand? If yes, explain Yes No N/A
- f. Is agency meeting unit production and client service goals, if no, does the agency have a plan to meet these targets by the end of the grant period? Yes No N/A

Notes:

FIELD AUDIT

III. Program Operating Procedures

Outreach and Intake Mechanisms	Income Verification
Mailings <input type="checkbox"/> Yes <input type="checkbox"/> No	Letter/Verification <input type="checkbox"/> Yes <input type="checkbox"/> No
Radio/TV public service announcements <input type="checkbox"/> Yes <input type="checkbox"/> No	Copies of checks/stubs <input type="checkbox"/> Yes <input type="checkbox"/> No
Referrals from fuel assistance programs <input type="checkbox"/> Yes <input type="checkbox"/> No	Income Tax Return <input type="checkbox"/> Yes <input type="checkbox"/> No
Referrals from local agencies <input type="checkbox"/> Yes <input type="checkbox"/> No	Signed statement from intake worker <input type="checkbox"/> Yes <input type="checkbox"/> No
Other: _____ <input type="checkbox"/> Yes <input type="checkbox"/> No	Self-certification <input type="checkbox"/> Yes <input type="checkbox"/> No

Client Education, Selection and Notification

<p>How is client education handled?</p> <input type="checkbox"/> Home visit prior to or at weatherization <input type="checkbox"/> Group class prior to or at weatherization <input type="checkbox"/> Phone call(s) prior to or at weatherization <input type="checkbox"/> Other: _____	<p>Waiting Lists</p> <ul style="list-style-type: none"> ▪ Number of clients waiting for WX services _____ ▪ Avg. wait time from intake to service _____ ▪ One waiting list for ARRA and Reg. DOE? <input type="checkbox"/> Yes <input type="checkbox"/> No
<p>When home is scheduled for WX, clients are notified by:</p> <input type="checkbox"/> Letter: <input type="checkbox"/> Email: <input type="checkbox"/> Telephone: <input type="checkbox"/> Home/Office visit:	<p>Eligible applicants receive priority based on:</p> <input type="checkbox"/> Disability <input type="checkbox"/> Age, seniors 60+ <input type="checkbox"/> Age, children under 19 <input type="checkbox"/> Household size <input type="checkbox"/> Fuel Assistance enrollment <input type="checkbox"/> Type/cost of primary fuel <input type="checkbox"/> Time on waiting list <input type="checkbox"/> Emergency referral <input type="checkbox"/> Other: _____
<p>If agency cannot contact client at time of WX, client is:</p> <input type="checkbox"/> Taken off waiting list <input type="checkbox"/> Contacted at later date <input type="checkbox"/> Other: _____	

Is Pub 344: Anti-Discrimination Poster (Rev. 12/05) visible to clients at agency? Yes No

Is Pub 345: Anti-Discrimination booklet (Rev. 4/00) available for client education purposes? Yes No

Notes and/or Findings:

- a. Do outreach mechanisms cover the agency's entire service area? Yes No
- b. Are eligible applicants notified in writing of client selection and waiting list procedures? Yes No
- c. Are ineligible applicants notified promptly and in writing with an explanation of why they are ineligible? Yes No
- d. Is agency using the WX database to record client data and prioritize homes? If no, complete d(1) and d(2) Yes No
 - (1) Does agency have a physical waiting list of clients, if no, explain Yes No
 - (2) Is physical waiting list updated and based on priority/points system? If no, explain N/A Yes No
- e. Does agency permit self-certification of income? Yes No
- f. Does agency obtain/update income documentation within 30 days of intake and weatherization work? Yes No
- g. Are non-discrimination posters and materials readily available/visible to clients? Yes No
- h. Does agency meter at least 10 percent of all refrigerators slated for replacement? Yes No

Notes:

Training & Job Scheduling

Which groups are eligible for WAP-paid training?

- Energy auditors
- Financial personnel
- HVAC workers
- Inspectors
- Insulators
- Supervisors
- Weatherization workers
- Other: _____

Which training topics were covered during the review period?

- Energy audit
- Final inspection
- HVAC
- Lead-based paint
- Mold and mildew
- Procurement
- Program management
- Other: _____

How do WX workers and/or contractors receive training?

- State-provided trainer/workshop
- In-house workshops/On-the-job training
- Private training courses
- Conferences
- Other: _____

Factors used to determine crew/contractor scheduling include:

- Travel distance
- Estimated Cost
- Type of job (i.e. trailers, multi-family)
- Type of work (specialized measures)
- Availability of crews/contractors
- Other: _____

How are training hours documented?

- Individual personnel records/logs
- Training sign-in sheets
- No documentation
- Other: _____

How many refrigerators are metered?

- 10 percent of all refrigerators
- 10 percent of refrigerators scheduled for replacement
- 15 percent of refrigerators scheduled for replacement
- Other: _____

Davis-Bacon Wages, Forms and Record-keeping

Does agency have 1413 on file with OCS?	<input type="checkbox"/> Yes <input type="checkbox"/> No	List Contractor(s)	1413 On File	Cert's on File
Do vendor contracts contain D-B clauses?	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is OCS in receipt of all cert. payroll forms?	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are Davis-Bacon wages posted at job sites?	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are Davis-Bacon poster(s) visible at job sites?	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are there Spanish-speaking workers on the job?	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is agency paying prevailing wages as req'd?	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does agency plan to add wage categories?	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

Notes and/or Findings:

- a. Does agency have policy regarding paying for training with federal/ARRA funds? Yes No
- b. Have all estimators and weatherization workers received training during the current review period? Yes No
 - (1) Are training hours documented for each employee, contractor and/or subject area? Yes No
- c. Does agency adequately segregate duties of fiscal and program personnel? If no, explain. Yes No
- d. Are written policies in place to prevent nepotism, cronyism, conflicts of interests, etc.? If no, explain. Yes No
- e. Is agency rep confident about accomplishing program goals with current staffing levels/configuration? Yes No
 - (1) Are there any critical staff vacancies or plans to hire additional staff? Yes No
- f. Is agency in compliance with Davis-Bacon prevailing wage and payroll certification rules? Yes No
 - (1) Are payroll certifications missing? Yes No
 - (2) Are 1413 forms missing? Yes No
 - (3) Is agency giving adequate notice to employees of their rights and wages under Davis-Bacon? Yes No

Notes:

V. Inventory Control

Materials Inventory

How does agency purchase materials?

	By the Job	Bulk	N/A
Insulation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Air infiltration items: <i>Caulk, outlet gaskets, door sweeps, Great Stuff, etc.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Storm windows.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Windows.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Doors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Repair materials.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Refrigerators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cook stoves	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

How often is a physical inventory performed?

- Daily Weekly
 Bi-monthly Monthly
 Semi-monthly Other: _____

Date physical inventory was last performed: _____

Which items are reconciled with inventory records?

- All items
 Items valued over specified dollar amount (\$ _____)

How are materials stored?

- No storage, contractor supplies all materials
 One warehouse
 More than one agency warehouse
 Other: _____

If agency uses a warehouse:

- Is it adequate to meet program needs? Yes No
 Is it reasonably accessible for staff? Yes No
 Is it adequately secured? Yes No
 Is it reasonably clean and organized? Yes No

Was there any variance after the last physical inventory?

Item	Qty. +/-	% Variance	\$ Value

- Are records adjusted if variance exists? Yes No
 Have any materials been disposed of? Yes No

Vehicle and Equipment Inventory

Vehicle Type	Qty.	Year of Lifespan
		/8
		/8
		/8
		/8
		/8

Has any vehicle or equipment been disposed of or replaced? Yes No

How often is a phys. inventory taken for vehicles and equip.?

- Daily Weekly
 Bi-monthly Monthly
 Semi-monthly Other: _____

Equipment Type (over \$500)	Qty.

Equipment Type (over \$500)	Qty.

Notes and/or Findings:

- a. Does the agency have a written inventory control policy that makes it possible to track material(s) used on an individual home back to the point of purchase? Yes No N/A
 b. Was the last physical inventory performed more than 30 days ago? Yes No N/A
 c. Were all items reconciled after the most recent physical inventory? Yes No N/A
 d. Are there written procedures for inventory items that comply with state/federal law? Yes No N/A
 (1) Do written procedures reflect actual practice? Yes No N/A
 e. Has worn out or obsolete inventory/equipment been disposed of according to agency policy? Yes No N/A

Notes:

VI. Procurement

Actual Agency Practices

Describe agency procurement practices for purchases under \$5,000:

(Attach example(s) of process/documentation used for most recent purchase)

Describe agency procurement practices for purchases more than \$5,000 and less than \$25,000:

(Attach example(s) of process/documentation used for most recent purchase)

Describe agency procurement practices for purchases over \$25,000:

(Attach example(s) of process/documentation used for most recent purchase)

Official Agency Policy Requires...

Evaluation of lease/purchase options	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Bids period over 5 <30 days for sealed bids	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Clear, specific technical specifications	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Publicly bid opening, w/ one or more witness	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Use of appropriate procurement instrument	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Selection of lowest/most advantages bid	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Selection of capable/competent contractors	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Permission from OCS for sole-source	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Three bids for purchases over \$5K<\$25K	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Written contracts signed by all parties	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Sealed bids for purchases > \$25K	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Contracts include oversight mechanisms	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Items not be split to avoid regulations	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Efforts to contract with minority businesses	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Public notice in paper for purchases > \$25K	<input type="checkbox"/> Yes	<input type="checkbox"/> No			

Notes and/or Findings:

- a. Does agency have a written procurement policy? Yes No
- b. Does written procurement policy comply with all OCS guidelines?..... Yes No
- c. Does actual practice meet OCS procurement guidelines? Yes No

Notes:

VII. File Reviews and Home Inspections (See attachments)

Selection Procedures

Which files were reviewed?

- All files completed since last review
- Some files completed since last review
- Applicant files/homes scheduled for WX
- None:

How were files selected for review?

- Monitor randomly selected a percentage or number ()
- Program staff selected a percentage or number ()
- Monitor selected some () and program staff selected some ()
- N/A

Which homes were inspected?

- All homes completed since last review
- Some completed homes since last review
- None, clients unavailable
- None:

How were homes selected for inspection?

- Monitor randomly selected a percentage/number ()
- Program staff selected a percentage or number ()
- Monitor selected some () and program staff selected some ()
- N/A

Home and File Counts

How many homes were completed during the review period? _____

How many files were reviewed during this visit? _____

- Pending applications Completed home files N/A

How many homes were inspected by the OCS monitor during this visit? _____

File Numbers: _____

Notes and/or Findings:

- a. Are client files complete with all required documentation? N/A Yes No
 - 1) For applicant households:
 - i. Were all applications fully completed? N/A Yes No
 - ii. Is income documentation dated within 30 days of intake? N/A Yes No
 - iii. Was client notified in writing of waiting list procedures? N/A Yes No
 - 2) For completed homes:
 - i. Are client education and response forms signed by client? N/A Yes No
 - ii. Is health and safety checklist form fully completed? N/A Yes No
 - iii. Were all energy audit priorities addressed (cumulative and individual SIR of 1 or more)? ... N/A Yes No
 - iv. Were items repaired, replaced, or installed that were not called for by NEAT/MHEA? N/A Yes No
 - v. Are all materials listed on the BCJOS (job sheet) visible in the home? N/A Yes No
 - vi. Is there documentation of final inspection? N/A Yes No
 - vii. Were any "reworks" or deficiencies indicated in client files? N/A Yes No
 - viii. If reworks were noted, is there evidence issues were corrected and re-inspected? N/A Yes No
 - ix. Was WX work performed by same person who completed the final inspection? N/A Yes No

Notes:

VIII. Findings Summary

For each item, indicate whether the agency meets program guidelines and whether documents are attached.

I. Agency Profile		Yes	No	Doc'ts	
a.	Contact information is accurate and up to date	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b.	WX program met all monthly, quarterly reporting deadlines for the current review period	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c.	Agency maintains current liability and workman's compensation insurance coverage for employees and proof of insurance for contractors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
d.	Agency has had financial audit within the last 12 months and resolved any findings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
II. Current Contracts, Budgets and Goals		Yes	No		
a.	WX program has copies of the current contract, signed and duly executed by all parties	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b.	WX program expenditures are not within 10 percent of budget allocations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c.	WX program is within allowable limits for materials, program support and health and safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
d.	WX program serves clients throughout its entire service area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
e.	WX program does not have more than three days of operating cash on hand	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
f.	WX program is meeting unit production and client service goals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
III. Program Operating Procedures		Yes	No		
a.	WX program's outreach mechanisms cover the entire service area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b.	Eligible WX applicants are notified in writing of selection and waiting list procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c.	Ineligible WX applicants notified promptly and in writing of why they are ineligible	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
d.	WX program is using the WX database to record client data and prioritize homes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
e.	WX program does not permit self-certification of income	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
f.	WX program obtains/updates proof of income within 30 days of intake and weatherization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
g.	Non-discrimination materials are visible/available to all clients	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
h.	Agency meters at least 10 percent of all refrigerators slated for replacement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
IV. Personnel and Staffing		Yes	No	Doc'ts	
a.	Agency has policy regarding paying for training with federal funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b.	WX staff received training during the current review period	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c.	Agency adequately segregates duties of fiscal and program personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
d.	Agency has written policies to prevent nepotism, cronyism and/or conflicts of interest	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
e.	WX program has adequate staff to meet unit production goals and reporting requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
f.	Agency complies with Davis-Bacon prevailing wage and payroll certification rules	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
V. Inventory Control		N/A	Yes	No	Doc'ts
a.	WX program has a written inventory control policy that makes it possible to track material(s) used on an individual home back to the point of purchase?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b.	WX program conducted physical inventory less than 30 days ago	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c.	All items were reconciled after the most recent physical inventory	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d.	Agency has written procedures for disposing of inventory complies with state and federal regulations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e.	Worn out, obsolete, or damaged inventory was disposed of pursuant to agency policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
VI. Procurement		N/A	Yes	No	Doc'ts
a.	Does agency have a written procurement policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b.	Does written procurement policy comply with all OCS guidelines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c.	Does actual practice meet OCS procurement guidelines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
VII. File Reviews and Home Inspection		N/A	Yes	No	Doc'ts
a.	All files are complete, with all required documentation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Interview Contact(s):

Name	Title	Date

I wish to express my thanks to the above personnel for their cooperation and consideration during this visit.

OCS, Weatherization Assistance Program Monitor

1008 The Home Inspection Sheet

Policy: A home inspection sheet will be completed on each unit inspected on the monitoring visit.

EVALUATION

OFFICE OF COMMUNITY SERVICES
WEATHERIZATION ASSISTANCE PROGRAM EVALUATION PLAN

The Weatherization Director should be prepared for an evaluation visit from the Office of Community Services weatherization monitors in the last quarter of the contract period. This evaluation should not be viewed with reluctance, rather, as an opportunity for someone from the outside to assess program activities and make recommendations.

The state evaluation activities typically take 2 or more days. These days consist of reviewing the following:

1. Program client files
2. Financial records
3. Contract with the state
4. Financial operations manual
5. Procurement files and Policy and Procedures
6. Property records
7. Inventory Management System
8. Lead Safe Work Practices

The monitor will be looking at the system the agency has for insuring that all DOE regulations and requirements are being met. The areas which the monitor assesses include:

Regulatory

1. Verification of client eligibility
2. Verification that dwelling unit has not previously been weatherized with DOE funds
3. Materials dollar limitation was not exceeded
4. Repair cost dollar limitation was not exceeded
5. Materials used meet DOE standards
6. Federal and State guidelines were followed regarding:
 - a. Cash depositories
 - b. Bonding and insurance
 - c. Record retention
 - d. Program income
 - e. Standards for grantee financial management
 - f. Financial reporting
 - g. Monitoring and reporting program performance
 - h. Grant payment requirements
 - i. Budget revision procedures
 - j. Grant close-out procedures
 - k. Procurement procedures
 - l. Audit requirements
 - m. Lead Safe Work Practices
7. Verification of Lead Safe Work Practices

Resource Management

1. Did budget for program support address needs?
2. Was budget followed as planned?
3. Is the monitoring system adequate for budget management?
4. Cost controls of expenditures
5. Adequate maintenance of financial records

Management Information System

1. Forms and records simple, effective, and adequate for needs
2. Records and forms utilized as planned
3. Required reports completed and submitted correctly and promptly

The second day is typically spent inspecting units that have been weatherized. The monitor inspects units to insure:

1. Priorities were followed
2. The client file agrees with the work

Quality of Work

1. Satisfaction of service recipients
2. Quality of work
3. Timeliness of service; for example, were there any delays in provision of service
4. Pre- and post-inspections completed
5. Trace materials from warehouse or purchase order to client unit

**TRAINING AND TECHNICAL
ASSISTANCE APPROACH**

WEATHERIZATION TRAINING AND TECHNICAL ASSISTANCE PLAN

Training and Technical Assistance is a vital part of the Weatherization Assistance Program (T/TA). Through the state's training and technical assistance program, subgrantees are kept abreast of new weatherization techniques and methodology, as well as provided an environment to enhance their organizational management skills.

Training needs are assessed through monitoring activities of the Arkansas Weatherization Assistance Program, which identifies subgrantees' training and technical assistance needs. T/TA needs may be submitted by the subgrantee. Requests for training will be accepted by phone or writing.

Training needs will also be assessed by the training coordinator through on-site evaluations of the individual programs.

Training will be provided in management skills, basic weatherization skills, and contractor workshops.

Weatherization subgrantees are not the only ones who benefit from organized training. Everyone associated with energy program needs to be fully aware of the limits and goals of the Weatherization Assistance Program, the structure of organization, and available resources. In addition, civic and church groups, senior adult groups and other concerned citizens are demanding more and more information concerning the Weatherization Assistance Program for low-income persons. For these reasons, the weatherization training and technical assistance activities will be targeted toward three trainee groups:

- 1) Subgrantees:
Agency directors, fiscal staff, weatherization directors, crew supervisors, crew members, and contractors (labor only) doing business with local agencies;
- 2) State and local agencies:
Office of Energy, LIHEAP programs;
- 3) Non-Profit Community Based Organizations:
Civic groups, church groups, and human services agencies.

Subgrantees attendance at training is required. The weatherization training curriculum includes five different modules designed to meet the needs of the trainees:

- I. ORIENTATION - PROGRAM EXPLANATION (New Staff)
 - A. Enabling Legislation and Purpose/Funding Sources
 - B. Weatherization Procedures - Client intake to completion of unit (Point System, etc.)
 - C. Overview of Federal Regulations/State Plan and State Guidelines

- D. Minimum Performance Standards
 - 1. Program paperwork - Client Files
 - 2. Material Installation
 - 3. Health and Safety
 - 4. Inventory and Materials Control
 - E. Review
 - F. Questions, Comments, Observations;
Formats: Lecture, Hand-outs and Slides w/cassettes
Time: One day per agency
- II. Job Estimates and Hands-on Weatherization Skills (on-site), prerequisite Weatherization Orientation:
- A. Energy Audit
 - B. Understanding the BCJOS
 - C. Tools and Equipment
 - D. Caulking
 - E. Glazing - Reset Glass
 - F. Weatherstripping Doors/Windows
 - G. Siding with Roll Roofing
 - H. Skirting/Foundation Ventilation Time: Two days (no more than three crews)
Time as needed where individual hands-on training required
- III. DOE Rules and Regulations/Arkansas Guidelines:
- An in-depth review of DOE's Federal Regulations and State Policy and Procedures, plus new technologies. Training designed for program directors/managers.
- Formats: Lecture, small group discussion, guest speakers/presenters,
Performance Standards and Policy Directives.
- Time: 1/2 Day

IV. Management Skills

Program coordinators, bookkeepers, file clerks and crew supervisors will receive training in the following areas:

- A. Forms and reporting requirements
- B. Allowable expenditures
- C. Reimbursement claims
- D. Purchase of materials and tools
- E. Inventory control
- F. Utilizing the expenditure sheet as a management tool
- G. Standards of workmanship
- H. Client eligibility and files
- I. Monitoring procedures
- J. Team building, motivation, supervising, leadership
Time: 1/2 Day - 1 Day

V. Residential Energy Conservation Education (RECE)

- A. Why conserve
 - 1. Dollars - diminishing supplies of energy
 - 2. Comfort
- B. How to conserve
 - 1. Low costs
 - 2. No costs
- C. Weatherization
 - 1. General Heat Waste
 - a. Caulking
 - b. Glazing
 - c. Door Sweeps/Thresholds
 - d. Weatherstrip Kits
 - e. Building Envelope
 - f. Inside Attic Access

2. Ceiling
 - a. Insulation
 - b. Attic Ventilation
 3. Crawl Space
 - a. Foundation Ventilation
 4. Walls
 - a. Insulation
 - b. Vapor Barrier
 5. Storm Windows
 6. Floor Insulation/Vapor Barriers
 7. Repairs
- D. Energy Savings Ideas
1. Lighting and Appliances
 2. Apartments and Mobile Homes
 3. Conclusions, Questions, Comments and Observations

Formats: Lecture, Film (Saving Energy at Home: Arkansas Energy Office Information); Books, pamphlets, etc.

Time: One Full Day

Weatherization T/TA will be provided in conjunction with the following activities:

- A) The Annual Community Action Agency Conference
- B) Regular Statewide Weatherization Conferences
- C) Training and Technical Assistance Workshops, Seminars, and Meetings
- D) Weatherization Directors' Meetings
- E) Regional/National Training Conferences/Workshops
- F) Weatherization Training Center

The monitoring activities of the Arkansas Weatherization Assistance Program are used to identify the Subgrantee's training and technical assistance needs. T/TA requests may be submitted by the subgrantee. Requests for training will be accepted by phone or in written form from all interested persons and the scheduling of the sessions will be coordinated with other monitoring, evaluation and T/TA visits made by the Office of Community Services.

CONTRACTORS WORKSHOP

The purpose for a workshop for contractors (labor only) is to be sure that the contractor and the agency fully understand what is expected from the contractor. The contractor is educated as to agency policies, state policies and DOE policies. Agency Fiscal Officer, as well as the Weatherization Director, are expected to attend this workshop.

The training curriculum is as follows:

- A. Film Slides
 - 1. Caulking
 - 2. Glazing
 - 3. Repair of Envelope of House
 - 4. Weatherization of Doors and Windows
 - 5. Attic Insulation
 - a. Venting and Preparation
 - b. Application of Materials
 - B. Why Retrofit? This explains to the reader why it is necessary to save energy and how to apply the material for measures listed above. This material becomes the property of the contractor.
 - C. Arkansas Minimum Performance Standards: A copy is given to each contractor for his personal use. This session is to educate the contractor on what type of work is expected, and that all completions must pass the agency's final inspection before reimbursement.
 - D. A house where all NEAT or MHEA measures are needed:
 - 1. Contractors evaluate work needed on house
 - 2. Contractors estimate labor and materials to weatherize such house
 - 3. Contractors are then taken over the house step by step and shown what measures are to be done and how they are to be done.
 - E. General Session
 - 1. Questions and Answers
 - 2. Advised to contact State Labor Department and the Internal Revenue Services for proper procedures to follow as a self-employed person.
 - F. How to respond to an advertised bid
- VI. "Whether or not the state requires any certification or training of subgrantee staff prior to hire or by date certain of hire,"

The state does not require certification or training of subgrantee staff prior to hire or by date certain of hire.

Although the state does not certify its local program operators, the state provides state-wide training programs that promote similar understanding of the state plan, federal rules and regulations and state policy.

On-going training is an intricate part of the Arkansas Weatherization Program. Most of the training is focused on quality control issues, such as quality workmanship and final inspections.

- VII. "How the state compares productivity between subgrantees and what rewards or penalties are used,"

Each month the state compiles a comparison of local programs. This comparison looks at units completed vs. units projected, budget expended vs. approved budget, percentage of budget expended, materials expended, program support expended, materials expended, and average weatherization cost per unit. The comparison report provides a clear picture of each local agency's progress to completing their goals. It also provides a clear comparison of the local programs and a look at local productivity.

The state does not have a reward or penalty system other than through redistribution of carryover funds to those agencies in compliance with rules, regulations, and performance standards and are in need of additional funds.

If follow-up action is required of the Assistant Director, Office of Community Services, the result could be withholding of funds from the subgrantee. If deficiencies are serious enough to merit defunding a subgrantee, a public hearing will be arranged to receive comments.

- VIII. "How much, and how state T/TA funds will be allocated for state monitoring efforts. Identify and describe any other funding sources that will be used for state monitoring efforts."

ARRA monitors will be paid from state administrative funds.

- IX. Assessment of T&TA Activities

"The states' T/TA plans should identify those T/TA activities undertaken by grantees and subgrantees that will allow them to run more efficient and effective programs and raise non-federal funding and leverage available monies." One such activity is a joint activity between a subgrantee, the State Weatherization Program and the electric utility provider.

The monitoring reports provide ideas for training and in turn assess the effectiveness of the training. The monitors provide a considerable amount of T/TA on-site during the monitoring reviews.

SUMMARY

ALLOCATION FORMULA

<u>AGENCY</u>	<u>PERCENTAGE</u>
BRAD	3.1915%
CADC	18.9016
CAPCA	4.7135
CRDC	11.7306
C-SCDC	4.1754
CSO	2.1688
MCAEOC	2.1266
M-DCS	4.6048
NADC	5.1753
OHC	8.1517
OOI	6.3513
PB-JCEOC	6.2719
SEACAC	5.3882
SWADC	7.2986
UHDC	<u>9.7502%</u>
TOTAL	100.000%

ARKANSAS SUBGRANTEES USING CONTRACTORS

AGENCY	CONTRACTORS	CREW
BRAD	X	X
CADC	X	X
CAPCA	X	
CRDC	X	X
C-SCDC	X	
CSO		X
MCAEOC	X	X
M-DCS		X
NADC	X	
OHC		X
OOI	X	X
PB-JCEOC	X	X
SEACAC	X	
SWADC	X	
UHDC	X	X

CONTRACT FOR SERVICES
 BETWEEN THE STATE OF ARKANSAS
 DEPARTMENT OF HUMAN SERVICES/
 DIVISION OF COUNTY OPERATIONS/
 OFFICE OF COMMUNITY SERVICES
 (hereinafter referred to as the DHS/DCO/OCS/ or GRANTEE)

AND

 (hereinafter referred to as the SUB-GRANTEE)
 FOR
 AMERICAN RECOVERY AND REINVESTMENT ACT
 WEATHERIZATION ASSISTANCE FOR LOW-INCOME PERSONS

This contract is effective on June 1, 2009 and will terminate on March 31, 2012.

This contract is subject to the availability of funds.

Subject to the Terms and Conditions of this contract, and any Special Conditions, the Department of Human Services/Division of County Operations/Office of Community Services, hereby awards Contract Number _____ to the Subgrantee. This contract provides for _____ units to be weatherized and is to be used solely for the purpose of carrying out the Weatherization Assistance Program for Low-Income Persons Program and is to be used as follows:

Materials	\$ _____
Program Support	\$ _____
Liability Insurance	\$ _____
Financial Audit	\$ _____
Health & Safety	\$ _____
Administration	\$ _____
TOTAL	\$ _____
T and TA	\$ _____
GRAND TOTAL	\$ _____

 (Signature)

 (Signature)

 (Type in Name)

 (Type in Name)

 (Title)

 (Title)

 (Date)

 (Date)

CONTRACT FOR SERVICES
ARRA WEATHERIZATION ASSISTANCE FOR LOW-INCOME PERSONS
TERMS AND CONDITIONS

PREAMBLE

WHEREAS, Public Law 111-5 authorizes funding for the U.S. Department of Energy (DOE) to make grants to and has made available a grant to the STATE OF ARKANSAS through the DEPARTMENT OF HUMAN SERVICES/DIVISION OF COUNTY OPERATIONS/OFFICE OF COMMUNITY SERVICES (DHS/DCO/OCS):

WHEREAS, the SUBGRANTEE is contracting with DHS/DCO/OCS for the purpose of operating a local American Recovery and Reinvestment Act weatherization project to assist low-income persons and both parties are in agreement upon terms herein.

NOW, THEREFORE, in consideration of the foregoing, and subject to the conditions contained herein, the DHS/DCO/OCS and the SUBGRANTEE herein do mutually agree as follows:

I. PURPOSE OF CONTRACT

The SUBGRANTEE agrees to provide all services specified in this CONTRACT as described in the terms and special conditions of the contract and approved by DHS/DCO/OCS. Said terms and special conditions are incorporated herein. DHS/DCO/OCS agrees to make available funds to the SUBGRANTEE for the purposes set forth in the CONTRACT in accordance with the approved terms and special conditions. The terms of this CONTRACT are contingent upon the terms of the grant award between DHS/DCO/OCS. If the terms of said award become null and void, so does the terms of the CONTRACT.

II. COMPLIANCE REQUIREMENTS

The applicable compliance requirements include, but are not limited to, the following:

1. Title IV, Part A. Weatherization Assistance for Low-Income Persons/P.L. 101-440;
2. 10 CFR, Part 440 Weatherization Assistance for Low-Income Persons.
3. 10 CFR Part 600 DOE Financial Assistance Rules;
4. DOE Weatherization Assistance Program, Bulletins;
5. Weatherization Minimum Performance Standards in Southeast Region Field Guide.
6. State and SUBGRANTEE Weatherization Plans;

7. DHS/DCO/OCS Weatherization Policy Directives;
8. 40 CFR Part 745: Lead, requirement for Hazard Education before renovation of target housing.

All activities authorized by this CONTRACT shall be performed in accordance with applicable conditions, relevant directives, guidelines, federal regulations, assurances and requirements as attached hereto or, otherwise, provided by the DHS/DCO/OCS. The SUBGRANTEE acknowledges adherence to all applicable federal regulations and special conditions from DOE to which the DHS/DCO/OCS is subject, as well as issuance of policy directives from DHS/DCO/OCS.

III. INSURANCE

The SUBGRANTEE agrees to procure and keep in force for the terms of this CONTRACT, adequate insurance (including liability insurance for weatherization projects for personal injury and for property damage), issued by a reputable insurer, licensed to do business in Arkansas, as will adequately protect the interest of the DHS/DCO/OCS and the SUBGRANTEE and will insure the funds granted herein shall be used for the purposes set forth.

IV. PROCUREMENT

SUBGRANTEE is to operate in compliance with the Department of Energy Financial Assistance Rule 10 CFR 600 and procurement standards with the Office of Management and Budget Circulars A-102 or A-110 and other policies as applicable.

V. AUDIT

All SUBGRANTEES are required to conduct a single agency audit in accordance with OMB Circular A-133, covering all funds received by the agency. A copy of the report will be provided directly to DHS.

1. Audits shall be made in accordance with the General Accounting Office (GAO) Standards for Audit of Governmental Organizations, Programs, Activities, and Functions; the GAO Guidelines for Financial and Compliance Audits of Federally Assisted Programs; OMB-approved audit compliance supplements; and generally accepted auditing standards established by the American Institute of Certified Public Accountants.
2. An audit shall be conducted and the results reported in accordance with OMB Circular A-133, and the audit work papers and reports shall be retained for a minimum of three years from the date of the audit.
3. If the audit report does not meet the standards of Circular A-133, the subgrantee will receive notice as to what further action, if any, is necessary to meet the requirements. The cost of an audit that does not meet these requirements may be disallowed as charge against weatherization funds.

4. Audits shall be made annually and submitted to OCS 120 days after the audit has been completed. The audit must meet standards set forth in Circular A-133.
5. All subgrantees shall submit a close-out report of their Weatherization Program forty five days after the end of the DOE fiscal year.

VI. PAYMENTS TO SUBGRANTEE AND BUDGET CATEGORIES

DHS/DCO/OCS payment to the SUBGRANTEE will be based upon their monthly report and request for funds up to the CONTRACT limit. Advance funding will be paid to the SUBGRANTEE.

DHS/DCO/OCS shall limit advance payments to the minimum amounts necessary for immediate cash advance requirements of the SUBGRANTEE. The timing and amount of cash advances shall be as close as administratively feasible to actual disbursements of allowable cost.

DHS/DCO/OCS advance payment procedure will comply with DOE Financial Assistance Rule 10 CFR 600 and Treasury Circular 1075. All expenditures determinations will be made in accordance with the DOE Financial Assistance Rule 10 CFR 600, Program Rule 10 CFR 440 and applicable cost principles, either Office of Management and Budget Circular A-87 or A-122.

VII. RECORDS AND ACCOUNTS

The SUBGRANTEE, at its principal office or place of business shall maintain, using accepted procedures, complete and accurate accounts and records reflecting all matters and activities covered by the CONTRACT. The SUBGRANTEE shall maintain records for a period of three years from the date of audit, except in cases where unsolved audit questions may require maintaining all records for a longer period. Furthermore, accounting for equipment, material, and supplies shall be as follows:

- A. Non-expendable equipment, material and/or supplies purchased with weatherization funds where the original cost exceeds \$25,000.00 and has a life expectancy of one year or more, must have prior approval from DHS/DCO/OCS.
- B. All term purchases of equipment by the SUBGRANTEE, shall have prior approval of DHS/DCO/OCS and shall list the SUBGRANTEE as owner and shall list DHS/DCO/OCS as having the first lien on such purchases.
- C. Comprehensive and current equipment and materials inventories for expendable and non-expendable items shall be maintained and reported to DHS/DCO/OCS as required.
- D. The SUBGRANTEE agrees that within forty five days of the expiration of the CONTRACT, or any renewed CONTRACT negotiated under this grant, all equipment, material and supplies purchased with weatherization monies, and not properly expended, will be made available for return to DHS/DCO/OCS.

VIII. REPORTING

The SUBGRANTEE shall complete and submit to the DHS/DCO/OCS, at least quarterly the Arkansas Weatherization Assistance Program Progress Report (WAP-01). If not received by the fifteenth of the month following each quarter, then no reimbursement will be made until the following month. The SUBGRANTEE shall be reimbursed only after the progress report has been received and verified by DHS/DCO/OCS. The DHS/DCO/OCS reserves the right to withhold funds contingent upon the receipt and verification of all items listed.

The SUBGRANTEE shall furnish to the DHS/DCO/OCS, such progress and periodic reports in such form and quantity as the DHS/DCO/OCS, may, from time to time, require; including, but not limited to, status reports of the project, fiscal reports statements, certificates, approvals, proposed budgets, copies of all sub-contracts executed and proposed, follow-up reports and any and all other information relative to the project, including specific questionnaires as determined by OCS to be necessary to carry out its responsibilities or the responsibilities of Secretary of the Department of Energy.

IX. ASSIGN AND TRANSFER

The SUBGRANTEE is not permitted to assign or transfer any provision of the CONTRACT except as follows:

The SUBGRANTEE is permitted to enter into a third party contract to fulfill the labor obligation of this CONTRACT.

X. AFFIRMATIVE ACTION

The parties agree that they will comply with Affirmative Action Regulations as set forth by the Office of Federal Compliance Contracts Program.

The Department of Human Services (DHS) and its contractor/service provider will not discriminate against any employee, client or applicant for employment services because of physical or mental handicap. The DHS and its contractor, sub-contractor/service provider agree to take affirmative action to employ, advance in employment and otherwise treat qualified handicapped individuals without discrimination based upon their physical or mental handicap in all employment practices such as the following: employment, upgrading, demotion or transfer, recruitment, advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training.

The DHS and its contractor, sub-contractor/service provider further agree to comply with the rules and regulations promulgated by federal funding sources. DHS and its contractor, sub-contractor/service provider will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color, or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. § 1681-1683, and 1685-1686, which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as

amended (29 U.S.C.794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. § 6101-6107) which prohibits discrimination on the basis of age;... (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36001 et seq.) as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made; (j) the requirements of any other non-discrimination statute(s) which may apply to the application; and (k) the Americans with Disabilities Act of 1990.

XI. ENTIRE AGREEMENT

This CONTRACT, when signed by the DHS/DCO/OCS and the SUBGRANTEE constitutes the full and complete understanding of all parties and may not be in any manner interpreted or fulfilled in contradiction and its expressed terms as provided herein. This CONTRACT may be cancelled by either party upon thirty days receipt of written notice by either party.

XII. OTHER SPECIAL CONDITIONS

- A. Subgrantee will increase staff, provide for the necessary training, purchase the additional equipment and provide any other resources necessary to meet the significant increase in units to be weatherized with Recovery funds. All laborers and mechanics on projects funded directly by or assisted in whole or in part by and through funding appropriated by the Act shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by subchapter IV of Chapter 31 of title 40, United States Code (Davis-Bacon Act).
- B. Funds can be used in conjunction with other funding sources as necessary to complete units, but tracking and reporting must be separate to meet the reporting requirements of the Recovery Act and related OMB Guidance.
- C. Subgrantees will maintain a financial system to segregate, track and maintain ARRA funds separate and apart from other revenue streams. (No part of funds from the Recovery Act shall be commingled with any other funds or used for a purpose other than that of making payments for costs allowable for Recovery Act and OMB).
- D. In making the agreements to pay for contractor training, subgrantees should stipulate that contractors will work in the program, at a minimum, for a specific amount of time and should align with the cost of the T & TA provided.
- E. Any employees of any non-federal employer receiving covered funds under the Recovery Act may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing gross mismanagement of covered funds, a gross waste of covered funds; a substantial and specific danger to public health or safety related to the implementation or use of covered funds, an abuse of authority related to the implementation or use of covered funds; a violation of law, rule, or regulation related to an agency contract (including the competition for or negotiation of a contract) or grant, awarded or issued relating to covered funds.
- F. Subgrantee shall promptly refer to the DHS/DCO/OCS, DOE or other appropriate Inspector General any credible evidence that a principal, employee, agent, contractor, subgrantee, subcontractor or other person has submitted a false claim under the False Claims Act or has

committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity or similar misconduct involving covered funds.

- G. Subgrantee may be required to submit backup documentation for expenditures for funds under the Recovery Act including such items as timecards and invoices. Subgrantees shall provide copies of backup documentation at the request of DHS/DCO/OCS, the Contracting Officer, or other designee.
- H. With respect to each award, any representative of an appropriate inspector general appointed under section 3 or 8G of the Inspector General Act of 1988 (5 U.S.C. App) or of the Comptroller General is authorized to examine all records pertaining to the grant award. Interview any officer or employee of the subgrantee, contractor, or agency regarding such transactions.
- I. DHS/DCO/OCS reserves the right to withhold funds when two monthly reports containing original signatures are submitted late in a twelve month cycle.
- J. DHS/DCO/OCS reserves the right to withhold funds when subgrantee fails to comply with the 30% materials by the end of a six month period.
- K. DHS/DCO/OCS reserves the right to withhold funds when subgrantee fails to expend 40% of funds and weatherize 40% of units by the end of the first twelve month cycle.
- L. Subgrantee agrees that failure to install required measures of a SIR of 1 or greater shall require the agency to install measures from nonfederal funds and provide supporting documentation to DHS/DCO/OCS.
- M. DHS/DCO/OCS reserves the right to withhold funds if subgrantee fails to ensure that contractors comply with the Davis Bacon requirements.
- N. DHS/DCO/OCS reserves the right to withhold funds if an appropriate subgrantee personnel fails to attend 60% of mandatory training sessions and retain documentation of trainings.
- O. Subgrantees will apply approved DOE measures within the NEAT & MHEA set-ups on each unit. Failure to apply appropriate measures will require the agency to install the measures from nonfederal funds and provide supporting documentation to DHS/DCO/OCS.
- P. Subgrantees agree that all diagnostic measures (blower door, carbon monoxide, duct pan, watts up meter) must be conducted on each unit as appropriate. Failure to conduct appropriate diagnostic measures may result in withholding funds.

STATE: Arkansas

REGULATION REFERENCE: 440.14(b)(9)(ii)

DATE ADOPTED: 04/01/96

REVISED DATE: 04/01/08

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT: An explanation of the method used to select each area to be served by a weatherization project 440.14 (b) (9) (ii)

POLICY/PROCEDURE:

1. An explanation of the method used to select each area to be served by a weatherization project.
 - a. The Office of Community Services will implement the ARRA Weatherization Program through fifteen subgrantees based on the public hearing process; all seventy-five counties in the State are served by a weatherization project. In the event production falls substantially below the projection rate for a subgrantee as prescribed by the Office of Community Services, the Office of Community Services reserves the right to transfer all or a part of the responsibility for administration of the program from one subgrantee to another.

One CAA created a Housing Development Corporation called Universal Housing Development Corporation (UHDC). UHDC has its own non-profit status, and Arkansas sub-grants directly with UHDC.

STATE: Arkansas

REGULATION REFERENCE: 440.14(b)(3)

DATE ADOPTED: 04/01/94

REVISED DATE: 04/01/08

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT: Definition of Heat Zones is contained in 1 below. Section 2 shows projected energy savings.

POLICY/PROCEDURE:

(1) MHEA is used to determine the priorities for mobile homes.

The National Energy Audit (NEAT) is used to determine the priorities for single family units.

The weather conditions are an integral part of the NEAT and MHEA audit.

(2) The average savings after weatherization is 31.74 MBTU.

STATE: Arkansas REGULATION REFERENCE: 440.15(a)(2)(i)(ii)(iii)

DATE ADOPTED: 04/01/96

REVISED DATE: 04/01/08

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

Subgrantee selected pursuant to its experience and performance with low-income persons and how is the capacity to perform measure?

POLICY/PROCEDURE:

The grantee shall ensure that:

1. Each subgrantee is a CAA or other public non-profit equity:

The Office of Community Services contracts with fifteen subgrantees.

2. Each subgrantee is selected on the basis of public comment received during the public hearing conducted pursuant to 440.14(a) and other appropriate findings regarding:

Prior to the preparation of the final state plan, a proposed plan was prepared according to 440.14, paragraph (b) for a public hearing. The plan was distributed to the fifteen weatherization subgrantees and affected state agencies.

- (i) The subgrantee's experience and performance in weatherization or housing renovation activities:

The Arkansas weatherization subgrantees have operated the regular DOE Weatherization Program from its inception in 1977. The subgrantees have developed many innovative weatherization techniques.

- (ii) The subgrantee's experience in assisting low-income persons in the area to be served:

The fifteen subgrantees have been in the business of serving low-income persons for thirty-two years.

- (iii) The subgrantee's capacity to undertake a timely and effective Weatherization Program.

The Arkansas weatherization subgrantees have systematically exceeded completion goals nearly every year in the regular DOE Program and have operated within DOE guidelines and budget limitations.

STATE: Arkansas REGULATION REFERENCE: 440.15(a)(3)(i)(ii)(iii)(iv)

DATE ADOPTED:

REVISED DATE: 04/01/98

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

Preference given to entities that achieve weatherization goals, good work quality and staff capabilities. Discuss the ability to secure volunteers.

POLICY/PROCEDURE:

In selecting a subgrantee, preference is given to any CAA or other public or non-profit entity which has, or is currently administering an effective program under this part or under Title II of 1964, with program effectiveness evaluated by consideration of factors including, but not necessarily limited to, the following:

- (a) The extent to which the past weatherization program achieved or is achieving weatherization goals in a timely fashion:

Subgrantees have consistently exceeded their projected goals in the DOE Weatherization Program.

- (b) The quality of work performed by the subgrantee:

Based on findings from the last program year monitoring visits in the regular DOE Program, the quality of work performed by the Arkansas weatherization subgrantees continues to be good. The subgrantees addressed all general heat waste measures on the units weatherized and also attended to the other top priority measures in a professional manner.

- (c) The number, qualifications, and experience of the staff members of the subgrantee:

The number, qualifications, and experience of the staff members of the subgrantees' staffing levels in the regular DOE Program range from one person to 5 persons. Some have been with the program many years. About half have at least 3 years experience with the program.

In order to meet the stipulations of ARRA to preserve and create jobs, subgrantees will increase the number of staff persons and report to OCS regarding jobs created or retained.

REGULATION REFERENCE: 440.15(a)(3)(i)(ii)(iii)(iv)

To the maximum extent practicable, the services of volunteers, training participants and public service employment workers will be secured to work under the supervision of qualified supervisors and foremen.

STATE: Arkansas

REGULATION REFERENCE: 440.15(b)

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

The Grantee will ensure that funds are allocated to areas based on relative need for the project.

POLICY/PROCEDURE:

The grantee shall ensure that the funds received under this part will be allocated to the entities selected in accordance with paragraph (a) of this section, such that funds be allocated to areas on the basis of the relative need for a weatherization project by low-income persons.

The allocation of funds is based on relative need. The percentage of available funds allocated to each subgrantee (by county data) is determined by the following allocation formula:

1. Average of HDD + CDD and poverty.

STATE: Arkansas

REGULATION REFERENCE: 440.15(c)

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

In the event a subgrantee fails to comply with provisions set forth in Section 440.30 and the American Recovery and Reinvestment Act of 2009, Public Law 111-5, it shall be replaced.

POLICY/PROCEDURE:

If DOE finds that a subgrantee selected to undertake weatherization activities under this part has failed to comply substantially with the provisions of the act or this part and should be replaced, such findings shall be treated as a finding under 440.30(d) for purposes of 444.30.

If the Office of Community Services finds that a subgrantee selected to undertake weatherization activities under this part has failed to comply substantially with the provisions of the act or this part should be replaced, such findings shall be treated as a finding under 440.30(b) for purposes of 440.30.

STATE: Arkansas

REGULATION REFERENCE: 440.15(d)

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

Selection of new or replacement sub-grantees

POLICY/PROCEDURE:

Any new or additional subgrantee shall be selected at a hearing in accordance with 440.14(a) and upon the basis of the criteria in paragraph (a) of this section.

In the selection of new or additional subgrantees, the Office of Community Services shall make this selection at a hearing in accordance with 440.14(a) and upon the basis of the criteria in paragraph (a) of this section.

STATE: Arkansas

REGULATION REFERENCE: 43 440.16(a)

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

Dwellings to be weatherized must be documented as eligible per Section 440.22

POLICY/PROCEDURE:

440.16 MINIMUM PROGRAM REQUIREMENTS

- A. No dwelling unit may be weatherized without documentation that the dwelling unit is an eligible dwelling unit as provided in 440.22.
1. A dwelling unit shall be eligible for weatherization assistance if it is occupied by a family unit whose income is at or below 200% of the poverty level determined by the Office of Management and Budget.
 2. Which contains a member who has received cash assistance payments under Title IV or XVI of the Social Security Act or applicable state or local law during the twelve month period preceding the determination of eligibility for weatherization assistance; or
 3. Is eligible for assistance under the Low-Income Home Energy Assistance Act of 1981, provided that such basis is at least 200% of the poverty level determined by the Office of Management and Budget.

STATE: Arkansas

REGULATION REFERENCE: 440.16(b)

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT: Priority is given to elderly/disabled and single family/other high energy-consuming units. Priority as determined for dwellings containing children.

POLICY/PROCEDURE:

Priority is given to identifying and providing weatherization assistance to elderly, low-income households with children and disabled low-income persons, and such priority as the applicant determines is appropriate is given to single-family or other high energy consuming dwelling units.

Priority is given to the elderly low-income households with children and disabled low-income persons. Priority is also given to single-family or other high energy consuming dwelling units as determined appropriate by the local subgrantee.

STATE: Arkansas

REGULATION REFERENCE: 440.16(c)

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

Financial assistance will be used to supplement

POLICY/PROCEDURE:

Financial assistance provided under this part will be used to supplement, and not supplant, state or local funds, and to the maximum extent practicable as determined by DOE, to increase the amounts of these funds that would be made available in the absence of federal funds provided under this part.

Department of Energy funds are used to supplement and not supplant state or local funds. Efforts are being made to increase financial participation on the state and local level.

STATE: Arkansas

REGULATION REFERENCE: 440.16(d)

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

Secure services of volunteers to maximum extent possible

POLICY/PROCEDURE:

To the maximum extent practicable, the grantee will secure the services of volunteers, training participants and public service employment workers.

The Office of Community Services will work with all subgrantees to secure volunteers, training participants, public service employment workers and free labor for the weatherization program to work the supervision of qualified supervisors and foremen.

STATE: Arkansas

REGULATION REFERENCE: 440.16(e)

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

Coordinate with other programs to maximum extent possible

POLICY/PROCEDURE:

To the maximum extent practicable, the use of weatherization assistance shall be coordinated with other federal, state, local, or privately funded programs in order to improve energy efficiency and to conserve energy.

The Office of Community Services coordinates the Weatherization Assistance Program with the Low-Income Home Energy Assistance Program, Housing and Urban Development, Public Service Commission, Public Utility companies and other state, local and federal agencies in the state.

STATE: Arkansas

REGULATION REFERENCE: 440.16(f)

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

Benefits to members of an Indian Tribe

POLICY/PROCEDURE:

The low-income members of an Indian tribe shall receive benefits equivalent to the assistance provided to the other low-income persons within a state unless the grantee has made the recommendation provided in 440.12(b)(5).

The low-income members of an Indian tribe shall receive benefits equivalent to the assistance provided to other low-income persons within the state.

STATE: Arkansas

REGULATION REFERENCE: 440.16(g)

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT: Final Inspection and Certification – No dwelling will be reported as complete until all materials are installed and a final inspection made and certified that work was completed in a workmanlike manner and in accordance with the priority determined by procedures required by 440.21.

POLICY/PROCEDURE:

No dwelling unit may be reported to DOE as completed until the subgrantee, or its authorized representatives have performed a final inspection and certified that applicable work has been completed in a workmanlike manner and in accordance with the priority determined by the audit procedures required by 440.21(b).

Each subgrantee must complete a final inspection and certify that all applicable work has been completed according to established minimum performance standards before that unit can be reported as completed to the Office of Community Services. If during a monitoring visit it is found the unit was certified incorrectly as complete, the unit is disallowed and the appropriate funds are withheld. Units are completed in accordance with 440.21.

STATE: Arkansas

REGULATION REFERENCE: 440.16(h)

DATE ADOPTED: 04/01/01

REVISED DATE: 04/01/01

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT: Limit expenditure of funds for installation of materials (other than Appendix A approved WAP materials) to abate energy-related health and safety hazards. (1) Elimination of hazards is necessary before or as result of installation of WAP materials. (2) Grantee sets forth limits on percent of average dwelling unit costs which may be used to abate such hazards (which are reasonable)

POLICY/PROCEDURE:

"NOTIFICATION REQUIREMENTS FOR LEAD HAZARD EDUCATION BEFORE RENOVATION. For **immediate** implementation - all Low-Income Weatherization Assistance Program activities doing renovation work in pre-1978 housing are subject to the provisions of a Federal regulation that requires them to give a notification to the occupants of the housing about the potential hazards of lead paint and lead paint dust. This notification applies to all entities who do renovation work and is required when six square feet or more of painted surfaces for interior, or 20 square feet or more of painted surfaces for exterior projects will be disturbed during weatherization work. Renovators are required to give a copy of the EPA booklet "Renovate Right – Important Lead Hazard Information for Families, Child Care Providers and Schools" at least seven days prior to the start of work.

EPA has a homepage that is part of the EPA website where there is useful information. The address for the EPA website is <http://www.epa.gov/pubs/leadinfo/htm>, or by calling 1-800-242-5323. States and local agencies needing the booklet for upcoming weatherization work may download the booklet from the website and produce it locally.

Please remember -- under this regulation, local agencies who do not give proper notification could incur hefty fines if found doing renovation work in pre-1978 housing stock where six square feet or more of paint surface are disturbed in a room for interior projects, or 20 square feet or more of painted surface for exterior projects in housing built before 1978.

STATE: Arkansas

REGULATION REFERENCE: 440.16(i)

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

Benefits of WAP to occupants of rental units are protected in accordance with 440.22(b)(3)

POLICY/PROCEDURE:

This rental policy establishes procedures “by which tenants may file complaints, and owners, in response to such complaints, shall demonstrate that the rent increase concerned is related to matters other than the weatherization work performed;” “and no undue or excessive enhancement shall occur to the value of the dwelling units.”

STATE: Arkansas

REGULATION REFERENCE: 440.18

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

Limitations on cost of incidental repairs, if such repairs are necessary to make installation of weatherization materials effective or to protect such materials.

POLICY/PROCEDURE:

"Incidental Repairs" are those repairs necessary for effective performance or preservation of other weatherization materials.

Incidental repairs should be recorded on the Building Check and Job Order Sheet for each dwelling unit.

Following are examples of incidental repairs:

- Lumber used to frame or repair windows and doors which could not otherwise be caulked and weatherstripped.
- Roofing materials used as a patch to repair water leaks which would damage ceiling insulation.
- Protective materials, such as paint, to seal materials installed under this program.
- The parts required to vent unvented space heaters.

Incidental repairs are included in the SIR calculations in the National Energy Audit (NEAT) and Mobile Home Energy Audit (MHEA).

STATE: Arkansas

REGULATION REFERENCE: 440.18

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

Limitations on cost of incidental repairs, if such repairs are necessary to make installation of weatherization materials effective or to protect such materials.

POLICY/PROCEDURE:

Incidental Repairs

Incidental repairs are those repairs necessary for effective performance or preservation of other weatherization materials.

Incidental repairs should be recorded on the Building Check and Job Order Sheet for each dwelling unit.

Following are examples of incidental repairs:

- Lumber used to frame or repair windows and doors which could not otherwise be caulked and weatherstripped.
- Roofing materials used as a patch to repair water leaks which would damage ceiling insulation.
- Protective materials, such as paint, to seal materials installed under this program.
- The parts required to vent unvented space heaters.

Incidental repairs are included in the SIR calculations in the National Energy Audit (NEAT).

440.16 MINIMUM PROGRAM REQUIREMENTS

- A. No dwelling unit may be weatherized without documentation that the dwelling unit is an eligible dwelling unit as provided in 440.22.
1. A dwelling unit shall be eligible for weatherization assistance if it is occupied by a family unit whose income is at or below 200% of poverty level determined by the office of Management and Budget.
 2. Which contains a member who has received cash assistance payments under Title IV or XVI of the Social Security Act or applicable state or local law during the twelve month period preceding the determination of eligibility for weatherization assistance; or

- B. Priority is given to identifying and providing weatherization assistance to elderly and disabled low-income persons, and such priority as the subgrantee determines is appropriate is given to single-family or other high energy consuming dwelling units.

Priority is given to the elderly and disabled low income persons. Priority is also given to single-family or other high energy consuming dwelling units as determined appropriate by the local subgrantee.

- C. Financial assistance provided under this part will be used to supplement, and not supplant, state or local funds, and to the maximum extent practicable as determined by DOE, to increase the amounts of these funds that would be made available in the absence of federal funds provided under this part.

Department of Energy funds are used to supplement and not supplant state or local funds. Efforts are being made to increase financial participation on the state and local level.

- D. To the maximum extent practicable, the grantee will secure the services of volunteers, training participants and public service employment workers. The Office of Community Services will work with all subgrantees to secure volunteers.
- E. To the maximum extent practicable, the use of weatherization assistance shall be coordinated with other federal, state, local, or privately funded programs in order to improve energy efficiency and to conserve energy.

The Office of Community Services coordinates the Weatherization Assistance Program with the Low-Income Home Energy Assistance Program, Rural Economic and Community Development Services, Housing and Urban Development, Public Service Commission, Public Utility companies and other state, local and federal agencies in the state.

- F. The low-income members of an Indian tribe shall receive benefits equivalent to the assistance provided to the other low-income persons within a state unless the grantee has made the recommendation provided in 440.12 (b) (5).

The low-income members of an Indian tribe shall receive benefits equivalent to the assistance provided to other low-income persons within the state.

- G. No dwelling unit may be reported to DOE as completed until the subgrantee, or its authorized representatives have performed a final inspection and certified that applicable work has been completed in a workmanlike manner and in accordance with the priority determined by the audit procedures required by 440.21(b).

Each subgrantee must complete a final inspection and certify that all applicable work has been completed according to established minimum performance standards before that unit can be reported as completed to the Office of Community Services. If during a monitoring visit it is found the unit was certified incorrectly as complete, the unit is disallowed and the appropriate funds are withheld. Units are completed in accordance with 440.21.

STATE: Arkansas

REGULATION REFERENCE: 440.15

DATE ADOPTED: 04/01/96

REVISED DATE: _____

POLICY/PROCEDURES DOCUMENTATION

SUMMARY OF REQUIREMENT:

How does the state plan to implement the reduction in the federal budget.

POLICY/PROCEDURE:

Arkansas has never had enough funds from the U.S. Department of Energy, Low-Income Weatherization Assistance Program to operate a program twelve months out of the year in the regular weatherization program.

The state assures compliance with the DOE regulations and Public Law 111-5 and assures quality of work. A subgrantee may voluntarily choose to not operate a program. In that situation, a neighboring agency will be asked to operate the program in their service territory.

SUBGRANTEES

A. The grantee shall ensure that:

1. Each subgrantee is a CAA or other public non-profit entity:

The Office of Community Services contracts with fifteen subgrantees.

2. Each subgrantee is selected on the basis of public comment received during the public hearing conducted pursuant to 440.14 (a) and other appropriate findings regarding:

Prior to the preparation of the final state plan, a proposed plan was prepared according to 440.14, paragraph (b) for a public hearing. Subgrantees and affected state agencies.

- (i) The subgrantee's experience and performance in weatherization or housing renovation activities:

The Arkansas weatherization subgrantees have operated the DOE Weatherization Program from its inception in 1977. The subgrantees have developed many innovative weatherization techniques.

- (ii) The subgrantee's experience in assisting low-income persons in the area to be served:

The fifteen subgrantees have been in the business of serving low-income persons for thirty-two years.

- (iii) The subgrantee's capacity to undertake a timely and effective Weatherization Program:

The Arkansas weatherization subgrantees have nearly systematically exceeded completion goals every year and have operated within DOE guidelines and budget limitations.

3. In selecting a subgrantee, preference is given to any CAA or other public or non-profit entity which has, or is currently administering an effective program under this part or under Title II of 1964, with program effectiveness evaluated by consideration of factors including, but not necessarily limited to, the following:

- (a) The extent to which the past or current program achieve or is achieving weatherization goals in a timely fashion, Arkansas will comply with the maximum average followed by DOE.

- (b) The quality of work performed by the subgrantee:

The state will use monitoring findings from the previous year to develop a training plan for the upcoming year.

- (c) The number, qualifications, and experience of the staff members of the subgrantee: The number, qualifications, and experience of the staff members of the subgrantees' staffing levels in regular DOE vary greatly. One has been with the program since its beginning. Others have different number of years experience with the program.
- (d) The ability of the subgrantee to secure volunteers, training participants, and public service employment workers will be secured to work under the supervision of qualified supervisors and foremen.

To the maximum extent practicable, the services of volunteers, training participants and public service employment workers will be secured to work under the supervision of qualified supervisors and foremen.

- B. The grantee shall ensure that the funds received under this part will be allocated to the entities selected in accordance with paragraph (a) of this section, in such a way that funds be allocated to areas on the basis of the relative need for a weatherization project by low-income persons.

The allocation of funds is based on relative need. The percentage of available funds allocated to each subgrantee (by county data) is determined by the following allocation formula:

- 1. Average of HDD + CDD and poverty.

- C. If DOE finds that a subgrantee, selected to undertake weatherization activities under this part, has failed to comply substantially with the provisions of the act or this part and should be replaced, such findings shall be treated as a finding under 440.30 (d) for purposes of 444.30.

If the Office of Community Services finds that a subgrantee selected to undertake weatherization activities under this part has failed to comply substantially with the provisions of the act or this part should be replaced, such findings shall be treated as a finding under 440.30 (b) for purposes of 444.30.

- D. Any new or additional subgrantee shall be selected at a hearing in accordance with 440.14 (a) and upon the basis of the criteria in paragraph (a) of this section.

In the selection of new or additional subgrantees, the Office of Community Services shall make this selection at a hearing in accordance with 440.14 (a) and upon the basis of the criteria in paragraph (a) of this section.

INTERGOVERNMENTAL REVIEW

The state has an established review process under provisions of Executive Order 12372 and 10 CFR 1005.

The single point of contact is:

Arkansas Department of Finance and
Administration
Office of Intergovernmental Services
Post Office Box 3278
1515 West 7th Street, Room 412
Little Rock, Arkansas 72203

The single point of contact will be notified of the application.

QUALITY CONTROL

QUALITY CONTROL ELEMENTS

I. STATE WIDE REQUIREMENTS:

A. INSPECTIONS

ELEMENTS: Describe the State's system for verifying that all units have final inspection prior to subgrantee claiming them as completions.

The Arkansas State Weatherization Assistance program requires that each subgrantee conduct a final inspection of the unit prior to reporting the unit as a completion.

The final inspection must be conducted by someone who was not involved in performing the measures.

QUALITY CONTROL ELEMENTS

I. STATE WIDE REQUIREMENTS:

B. MEASURES LIST

ELEMENT: Describe the State's method for ensuring that its measures priority list reflects both its housing stock and climate.

The priorities addressed are justified by the National Energy Audit and Mobile Home Energy Audit, which takes into consideration the climate.

QUALITY CONTROL ELEMENTS

I. STATE WIDE REQUIREMENTS:

C. PRIORITY LIST REVIEW

ELEMENT: Describe the process, and how often, the State reviews its measures priority list to take into consideration new technology and funding flexibility.

The State reviews the priority list annually to assure that new available technology is utilized, where the technology has been proven effective and approved by DOE. Any flexibility in funding allowed by DOE is provided to subgrantees. The state seeks other funding to assist subgrantees in addressing the housing and energy needs of clients. The state assists subgrantees in applying for other housing funds when possible.

QUALITY CONTROL ELEMENTS

II. PURCHASING CONTROLS

A. MATERIALS SPECIFICATIONS

ELEMENT: Describe how the State ensures that all materials used in the program meet Federal specifications.

The state requires that subgrantees procure materials according to approved procedures, which require that subgrantees purchase materials that meet federal specifications.

The monitor reviews for compliance as a normal part of the process. Any costs for materials that do not meet federal specifications will be refunded from non-federal funds. The subgrantee provides as assurance that materials will meet federal specifications in their annual applications for funds.

QUALITY CONTROL ELEMENTS

II. PURCHASING CONTROLS

B. COST OF MATERIALS

ELEMENT: Indicate how the State ensures that the price paid for all materials at the local level is the most cost-effective and that the process used to determine this is consistent throughout the State.

All subgrantees are required to purchase materials according to competitive bidding procedures.

QUALITY CONTROL ELEMENTS

II. PURCHASING CONTROLS

C. MAXIMUM-COST LIMIT

ELEMENT: Describe the process by which, and how often, the State reviews its maximum cost-per-unit limit.

The state reviews the maximum cost-per-unit limit annually. The state establishes a statewide maximum and maximum average. However, each subgrantee maximum and maximum average is established in their annual application for funds. The limit is established by reviewing the previous year costs and projected new year costs. No agency is allowed to exceed the limit established by DOE.

QUALITY CONTROL ELEMENTS

III. TRAINING

A. TRAINING AND CERTIFYING STATE STAFF

ELEMENT: Describe how the State trains and/or certifies persons responsible for quality control on the State level.

The State Weatherization Program Training Coordinator trains the state staff when new staff are hired. When necessary, the state obtains training from other state offices, or other sources, with the required expertise.

The State will plan to establish a training center to provide training on a continuous basis. The state will also coordinate with the Arkansas Energy Office for development of training through educational institutions.

QUALITY CONTROL ELEMENTS

III. TRAINING

B. CERTIFYING LOCAL QUALITY CONTROL PERSONNEL

ELEMENT: Describe how the State trains and/or certifies those persons responsible for quality control on the local level.

The state will work with the WAP Training Centers to develop a certification process. However, the State Weatherization Training Coordinator will coordinate the training needs of the subgrantee staff when new staffs are hired, or when it is determined through the monitoring process, that training is needed to improve the quality of work.

QUALITY CONTROL ELEMENTS

III. TRAINING

C. TRAINING LOCAL QUALITY CONTROL PERSONNEL

ELEMENT: Describe how the State provides on-going training to those persons responsible for quality control on the local level.

The state provides on-going training to subgrantee staff responsible for quality control at the local level. The training is provided at statewide and regional levels, as well as at each subgrantee when it is necessary. Training is provided in all aspects of the program, to include; management and administration, client files, contractor training, client education, skills training, and energy audit.

The state has established two training centers using educational institutions to provide training on a continuous basis and to develop a certification program. The state has coordinated with the Arkansas Energy Office in the development of the training centers.

QUALITY CONTROL ELEMENTS

III. TRAINING

D. TRAINING LOCAL CREWS AND CONTRACTORS

ELEMENT: Describe how the State ensures the crews or contractors who weatherize units have appropriate skills to complete the work in a quality manner.

Subgrantee contractor skills and work history are considered during the competitive bidding process. Contractors will be required to become certified through one of the state training centers.

All crew members new and existing must attend training at one of the state training centers. The state will not allow any staff to be “grandfathered” into certification.

The State will plan to establish a training center to provide training on a continuous basis. The State will also coordinate with the Arkansas Energy Office for development of training through educational institutions.

QUALITY CONTROL ELEMENTS

IV. ON-SITE OR LOCAL CONTROLS

A. SEPARATION OF RESPONSIBILITY FOR POST-WORK INSPECTIONS

ELEMENT: Describe how the State ensures that subgrantee staff performing post-work inspections are different from those completing the prescribed work.

The subgrantee provides an assurance in the annual application that the post-work inspection will be by someone other than those completing the work. The State Monitors review this during the on-site monitoring.

QUALITY CONTROL ELEMENTS

IV. ON-SITE LOCAL CONTROLS

B. VALIDATING THE ACCURACY OF WORK ORDERS AND INSPECTIONS

ELEMENT: Describe how the State periodically reviews a sample of local work orders and post-work inspections for accuracy.

The state monitor reviews 25% of the work orders and post-work inspections for accuracy during the on-site review process.

QUALITY CONTROL ELEMENTS

IV. ON-SITE OR LOCAL CONTROLS

C. INACCURATE WORK ORDERS AND INSPECTIONS

ELEMENT: Describe the State's procedures for dealing with program operators who repeatedly have a high number of inaccurate work orders or post-work inspections.

Subgrantees that are found to have inaccurate work orders or post-work inspections are required to correct the inaccurate work and provide a corrective action plan to assure that the problem is corrected. The state monitor follows-up at the next on-site monitoring to assure that the corrective action is being adhered to.

QUALITY CONTROL ELEMENTS

IV. ON-SITE OR LOCAL CONTROLS

D. MEASURING PRODUCTIVITY

ELEMENT: Describe the State system for measuring the comparative productivity of different program operators.

The state reviews monthly reports to compare production of the different program operators. This information is published on an annual basis. The state provides technical assistance to any agency that is falling behind on production.

CRISIS RELIEF PLAN

OUTLINE

I. EXECUTIVE SUMMARY

- Description of the Program
- Statement of Purpose
- Market Opportunities
- Projected Results
- Financing Requirements

II. ORGANIZATION PLAN

- Key Personnel
- Services
- History

III. MARKET RESEARCH

- Economic and Social Factors
- Target Customers
- Market Opportunities
- Expected Benefits

IV. STRATEGY

FORECASTING

- Short and Long-Term Results

Controls/Evaluation

I. EXECUTIVE SUMMARY

DESCRIPTION OF PROGRAM

The enhanced concept for the U.S. Department of Energy's (DOE) Weatherization Assistance Program as administered by the Office of Community Services is called the Weatherization Assistance Program (WAP) Crisis Relief Plan. The traditional Weatherization Assistance Program focuses on reducing the heating and cooling costs in homes of low-income families, while ensuring the safe operation of the building equipment. The WAP Crisis Relief Plan will address weather-related emergencies ensuring the safe operation of building equipment (heating and/or cooling).

STATEMENT OF PURPOSE

By expanding the scope of the Program to address weather related emergencies, the WAP Crisis Relief Plan can:

- < Save lives;
- < Significantly increase energy savings;
- < Further reduce emissions of air pollutants such as carbon monoxide;
- < Increase the leveraging potential of the Weatherization network; and
- < Expand the program's benefits to the state's communities.

MARKET OPPORTUNITIES

- < Supply does not meet current demand for Weatherization services.
- < New resources created through utility restructuring offer significant opportunities to expand Weatherization services.
- < Potential to increase community role: Weatherization agencies are firmly planted in the local communities and are the natural delivery mechanism for other programs outreach efforts.

PROJECTED RESULTS

Lives saved and citizens helped during times of crisis.

FINANCING REQUIREMENTS

Weatherization Funds.

II. ORGANIZATION PLAN

The Weatherization Assistance Program serves every county in the state. This work is administered through the Department of Human Services, Division of County Operations, Office of Community Services with support from the U.S. Department of Energy's (DOE) Pennsylvania Regional Office. A network of 15 local agencies comprised of Community Action Agencies and one nonprofit housing development corporation carries out weatherization work.

KEY PERSONNEL

Office of Community Services staff work with DOE Headquarters and PMC Office staff in administering the Program. The local agencies, then, are the entities that actually carry out this expanded program as the service providers. The vast majority of service providers that DOE funds are Community Action Agencies (CAA) which are multi-purpose service and community development organizations run by locally selected governing boards from the affected community and the private sector.

SERVICES

Program provides energy efficiency measures to low-income families.

HISTORY

The Weatherization Assistance Program is the nation's program for delivering energy efficiency services to low-income Americans. Weatherization was created during the 1973 Arab oil embargo to assist low-income families who lacked the resources to respond to price or regulatory signals by investing in efficiency. In the beginning, temporary measures like plastic storm windows, weatherstripping, and caulking were installed by volunteer labor. The Program has evolved into one in which professional staff use sophisticated energy audit protocols and advanced diagnostic equipment to determine which cost-effective measures and services should be installed to achieve the greatest energy efficiency and cost payback. Throughout the evolution of this Program, Weatherization has remained committed to its fundamental mission.

III. MARKET RESEARCH

ECONOMIC AND SOCIAL FACTORS

There are 400,000 households currently eligible for Weatherization services in the state of Arkansas. The need for Weatherization services remains strong and in recent years, the number of households federally eligible for Weatherization and LIHEAP (Low Income Home Energy Assistance Program) actually increased. A total of 1,225 households received Weatherization assistance in 2007.

TARGET CUSTOMERS

Our customers are the low-income families, particularly the elderly, people with disabilities, and children. Over 90% of our customers have households with an annual income under \$15,000. These low-income households spend 14% of their annual income on energy versus 3.5% spent by other households.

MARKET OPPORTUNITIES

Potential to increase community role: Weatherization agencies are firmly planted in the local communities and are the natural delivery mechanism for other programs outreach efforts.

EXPECTED BENEFITS

- < Low-income citizens are able to access benefits of energy efficiency technologies otherwise accessible only to those with greater means.
- < Energy efficiency programs educate low-income customers about reduced energy consumption and provide actual Weatherization services to their dwellings that decrease energy use. Both of these aspects allow for a smaller utility bill which low-income customers can afford to pay.
- < Alleviation of high energy burdens allows low-income families increased financial independence and flexibility to spend household income on other needs.
- < Reduces the need for other tax-supported programs such as fuel assistance, housing, and health care, while improving housing conditions.

Effective energy efficiency programs reduce the payment-related costs incurred by utility companies. These costs include late payments, bad debt, credit and collection expenses, termination and reconnection costs, negotiation of payment plans, and regulatory expenses.

- < Reduces costs related to health and safety emergencies. Weatherization measures performed on low-income housing reduce the chance for fires, carbon monoxide poisoning, and hypothermia, thereby reducing costs associated with emergency calls.
- < Energy efficiency measures increase the equity in low-income homes, improve housing maintenance, reduce client utility bills, reduce moves and associated costs, decrease homelessness, reduce adverse health effects, and decrease the energy cost burden.
- < Increasing investments in Weatherization Programs also provide non-energy, non-environmental benefits for society. These benefits include decreased public funds expenditures (e.g. social services, homeless shelters, health care, public safety, etc.), maintaining the real estate tax base, and increasing housing values. Therefore, investing in Weatherization capitalizes on known energy benefits as well as substantial non-energy and non-environmental benefits for individuals, utilities, and society.

IV. STRATEGY

The WAP Crisis Relief Plan will be implemented using the following strategy:

Increased Flexibility – No funds are set aside due to increased funding. Agencies will address crisis relief using regular program funds.

- < Client Education will be conducted by local agency staff with clients being advised of low cost no cost measures that can be done on a regular basis to assist in lowering utility cost. Energy Conservation literature will be left with the client.
- < By assisting and educating citizens during weather related crisis, the Weatherization Crisis Relief Plan may reduce the number of walk-a-ways.

Energy Conservation information materials will be distributed to local churches for distribution to their membership. This material will also be made available to all faith based organizations. This way state staff and local agency staff will be free to assist citizens as they apply for services.

V. FORECASTING

Short and Long-Term Results

The Weatherization Assistance Program Crisis Relief Plan will:

- 1) Result in lives saved;
- 2) More efficient, healthier, and livable communities;
 - < Reduce the export of local energy dollars out of the community; low-income communities spend more than 20 percent of their gross income on energy and up to 80 percent of it immediately leaves the community;
 - < Create jobs by keeping more money in the local economy; a conservative estimate is that every retained dollar produces three dollars in multiplier benefits;
 - < Improve local air quality and reduce adverse health effects, particularly asthma.
- 3) Result in the State of Arkansas being able to respond to a weather related crisis in a prompt and efficient manner;
 - < Attract utility restructuring dollars by becoming the delivery mechanism of choice for public benefits funds ear-marked for low-income energy efficiency and electric base load conservation.
 - <

Controls/Evaluation

The Weatherization Assistance Program Crisis Relief Plan will be monitored using the same criteria as the regular Weatherization Assistance Program to ensure compliance with State and Federal regulations.

The state evaluation activities typically take 2 or more days. These days consist of reviewing the following:

1. Program client files
2. Financial records
3. Contract with the state
4. Financial operations manual
5. Procurement files and Policy and Procedures
6. Property records
7. Inventory Management System
8. Lead Safe Work Practices

The monitor will be looking at the system the agency has for insuring that DOE regulations and requirements are being met. The areas, which the monitor assesses, include:

Regulatory

1. Verification of client eligibility
2. Verification that a dwelling unit has not previously been weatherized with DOE funds*
3. Material dollar limitations was not exceeded with a waiver
4. Repair cost dollar limitation was not exceeded
5. Materials used meet DOE standards
6. Federal and State guidelines were followed regarding:
 - a. Cash depositories
 - b. Bonding and insurance
 - c. Record retention
 - d. Program income
 - e. Standards for grantee financial management
 - f. Financial reporting
 - g. Monitoring and reporting program performance
 - h. Grant payment requirements
 - i. Grant closeout procedures
 - j. Budget revision procedures
 - k. Procurement procedures
 - l. Audit requirements
7. Verification of Lead Safe Work Practices

Resource Management

1. Did budget program support address needs?
2. Was budget followed as planned?
3. Is monitoring system adequate for budget management?
4. Cost controls of expenditures
5. Adequate maintenance of financial records

*Under the WAP Crisis Relief Plan, this requirement will be suspended.

Management Information Systems

1. Forms and records simple, effective and adequate for needs
2. Records and forms utilized as planned
3. Required reports completed and submitted correctly and promptly

The second day is typically spent inspecting units that have been weatherized. The monitor inspects units to insure:

1. Priorities were followed
2. The client file agrees with the work

Quality of Work

1. Satisfaction of service recipients
2. Quality of work
3. Timeliness of service; for example, were there any delays in provision of services
4. Pre and post inspections completed
5. Trace materials from warehouse or purchase order to client unit

FIELD GUIDE

FIELD GUIDE

As part of its annual grant guidance to the CAAs, OCS has issued a manual dealing with weatherization crews work in homes. The guidelines contained in the manual are meant to provide guidance on the installation of allowable measures in the Weatherization Assistance Program and to protect workers providing weatherization services. The manual is called the **Arkansas Weatherization Field Guide**.

The **Southeast Weatherization Field Guide** is published for the Department of Energy's Weatherization Assistance Program. Written as a reference document, the field guide provides step by step instructions on the process and procedures used in the Weatherization Assistance Program as well as client education and healthy safety procedures. Subgrantees will be required to use the field guide in the Weatherization Assistance Program and are encouraged to train new staff with this guide.

While the field guide was written for states in the southeastern portion of the country, all measures detailed in the field guide do not apply to Arkansas. Listed below are the measures that are not allowable measures in the Arkansas Weatherization Assistance Program.

- (1) Asbestos removal
- (2) Landscaping
- (3) Interior shading
- (4) Storm Doors
- (5) Knob and tube wiring
- (6) Plumbing
- (7) Clothes dryer replacement

Please note: Arkansas requires that a vapor barrier be installed on only 80% of the ground when installing floor insulation.