



**DIVISION OF COUNTY OPERATIONS  
OFFICE OF COMMUNITY SERVICES**



# **2012-2013 STATE PLAN**



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# Annual File



## OVERVIEW

### A. Background

Arkansas Department of Human Services, Division of County Operations, Office of Community Services (DHS) will administer the Low-Income Weatherization Assistance Program in compliance with Title IV, Energy Conservation and Production Act, as amended. DHS will administer the 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 one year period beginning April 1, 2012 through March 31, 2013.

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

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

The primary purpose of the weatherization program is to conserve energy. The only health and safety measures installed with DOE 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

Arkansas has been advised that due to reduced appropriations from Congress, the funding formula has been revised and as a result Arkansas would not receive a funding allocation for the 2012 program year. However, DOE has taken into account that Arkansas has carry over from the 2011 program year in the amount of \$2,013,498; \$3,673,488 in 2010 LIHEAP carry forward funds and \$3,210,888 of new LIHEAP funds for a total of \$8,897,874.

Arkansas will continue to provide funds to eligible subgrantees, based upon their compliance with all State and federal requirements and the successful completion of their Program Year 2011 budget allocation. The length of the program year will remain at 12 months. The Program Year will begin April 1, 2012 and end March 31, 2013.

### C. Adjusted Average

The adjusted average of \$6,769 will be in use for program year 2012. The ARRA average expenditure limit will remain at \$6,500.

### D. Funds for Administrative Purposes

The state uses 5% for administration. The subgrantees receiving less than \$350,000 will be allowed to use 10% for administration.

### E. Leveraged Resources

Sub grantees provide a variety of services for low-income clients as a part of their overall mission. As a result, they are adept at leveraging other resources to coordinate with weatherization services. Most put together a package of services to assist low-income clients with other housing and social service needs as part of providing Program services. DOE defines leveraging as the obtaining of additional program-

targeted non-federal cash or in-kind contributions as a result of the Weatherization Program-funded activities. The term packaging refers to the combining of two or more sources of funds in a weatherized dwelling unit to expand the scope of services to a low-income client.

The Program works with other agencies to improve benefits to low-income clients through coordination of other funds and programs where possible. The following initiatives are ongoing:

Arkansas Weatherization Program is expected to generate more than \$2 million in utility investments during 2012.

Subgrantees are encouraged to access other federal and State housing funds that can be used along with Program funds to provide comprehensive weatherization services, and additional repair and rehabilitation work.

OCS promotes packaging of weatherization with other funding sources such as utilities, the local departments of social service and offices for aging, and federal Community Services Block Grants and Community Development Block Grants. These sources represent only some of the funding that is available for use in conjunction with the Program to provide more complete energy-related services to low-income clients.

Part of each allocation of LIHEAP funds received by the State is reserved for the Weatherization Assistance Program, administered by OCS.

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

#### **F. Training and Technical Assistance**

The state will use the DOE T/TA 2011 carry over funds to provide training and technical assistance to subgrantees and to monitor subgrantees.

#### **G. Subgrantee Task Force**

The Subgrantee Task Force is a forum open to sub grantee weatherization directors and staff. The Task Force provides opportunities for sub grantees to meet with their peers and OCS staff to discuss the status of the program and identify and resolve a variety of program concerns.

OCS plans to host three statewide Task Force meetings during the Program Year. The statewide meetings are open to all weatherization directors and the agenda for these meetings deal with issues of statewide scope and significance.

#### **H. Application Package**

The state will comply with E-Gov 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 state will revise the budget to include carryover prior to June 30.

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 year.

The potential energy savings are included in this plan.

The Training and Technical Assistance Plan is combined into one plan. A house may be re-weatherized if it was previously weatherized prior to September 30, 1994.

The annual application includes both DOE and LIHEAP funds. The weatherization program is exempt from the Davis-Bacon Act (wage rate requirements).

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.

#### **I. Public Hearing**

The state conducts a public hearing in compliance with DOE requirements.

#### **J. Training and Technical Assistance Plan**

The Training and Technical Assistance Plan is included in this Annual File.

#### **K. Client Education**

In the course of performing an energy audit, the energy auditor is required to meet with a member of the household and complete the Client Education questionnaire. This questionnaire provides the auditor with information about the dwelling unit, the lifestyle of its occupants, and it can direct the auditor to areas where energy can be conserved. In addition, there are pertinent questions about previous health problems and occupancy practices that can lead the auditor to identify health and safety concerns. Once identified, these areas can be dealt with through various means ranging from client education, to corrective action through the weatherization work scope.

## L. Program Evaluation

The Office of Energy Efficiency and Renewable Energy (EERE) began conducting a national evaluation of the program in September 2010. The evaluation will assess a variety of program structures and options for program development. Arkansas will fully participate in the national evaluation. Additionally, Arkansas has contracted with the University of Arkansas at Little Rock to conduct an evaluation of the program and its impact on the state.

## M. Grantee Program Oversight

Program services are delivered through a statewide network of local service providers, referred to as sub grantees. OCS requires that sub grantees follow sound internal management policies and provide skilled workmanship, high quality materials, and timely production of units. The performance of these sub grantees is evaluated on a continuing basis throughout the program year. Subgrantees include community action agencies, and one community-based not-for-profit organization. Under contract with OCS, sub grantees perform a number of services, including: a) identification of eligible clients; b) evaluation of dwelling units to be weatherized; c) installation of energy-saving measures; d) identification and mitigation of related health and safety concerns; e) supervision of weatherization work performed by staff or subcontractors; f) maintenance of client and program files; and, g) preparation of regular management and fiscal progress reports. OCS has the responsibility for overall monitoring and oversight and provides an ongoing training program to improve services.

## N. Energy Audit Criteria

### Energy Audits

Weatherization sub grantees in Arkansas use the **National Energy Audit (NEAT)** to analyze building energy usage and set priorities for weatherization work in one- to four-family buildings. Arkansas will apply to DOE for Approval to use the **Multi-Family National Energy Audit (NEAT) currently under development by DOE, in buildings with five (5) or more units.** The Department of Energy recently reauthorized the NEAT audit platform.

Due to the lack of experience on the part of the state staff and the subgrantee network the DOE Project Officer has recommended that the state contract with an engineering firm to conduct the energy audit of any multi-family units that are weatherized.

## O. Health and Safety

### Health and Safety

OCS has developed and implemented protocols designed to identify and correct, where allowed by DOE rules, health and life safety concerns in dwelling units being weatherized. Up to ten (10%) percent of the cost of materials allocated to DOE Program funds will be used to mitigate energy-related health and safety problems. DOE funds will be used to assure that all dwelling units weatherized will receive smoke detectors and, where appropriate, carbon monoxide detectors.

The Health and Safety Plan is included in the Master File and in this Annual File. The plan has been amended to include DOE requirements regarding mold and mildew. Upon review by the DOE Project Officer the state was required to provide more detail in the plan.

**P. 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.

**Q. Policy Advisory Council**

Pursuant to 10 CFR Part 440.17, Arkansas has established a Policy Advisory Council (PAC) to assist in the development and operation of the Program and provide advice in the development of the State Plan. The PAC is broadly representative of sub grantees, energy advocates, State agencies, and other organizations - including consumer groups - that represent low-income persons in Arkansas. PAC members are well-versed in energy and housing issues.

During the program year, the PAC will meet three times per year; once during the annual grant guidance, during the annual conference and during Weatherization Week. Agendas will cover a range of issues of concern to sub grantees, low-income clients, and program partners. OCS will provide updates on funding, program rules, coordination with other programs, and related issues at PAC meetings. In addition, at the annual conference the PAC will host a breakfast seminar on leveraging partnerships; and host a get to reception during Weatherization Week to raise statewide awareness of the program.

Meetings:

March 9, 2012 – Host Public Hearing on the 2013 State Plan

July 17, 2012 – Host Leveraging Partnership Breakfast and Policy Meeting

October 29, 2012 – Host Weatherization Week Reception and Policy Meeting

**R. Reporting Requirements**

The state will comply with the financial and program reporting requirements of DOE.

**S. Reporting DOE Completed Units**

The state will report all units to DOE that contain DOE funds. All units weatherized with DOE funds will comply with the DOE definition of a completed unit.

**T. Financial Audits**

Subgrantees may budget financial audit cost as a separate budget category.

**U. 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.

## **V. Multi-Family Eligibility**

The Department of Energy has advised states that a multi-family building may be weatherized if two-thirds of the units are eligible. Certain multi-family buildings with significant energy efficiency improvements or leverage resources require only one-half of the units to be eligible.

Currently Arkansas is not approved to weatherize multi-family properties. (The NEAT audit tool can not be used for properties which contain five or more units.) It is our intention to apply to DOE for approval of a multi-family audit tool for use in Arkansas. Arkansas will utilize the three lists posted in WPN 10-15 when beginning multi-family weatherization in the state. We will also utilize supplemental postings at [http://www.1.eere.energy.gov/wip/multifamily\\_guidance.html](http://www.1.eere.energy.gov/wip/multifamily_guidance.html).

Finally, Arkansas does not have sufficient funds or technical expertise to undertake multi-family housing projects. When funding becomes available Arkansas will reserve a pool of funds and provide additional technical assistance to sub grantees to coordinate energy conservation measures in multi-family housing. This funding will be made available on a case by case basis in response to proposals received from the sub grantee network during the Program Year. No Program Year 2012 WAP funds are budgeted for this purpose.

## **W. Recovered Materials**

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

## **X. Rental Requirements**

In accordance with DOE grant guidance to limit undue or excessive enhancement to the value of rental dwelling units, Arkansas requires subgrantees to solicit an investment in the weatherization work from building owners when assisting rental units. Owners who are not themselves eligible for Program assistance are required to invest in the cost of the weatherization services provided to their buildings. The minimum investment that owners must provide is 25% for buildings with fewer than 50 units, and 35% for buildings with 50 units or more. Subgrantees are required to set goals for rental unit completion, based on the proportion of low-income households in their service area. OCS provides training, technical assistance, and other support, including allowing subgrantees to prioritize tenants in rental units on waiting lists, to maximize inclusion of rental housing in the program.

OCS has established policies for collecting owner contributions, and a waiver process that subgrantees must follow for owners who cannot meet the required investment level. These policies are delineated in the Policies and Procedures Manual.

## **Y. Quality Assurance**

A completed home, or unit, is a home in which 1) all weatherization measures have been installed according to NEAT/MHEA and work-orders, including any change orders, if applicable, and 2) the subgrantee, or its authorized representative, has conducted a final inspection and certified that the work has been completed in a professional manner, in accord with WAP work standards, and in accordance with 10 CF§ 440.

10 CFR Part 440.16(g) states that: No dwelling unit may be reported to DOE as completed until all weatherization materials have been installed and the subgrantee, or its representative, has performed a final inspection(s) including any mechanical work performed and certified that the work has been completed in a workmanlike manner and in accordance with the priority determined by the audit procedures.

No dwelling unit may be reported as a completed unit until it meets the above criteria. Before reporting a completed home, DHS/OCS requires all homes to pass a final inspection by subgrantees. Expenses associated with a home that fails a DHS/OCS inspection may be withheld from the subgrantee's subsequent reimbursement until the home passes.

OCS field staff visit subgrantees inspect a sample of the dwelling units that were weatherized (depending on the type of work performed) to ensure that the dwelling units reported have been completed in accordance with all State and federal program requirements. More detail on the monitoring process can be found in Section 5.

#### **Z. Income Eligibility**

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

#### **AA. Fuel Switching**

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

#### **BB. Refrigerators**

The Department of Energy has authorized replacement of refrigerators based on energy usage. At a minimum the percent (10%) of all refrigerators must be metered during the energy audit. Any refrigerator replaced must have an SIR of 1.0 or greater in NEAT/MHEA. Existing refrigerator must be removed and disposed of according to EPA guidelines. All icemakers, stand-alone freezers and through the door water dispensers are not allowed on replacement refrigerators.

#### **CC. Water Heaters**

The replacement of electric water heaters is authorized under certain conditions, to be considered on a case-by-case basis.

# Grant Application



<b>APPLICATION FOR FEDERAL ASSISTANCE</b>		2. DATE SUBMITTED	
1. TYPE OF SUBMISSION: Application  <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction	Pre-application  <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input checked="" type="checkbox"/> Construction	3. DATE RECEIVED BY STATE	
		4. DATE RECEIVED BY FEDERAL AGENCY Applicant Identifier # DCO011050875	
5. APPLICANT INFORMATION			
Legal Name:  Arkansas State of		Organizational Unit: Office of Community Services Department: Human Services	
Organizational DUNS: 024720901		Division: County Operations	
Address: P.O. Box 1437/Slot S330		Name and telephone number of person to be contacted on matters involving this application (give area code)	
Street: 700 Main Street		Prefix: Mr.	
Tho City: Little Rock		Middle Name: E.	
County: Pulaski		Last Name: Green	
State: Arkansas	Zip Code: 72203	Suffix:	
Country: United States		Email: <a href="mailto:thomas.green@arkansas.gov">thomas.green@arkansas.gov</a>	
6. EMPLOYER IDENTIFICATION NUMBER (EIN):  71-0422536		Phone Number (give area code) (501) 682-8715	
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.)  Other ( specify)		7. TYPE OF APPLICANT: (See back of form for Application Types) A  Other (specify)	
10 CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:  81-042 TITLE (Name of Program): Title IV, Part A, P.L. 94-385		9. NAME OF FEDERAL AGENCY: U. S. DEPARTMENT OF ENERGY	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc): State of Arkansas		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:  Weatherization Assistance Program - The program provides energy conservation for the homes of low-income elderly and individuals with disabilities.	
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
Start Date: 04/01/12	Ending Date: 03/31/13	a. Applicant Second	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$2,013,498	a. Yes <input checked="" type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON	
b. Applicant	\$	DATE:	
c. State	\$	b. No <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372	
d. Local	\$	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
e. Other (HEAP)	\$3,210,888 3,673,488	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes" attach an explanation.    X No	
f. Program Income	\$		
g. TOTAL	\$8,897,874		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Authorized Representative			
Prefix Mr.	First Name Thomas	Middle Name E.	
Last Name Green		Suffix	
b. Title Director	c. Telephone Number (give area code) (501) 682-8715		
d. Signature of Authorized Representative	e. Date Signed		

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.

GRANT 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-11050875 X(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)

GRANT YEAR 2012-2013 XX

5. GRANT START DATE 04 / 01 / 12 GRANT END DATE 03 / 31 / 13 (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 ANALYST \_\_\_\_\_

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:**

04/01/12 - 03/31/13

**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 Low-Income Persons will weatherize 176 units for the low-income families in fiscal year 2010. The same number is planned for fiscal year 2011.

**Part II: Budgetary Information:**

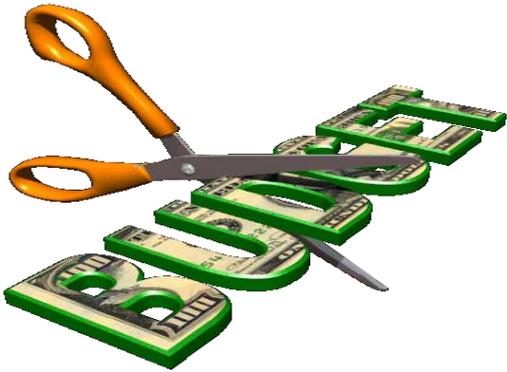
	<b><u>Applicant</u></b>	<b><u>Federal</u></b>	<b><u>State Local Other (Specify)</u></b>	<b><u>Total</u></b>
Personal Services		\$ 214,818		\$ 214,818
Supplies and Materials		10,300		10,300
Travel		25,500		25,500
Capital Outlay		0		0
Consultants Services		1,398,247		1,398,247
Other		<u>237,175</u>		<u>237,175</u>
Total				
Indirect Cost (___%)		<u>127,458</u>		<u>127,458</u>
Total Support		\$ 2,013,498		\$ 2,013,498

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.

# Budget



**Budget Information – Non Construction**

<b>Section A – Budget Summary</b>						
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	2,013,498		\$		\$2,013,498
2.						
3.						
4.						
5. <b>Totals</b>				\$		\$2,013,498
<b>Section B – Budget Categories</b>						
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		\$11,975		\$ 95,093		\$107,068
b. Fringe Benefits		3,377		19,970		23,347
c. Travel		500		15,000		15,500
d. Equipment		300		5,000		5,300
e. Supplies		300		5,000		5,300
f. Contractual		0	111,331	15,000		1,700,431
g. Construction		0		0		0
h. Other		9,000		80,900		89,900
i. Total Direct Charges (sum of 6a-6h)		25,452	111,331	235,963		1,946,846
j. Indirect Charges		10,600		10,000		20,600
k. <b>Totals</b> (sum of 6i and 6j)		\$61,504	111,331	245,963		2,013,498
7. Program Income						

## Budget Information – Non Construction Programs

OMB Approval No.0348-0044

<b>Section A – Budget Summary</b>						
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. <b>Totals</b>						
<b>Section B – Budget Categories</b>						
	<b>Grant Program, Function or Activity</b>					<b>Total</b>
6. Object Class Categories		(1) Program Operations	(2) Health and Safety	(3) Vehicles and Equipment	(4) Liability Insurance	(5)
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual		1,297,277	226,823		25,000	1,549,100
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)		1,297,277	226,823		25,000	1,549,100
j. Indirect Charges						
k. <b>Totals</b> (sum of 6i and 6j)		1,297,277	226,823		25,000	1,549,100
7. Program Income						

### Budget Information – Non Construction Programs

OMB Approval No.0348-0044

<b>Section A – Budget Summary</b>						
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. <b>Totals</b>						
<b>Section B – Budget Categories</b>						
		Grant Program, Function or Activity				Total
6. Object Class Categories		(1) Leveraging	(2) Financial Audits	(3)	(4)	(5)
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual		0	25,000			25,000
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)		0	25,000			25,000
j. Indirect Charges						
k. <b>Totals</b> (sum of 6i and 6j)		0	25,000			25,000
7. Program Income						

## DOE 2011 CARRY-OVER FUNDS

AGENCY	UNITS	PS & M	ADMINISTRATION	TOTAL
BRAD	8	\$ 50,895	\$ 3,553	\$ 54,448
CADC	49	301,424	21,043	322,467
CAPCA	12	75,166	5,248	80,414
CRDC	30	187,068	13,060	200,128
C-SCDC	11	66,585	4,649	71,234
CSO	6	34,586	2,415	37,000
MCAEOC	6	33,913	2,368	36,280
M-DCS	12	73,433	5,127	78,559
NADC	13	82,531	5,762	88,292
OHC	21	129,995	9,075	139,071
OOI	16	101,284	7,071	108,355
PB-JCEOC	16	100,018	6,983	107,001
SEACAC	14	85,926	5,999	91,924
SWADC	19	116,391	8,126	124,516
UHDC	25	155,486	10,855	166,341
TOTAL	259	\$ 1,594,700	\$ 111,331	\$ 1,706,031

\*This formula incorporates \$6,769 maximum average.

\*No 2012 funding received. Arkansas will use 2011 Carry-over funds for 2012.

2012 LIHEAP  
ALLOCATIONS

AGENCY	UNITS	PS & M	ADMINISTRATION	TOTAL
BRAD	9	\$ 57,204.68	\$ 5,123.08	\$62,327.76
CADC	55	338,793.67	30,341.35	369,135.02
CAPCA	14	84,485.12	7,566.24	92,051.36
CRDC	34	210,260.14	18,830.27	229,090.41
C-SCDC	12	74,840.18	6,702.46	81,542.64
CSO	6	38,873.73	3,481.42	42,355.15
MCAEOC	6	38,117.33	3,413.67	41,531.01
M-DCS	13	82,536.77	7,391.75	89,928.52
NADC	15	92,762.46	8,307.53	101,069.99
OHC	24	146,111.67	13,085.32	159,196.99
OOI	18	113,841.17	10,195.28	124,036.44
PB-JCEOC	18	112,418.00	10,067.82	122,485.82
SEACAC	16	96,578.49	8,649.28	105,227.77
SWADC	21	130,820.64	11,715.91	142,536.55
UHDC	28	174,763.30	15,651.28	190,414.58
TOTAL	289	\$1,792,407.35	\$ 160,522.65	\$ 1,952,930.00

\*This formula incorporates \$6,769 maximum average.

Pollution Occurrence Insurance - \$63,000  
Leveraging \$65,000  
State Administration \$160,544  
Sub grantee Administration \$160,544  
Client Education - \$32,000  
Capital Intensive - \$1,000,000

## 2012 CAPITAL INTENSIVE EFFICIENCY ALLOCATION

AGENCY	TOTAL FUNDING
BRAD	31,915
CADC	189,016
CAPCA	47,135
CRDC	117,306
CSCDC	41,754
CSO	21,688
MCAEOC	21,266
MDCS	46,048
NADC	51,753
OHC	81,517
OOI	63,513
PBJCEOC	62,719
SEACAC	53,882
SWADC	72,986
UHDC	97,502
TOTAL	\$ 1,000,000

## 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.

Weatherization Program Administrator  
Budget Specialist  
Grants Analyst (3)

- b. Briefly specify the duties of professionals to be compensated under this project.

Weatherization Program Administrator supervises staff, develops annual grant, develops grant guidance, provides technical assistance to subgrantees, reviews subgrantee contracts.

Budget Specialist Assist in the development and management of the subgrant program operations budget.

Grants Analyst monitors performance of weatherization subgrantees. The Grants Analyst will also assist with the states two training centers, coordinating hands-on training, develops the statewide training plan, review subgrantees for compliance with policies/procedures.

**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.  
No
- 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.

<u>Position/Person</u>	<u>Time</u>	<u>X</u>	<u>Rate</u>	<u>=</u>	<u>Total</u>
Weatherization Program Administrator	30%		\$15,032		\$15,032
Budget Specialist	30%		\$10,247		\$10,247
Grants Analyst	100%		\$42,968		\$42,968
Grants Analyst	100%		\$58,491		\$38,600
Grant Analyst	100%		\$33,387		\$33,387

		WX. Program Administrator	Budget Specialist	(3) Grants Analyst
FICA Match	7.650%	\$ 4,858	\$ 4,415	\$ 8,523
Retirement	10.000%	6,350	-0-	11,140
Unemployment Tax	.089%	57	51	100
Workers Comp Insurance	2.000% \$285 per employee x 12 months	1,270 <u>3,420</u>	1,154 <u>3,420</u>	2,228 <u>10,260</u>
Sub-Total TOTAL		\$15,955	\$ 9,040	\$32,251 =57,246

3. **TRAVEL** - Identify total Foreign and Domestic Travel as separate items.

- a. Indicate the purpose(s) of proposed travel.
  - (1) One trip to the Weatherization Conference for four people.
  - (2) At least two trips to each of 15 subgrantees for the purpose of monitoring and providing technical assistance.
- 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.).
  - (1) Admin. - \$5,000 – Weatherization Conference
  - (2) T/TA - \$15,000 – In-State Travel
  - (3) Admin. - \$ 3,600 - NASCSP Conference, WAP 2015 Planning Committee

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](http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html).

- a. Provide the basis for the equipment cost estimates (e.g., vendor quotes, prior purchases of similar or like items, etc.).  
  
N/A
- b. Briefly justify the need for items of equipment to be purchased.  
  
N/A

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](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.

T & TA - \$8,500 for office purchases for stationary and other office supplies

Admin - \$10,500 for office purchases for stationary and other office supplies

6. **CONTRACTS AND SUBGRANTS** – All other participant costs including subcontractor, subgrants, and consultants.

Provide the information below for new proposed subrecipients and subcontractors. For ongoing subcontractors and subrecipients, 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.

Information is provided elsewhere in the application. See Pages 37-38

\* 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 - \$4,000; prior purchase.

T/TA – Costs are for freight expenses, printing, advertisements, equipment maintenance, rent of copier, office space rent, telephone, credit card purchases, and subscriptions - \$3,500; prior purchase.

- b. Briefly justify the need for items to be purchased.  
These expenses are based on prior year experience.

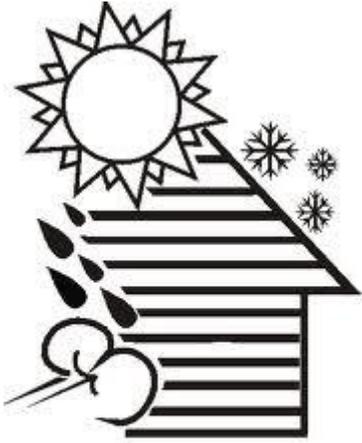
8. **INDIRECT COSTS** -

- 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.

The state uses a cost allocation formula that has been approved by the Department of Energy.

- 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.

# Weatherization Subgrantee Network



*Weatherization  
Works*

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:** 2012-2013

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: 72455-3847

\*Email: [jjansen@bradcorp.org](mailto:jjansen@bradcorp.org)

Tentative allocation:	\$54,448
Planned units:	8
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: 321 Edison Avenue \*Contact: Larry Cogburn, Executive Director

Address 2: P.O. Box 580 \*Fax: (501) 778-9120

City: Benton State: AR Zip Code: 72018-0580

\*Email: [lcogburn@cadc.com](mailto:lcogburn@cadc.com)

Tentative allocation:	\$322,467
Planned units:	49
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

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: Archie Musselman, Executive Director

Address 2: \_\_\_\_\_ \*Fax: (501) 329-8642

City: Conway State: AR Zip Code: 72034-6517

\*Email: [archie.musselman@capcainc.org](mailto:archie.musselman@capcainc.org)

Tentative allocation:	\$80,414
Planned units:	12
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:** 2012-2013

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

Address 1: 2401 Fox Meadow Lane \*Contact: Troy Branscum, Executive Director

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

City: Jonesboro State: AR Zip Code: 72403-6711

\*Email: [troybranscum@crdcnea.com](mailto:troybranscum@crdcnea.com)

Tentative allocation:	\$200,128
Planned units:	30
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. Box 4069 \*Fax: (479) 785-2341

City: Fort Smith State: AR Zip Code: 72914

\*Email: [mwhitmer@cscdcca.org](mailto:mwhitmer@cscdcca.org)

Tentative allocation:	\$71,234
Planned units:	11
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: 71901-1175

\*Email: [lemass@csohs.org](mailto:lemass@csohs.org)

Tentative allocation:	\$37,000
Planned units:	6
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: 2012-2013**

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. Drawer 1289 \*Fax: (870) 776-1875

City: Blytheville State: AR Zip Code: 72316-1289

\*Email: [sam.scruggs@sbcglobal.net](mailto:sam.scruggs@sbcglobal.net)

Tentative allocation:	\$36,280
Planned units:	6
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. Box 745 \*Fax: (870) 338-3629

City: Helena State: AR Zip Code: 72342-0745

\*Email: [mmstaub@suddenlinkmail.com](mailto:mmstaub@suddenlinkmail.com)

Tentative allocation:	\$78,559
Planned units:	12
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 9<sup>th</sup> Street \*Contact: Brad Cummings, Executive Director

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

City: Batesville State: AR Zip Code: 72503-3349

\*Email: [bcummings@nadcinc.org](mailto:bcummings@nadcinc.org)

Tentative allocation:	\$88,292
Planned units:	13
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:** 2012-2013

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

Address 1: 506 East Spruce Street \*Contact: Karen Jennings, Acting Executive Director

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

City: Rogers State: AR Zip Code: 72757-0778

\*Email: [kjennings@eohc.org](mailto:kjennings@eohc.org)

Tentative allocation:	\$139,071
Planned units:	21
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 72602 \*Contact: Richard Atkinson, Executive Director

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

City: Harrison State: AR Zip Code: 72602-1400

\*Email: [exdirooi@windstream.net](mailto:exdirooi@windstream.net)

Tentative allocation:	\$108,355
Planned units:	16
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: David Knight, Executive Director

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

City: Pine Bluff State: AR Zip Code: 71611-7228

\*Email: [dknight@pbjceoc.org](mailto:dknight@pbjceoc.org)

Tentative allocation:	\$107,000
Planned units:	16
Type of organization:	501(c)(3)
Sources of Labor:	DOE

Counties served: Arkansas
Cleveland
Jefferson
Lincoln
Grant

Congressional Districts:
1, 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:** 2012-2013

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: 71671-0312

\*Email: [larryhenderson@seacac.com](mailto:larryhenderson@seacac.com)

Tentative allocation:	\$91,924
Planned units:	14
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: I. Donald Nelson, Interim Executive Director

Address 2: \_\_\_\_\_ \*Fax: (870) 772-2974

City: Texarkana State: AR Zip Code: 71854

\*Email: [swadc@cableone.net](mailto:swadc@cableone.net)

Tentative allocation:	\$124,516
Planned units:	19
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](mailto:pat@uhdc.net)

Tentative allocation:	\$166,341
Planned units:	25
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**

**Agency & Contact Information**

**Counties Served**

**BRAD**

**Mr. James Jansen, Executive Director**  
Black River Area Development Corp.  
1403 Hospital Drive  
Pocahontas, Arkansas 72455-3847  
Telephone: (870) 892-5219  
FAX: (870) 892-0707  
E-Mail: [jjansen@bradcorp.org](mailto:jjansen@bradcorp.org)

Clay  
Lawrence  
Randolph

**Mr. Kris Rose, Weatherization Director**  
Telephone: (870) 892-4547 Ext. 254  
Cell: (870) 378-4756  
E-Mail: [krose@bradcorp.org](mailto:krose@bradcorp.org)

**Financial: Ms. Debbie Shannon**  
Telephone: (870) 892-5219 Ext. 229  
E-Mail: [dshannon@bradcorp.org](mailto:dshannon@bradcorp.org)

**CADC**

**Mr. Larry Cogburn, Executive Director**  
Central Arkansas Development Council  
321 Edison Avenue  
Post Office Box 580  
Benton, Arkansas 72018-0580  
Telephone: (LR) (501) 315-1121  
Telephone: (Benton) (501) 778-1133  
Cell: (501) 776-7306  
Fax: (501) 778-9120  
E-Mail: [lcogburn@cadc.com](mailto:lcogburn@cadc.com)  
Also E-Mail: [lblair@cadc.com](mailto:lblair@cadc.com)

Calhoun  
Clark  
Columbia  
Dallas  
Hot Spring  
Lonoke  
Montgomery  
Ouachita  
Pike  
Pulaski  
Saline  
Union

**Ms. Beverly Palmer, Weatherization Coordinator**  
Telephone: (501)776-8446 or (501)776-9612  
E-Mail: [bpalmer@cadc.com](mailto:bpalmer@cadc.com)

**Financial: Mr. James White, Financial Manager**  
E-Mail: [jwhite@cadc.com](mailto:jwhite@cadc.com)

Weatherization Subgrantees' List  
Page 2

<b>CAPCA</b>	<p><b>Mr. Archie Musselman, Executive Director</b> Community Action Program for Central Arkansas, Inc. 707 Robins Street, Suite 118 Conway, Arkansas 72034-6517 Telephone: (501) 329-3891 Cell: (501) 269-9307 FAX: (501) 329-9247 E-Mail: <a href="mailto:archie.musselman@capcainc.org">archie.musselman@capcainc.org</a></p> <p><b>Ms. Melissa McWilliams, Weatherization</b> Telephone: (501) 329-3891 Ext. 122 E-Mail: <a href="mailto:Melissa.mcwilliams@capcainc.org">Melissa.mcwilliams@capcainc.org</a></p> <p><b>Financial: Mr. Jim Chandler, Fiscal Officer</b> E-Mail: <a href="mailto:jim.chandler@capcainc.org">jim.chandler@capcainc.org</a></p>	<p>Cleburne Faulkner White</p>
<b>CRDC</b>	<p><b>Mr. Troy Branscum, Executive Director</b> Crowley's Ridge Development Council Post Office Box 16720 2401 Fox Meadow Lane Jonesboro, Arkansas 72403-6711 Telephone: (870) 802-7100 ext. 113 Cell: (870) 919-5135 FAX: (870) 935-0291 E-Mail: <a href="mailto:troybranscum@crdcnea.com">troybranscum@crdcnea.com</a></p> <p><b>Mr. Kenny Gunn, Weatherization Director</b> Telephone: (870) 802-7100 Ext. 120 Cell: (870) 974-2824 FAX: (870) 935-0291 E-Mail: <a href="mailto:kennygunn@crdcnea.com">kennygunn@crdcnea.com</a></p> <p><b>Financial: Ms. Rhonda Gillis, Chief Financial Officer</b> Telephone: (870) 802-7100 Ext. 115 Cell: (870) 275-0021 E-Mail: <a href="mailto:rgillis@crdcnea.com">rgillis@crdcnea.com</a></p>	<p>Craighead Crittenden Cross Greene Jackson Poinsett St. Francis Woodruff</p>
<b>C-SCDC</b>	<p><b>Mr. Mark Whitmer, Executive Director</b> Crawford-Sebastian Community Development Council, Inc. 4831 Armour Street Post Office Box 4069 Fort Smith, Arkansas 72914 Telephone: (479) 785-2303 Ext. 107 FAX: (479) 785-2341 E-Mail: <a href="mailto:mwhitmer@cscdcca.org">mwhitmer@cscdcca.org</a></p> <p><b>Ms. Debbie Biggs, Weatherization Director</b> Telephone: (479) 785-2303 Ext. 110 E-Mail: <a href="mailto:dbiggs@cscdcca.org">dbiggs@cscdcca.org</a></p> <p><b>Financial: Ms. Sally Fisher</b> Telephone: (479) 785-2303 Ext. 104 E-Mail: <a href="mailto:sfisher@cscdcca.org">sfisher@cscdcca.org</a></p>	<p>Crawford Sebastian</p>

## Weatherization Subgrantees' List

Page 3

<b>CSO</b>	<p><b>Mr. Leon Massey, Executive Director</b>  Community Services Office, Inc.  600 West Grand Avenue  Post Office Box 1175  Hot Springs, Arkansas 71901-1175  Telephone: (501) 624-5724  FAX: (501) 624-1645  E-Mail: <a href="mailto:lemass@csohs.org">lemass@csohs.org</a></p> <p><b>Ms. Deaseree Cole, Weatherization</b>  Telephone: (501) 624-5724  E-Mail: <a href="mailto:dcolecsohs@yahoo.com">dcolecsohs@yahoo.com</a></p> <p><b>Financial: Mr. Joe Evans</b>  Telephone: (501) 624-5724  E-Mail: <a href="mailto:joejwe3@gmail.com">joejwe3@gmail.com</a></p>	Garland
<b>MCAEOC</b>	<p><b>Mr. Sam Scruggs, Executive Director</b>  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: <a href="mailto:Sam.Scruggs@sbcglobal.net">Sam.Scruggs@sbcglobal.net</a></p> <p><b>Mr. Clark Phillips, Weatherization Director</b>  E-mail: <a href="mailto:clarkphillipswx@yahoo.com">clarkphillipswx@yahoo.com</a></p> <p><b>Financial: Ms. Lavelle Wells</b>  E-Mail: <a href="mailto:lavelle.wells@sbcglobal.net">lavelle.wells@sbcglobal.net</a></p>	Mississippi
<b>M-DCS</b>	<p><b>Ms. Margaret Staub, Executive Director</b>  Mid-Delta Community Services, Inc.  610 S. Biscoe, Post Office Box 745  Helena, Arkansas 72342-0745  Telephone: (870) 338-6406  FAX: (870) 338-3629  E-Mail: <a href="mailto:mmstaub@suddenlinkmail.com">mmstaub@suddenlinkmail.com</a></p> <p><b>Mr. Brandon Millwood, Weatherization Director</b>  1125 N. Columbia  Helena, Arkansas  Send mail to PO Box above  Telephone: (870) 338-3411  FAX: (870) 338-3629  E-Mail: <a href="mailto:bmillwood@suddenlinkmail.com">bmillwood@suddenlinkmail.com</a></p> <p><b>Financial: Mr. Jacob Bright</b>  Telephone: 870-338-6406 (Ext 1019)  E-Mail: <a href="mailto:j.bright@suddenlinkmail.com">j.bright@suddenlinkmail.com</a></p>	Lee Monroe Phillips Prairie

## Weatherization Subgrantees' List

Page 4

**NADC****Mr. Brad Cummings**

Northcentral Arkansas Development Council, Inc.

550 9th Street

Post Office Box 3349

Batesville, Arkansas 72503-3349

Telephone: (870) 793-5765

FAX: (870) 793-2167

E-Mail: [bcummings@nadcinc.org](mailto:bcummings@nadcinc.org)

Fulton

Independence

Izard

Sharp

Stone

**Mike Neal, Weatherization Director**

Telephone: (870) 793-5765 (Ext 240)

E-Mail: [mneal@nadcinc.org](mailto:mneal@nadcinc.org)**Financial: Ms. Nancy Phillips, Finance Officer**E-Mail: [nadc\\_nancy@yahoo.com](mailto:nadc_nancy@yahoo.com) (Underscore nadc\_nancy)**OHC****Ms. Karen Jennings, Acting Executive Director**

Office of Human Concern, Inc.

506 East Spruce Street

Post Office Box 778 (mail address only)

Rogers, Arkansas 72757-0778

Telephone: (479) 636-7301 (Ext 109)

FAX: (479) 636-7312

E-Mail: [kjennings@eohc.org](mailto:kjennings@eohc.org)

Benton

Carroll

Madison

Washington

**Weatherization Office****Ms. Jerrie Dutton, Weatherization Director**

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Post Office Box 778 (mail address only)

Rogers, AR

Telephone: (479) 636-4194

Fax: (479) 631-3945

E-Mail: [jdutton@eohc.org](mailto:jdutton@eohc.org)**Financial: Ms. Karen Jennings (ARRA reporting)**E-Mail: [kjennings@eohc.org](mailto:kjennings@eohc.org)

## Weatherization Subgrantees' List

Page 5

**OOI Mr. Richard "Toby" Atkinson, Executive Director**  
 Ozark Opportunities, Inc.  
 701 East Prospect 72602 (Delivery Address Only)  
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 Harrison, Arkansas 72602-1400  
 Telephone: (870) 741-9406 ext. 235  
 FAX: (870) 741-0924  
 E-Mail: [exdirooi@windstream.net](mailto:exdirooi@windstream.net)

**Mr. Randy McCallister, Weatherization Director**  
 200 W. Nome (Delivery Address Only)  
 PO Box 306  
 Marshall AR 72650  
 Telephone: (870) 448-2010  
 FAX: (870) 448-2018  
 E-mail: [ooiwxdr@windstream.net](mailto:ooiwxdr@windstream.net)

**Financial: Ms. Shirley Richesin**  
 Telephone: (870) 741-9406 Ext. 229  
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**PB-JCEOC Mr. David Knight, Executive Director**  
 Pine Bluff-Jefferson County Economic  
 Opportunities Commission, Inc.  
 Post Office Box 7228 (Mail Address Only)  
 817 S. Cherry Street  
 Pine Bluff, Arkansas 71611-7228  
 Telephone: (870) 536-0046  
 FAX: (870) 535-7558  
 E-Mail: [dknight@pbjceoc.org](mailto:dknight@pbjceoc.org)

**Ms. Amy Bryant, Weatherization Director**  
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 Fax: (870) 535-7558  
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**Financial: Mr. Roger Luttrell**  
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Baxter  
 Boone  
 Marion  
 Newton  
 Searcy  
 Van Buren

Arkansas  
 Cleveland  
 Grant  
 Jefferson  
 Lincoln

## Weatherization Subgrantees' List

Page 6

**SEACAC**     **Mr. Larry Henderson, Executive Director**  
 Southeast Arkansas Community Action Corporation  
 1208 Myrtle  
 Post Office Box 312  
 Warren, Arkansas 71671-0312  
 Telephone:            (870) 226-2668  
 FAX:                    (870) 226-5637  
 E-Mail:                [larry.henderson@seacac.com](mailto:larry.henderson@seacac.com)  
                              [barbara.rice@seacac.com](mailto:barbara.rice@seacac.com)

Ashley  
 Bradley  
 Chicot  
 Desha  
 Drew

**Ms. Betty Forrest, Weatherization Director**  
 914 E. Church St.  
 Warren, Arkansas 71671  
 Telephone:            (870) 226-2923  
 FAX:                    (870) 226-2952  
 E-Mail:                [betty.forrest@seacac.com](mailto:betty.forrest@seacac.com)

**Financial: Ms. Alethea Dallas, Financial Director**  
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**SWADC**     **Mr. I. Donald Nelson, Executive Director**  
 Southwest Arkansas Development Council, Inc.  
 3902 Sanderson Lane  
 Texarkana, Arkansas 71854-2516  
 Telephone:            (870) 773-5504  
 FAX:                    (870) 772-6540  
 E-mail:                [donaldnelson@cableone.net](mailto:donaldnelson@cableone.net)

Hempstead  
 Howard  
 Lafayette  
 Little River  
 Miller  
 Nevada  
 Sevier

**Mr. Stephen O. Harris, Weatherization Director**  
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 Texarkana, Arkansas (71854)  
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 FAX:                    (870) 774-1668  
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**Financial: Mr. Joe Dike**  
 Telephone:            (870) 773-5504  
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 E-mail:                [joedikecpa@valornet.com](mailto:joedikecpa@valornet.com)

## Weatherization Subgrantees' List

Page 7

**UHDC**

**Ms. Patricia Atkinson, Executive Director**  
Universal Housing Development Corporation  
301 E. Third St.  
Post Office Box 846  
Russellville, Arkansas 72801-0846  
Telephone: (479) 968-5001  
FAX: (479) 968-5002  
E-Mail: [pat@uhdc.net](mailto:pat@uhdc.net)  
[universalhousing@uhdc.net](mailto:universalhousing@uhdc.net)

Conway  
Franklin  
Johnson  
Logan  
Perry  
Polk  
Pope  
Scott  
Yell

**Mr. Loyd Collins, Weatherization Director**

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**Financial: Ms. Kim Vogt, Accountant**

E-Mail: [kimv@uhdc.net](mailto:kimv@uhdc.net)

## CONGRESSIONAL DISTRICT 1

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 EDISON AVENUE            POST OFFICE BOX 580            BENTON, ARKANSAS 72018-0580            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 72034-6517            ARCHIE MUSSELMAN, EXECUTIVE DIRECTOR            (501) 329-3891</p>	<p>CLEBURNE</p>
<p>CROWLEY'S RIDGE DEVELOPMENT COUNCIL (CRDC)            2801 FOX MEADOW LANE            POST OFFICE BOX 16720            JONESBORO, ARKANSAS 72403-6711            TROY BRANSCUM, 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 72342-0745            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            (870) 776-1054</p>	<p>MISSISSIPPI</p>
<p>NORTHCENTRAL ARKANSAS DEVELOPMENT            COUNCIL, INC. (NADC)            550 9<sup>TH</sup> STREET            POST OFFICE BOX 3349            BATESVILLE, ARKANSAS 72503-3349            BRAD CUMMINGS, 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 72601-1400            RICHARD ATKINSON, 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 71611-7228            DAVID KNIGHT, EXECUTIVE DIRECTOR            (870) 536-0046</p>	<p>ARKANSAS</p>

## CONGRESSIONAL DISTRICT 2

AGENCIES	COUNTIES
CENTRAL ARKANSAS DEVELOPMENT COUNCIL (CADC) 321 EDISON AVENUE POST OFFICE BOX 580 BENTON, ARKANSAS 72018-0580 LARRY COGBURN, EXECUTIVE DIRECTOR (501) 315-1121	SALINE
COMMUNITY ACTION PROGRAM FOR CENTRAL ARKANSAS, INC. (CAPCA) 707 ROBINS STREET, SUITE 118 ARCHIE MUSSELMAN, EXECUTIVE DIRECTOR CONWAY, ARKANSAS 72034-6517 (501) 329-3891	FAULKNER WHITE
CENTRAL ARKANSAS DEVELOPMENT COUNCIL 5620 WEST 12 <sup>TH</sup> STREET STE 9 LITTLE ROCK, ARKANSAS 72204 LARRY COGBURN, EXECUTIVE DIRECTOR (501) 603-0909	PULASKI
OZARK OPPORTUNITIES, INC. (OOI) 701 EAST PROSPECT POST OFFICE BOX 1400 HARRISON, ARKANSAS 72602-1400 RICHARD ATKINSON EXECUTIVE DIRECTOR (870) 741-9406	VAN BUREN
UNIVERSAL HOUSING DEVELOPMENT CORPORATION (UHDC) 301 EAST THIRD STREET POST OFFICE BOX 846 RUSSELLVILLE, ARKANSAS 72801-0846 PATRICIA ATKINSON, EXECUTIVE DIRECTOR (501) 968-5001	CONWAY YELL PERRY

## 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 72757-0778 KAREN JENNINGS, ACTING 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 72602-1400 RICHARD ATKINSON, 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 72601-0846 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) 321 EDISON AVENUE POST OFFICE BOX 580 BENTON, ARKANSAS 72018-0580 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 71901-1175 LEON MASSEY, EXECUTIVE DIRECTOR (501) 624-5724</p>	<p>GARLAND</p>
<p>PINE BLUFF-JEFFERSON COUNTY ECONOMIC OPPORTUNITIES COMMISSION, INC. (PB-JCEOC) 817 SOUTH CHERRY STREET POST OFFICE BOX 7228 PINE BLUFF, ARKANSAS 71611-7228 DAVID KNIGHT, 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 71671-0312 LARRY HENDERSON, EXECUTIVE DIRECTOR (870) 226-2668</p>	<p>ASHLEY BRADLEY CHICOT DESHA DREW</p>

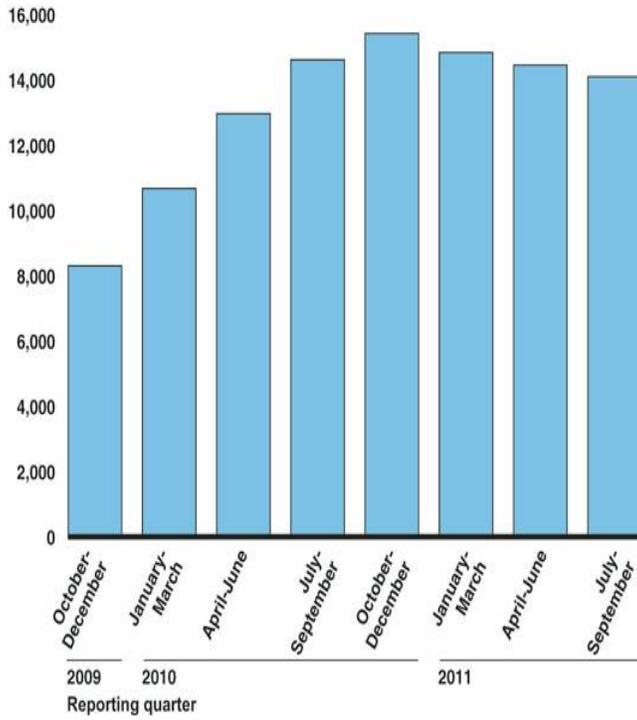
## CONGRESSIONAL DISTRICT 4

AGENCIES	COUNTIES
<p>SOUTHWEST ARKANSAS DEVELOPMENT COUNCIL (SWADC) 3902 SANDERSON LANE TEXARKANA, ARKANSAS 71854-2516 I. DONALD NELSON, EXECUTIVE DIRECTOR (870) 773-5504</p>	<p>HEMPSTEAD HOWARD LAFAYETTE LITTLE RIVER MILLER NEVADA SEVIER</p>

# Production Schedule



Number of reported



DOE F 540.2  
(12-04)

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

OMB Control No. \_\_\_\_\_  
Expiration Date: \_\_\_\_\_Grant #: 841 Amendment: \_\_\_\_\_ State: AR Program Year: 2012-2013Budget Period: 2012-2013**II.3 Subgrantees**

Grantee	City	Tentative	
		Funding*	Units*
BRAD	Pocahontas	\$ 54,448	8
CADC	Benton	322,467	49
CAPCA	Conway	80,414	12
CRDC	Jonesboro	200,128	30
C-SCDC	Fort Smith	71,234	11
CSO	Hot Springs	37,000	6
MCAEOC	Blytheville	36,280	6
M-DCS	Helena	78,559	12
NADC	Batesville	88,292	13
OHC	Rogers	139,071	21
OOI	Harrison	108,355	16
PB-JCEOC	Pine Bluff	107,001	16
SEACAC	Warren	91,924	14
SWADC	Texarkana	124,516	19
UHDC	Russellville	166,341	25
<b>Totals</b>		<b>\$ 1,706,031</b>	<b>259</b>

\* 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**

<b>Number of Units</b> (Excluding reweatherized)	249
<b>Reweatherized Units</b>	<b>10</b>

<b>Average Unit Costs, including Reweathering, Subject to DOE Program Rules*</b>	
VEHICLES & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)	
A Total Vehicles & Equipment (\$5,000 or more) Budget	
B Units Weatherized	249
C Units Reweatherized	10
D Total Dwelling Units to be Weatherized and Reweatherized (B+C)	269
E Average Vehicle & Equipment Acquisition Cost per Unit (A divided by D)	0
AVERAGE COST PER DWELLING UNIT (DOE RULES*)	
F Total Funds for Program Operations**	\$1,594,700
G Total Dwelling Units to be Weatherized and Reweatherized (from line D)	259
H Average Program Operations Cost per Unit (F divided by G)	6,157
I Average Vehicle & Equipment Acquisition Cost per Unit (from line E)	0
J Total Average Cost per Dwelling (H plus I)	6,157

\* 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: 2012-2013

Budget Period: 4/1/12 – 3/31/13

**II.5 Energy Savings**

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

Estimated energy savings (Mbtus): 18,026

Other Energy Savings Method Description

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**II.6 Training, Technical Assistance, and Monitoring Activities**

**Grant Guidance 03/09/12**

**MWBE Workshop 03/07/12**

**Annual Training Conference 07/16 – 07/23, 2012**

**Skills Training 10/29 – 10/31/12**

**II.7 DOE-Funded Leveraging Activities**

N/A

**II.8 Policy Advisory Committee Members**

**Thomas Green, Brad Cummings, Beverly Palmer, Mark Whitmer**

**Scott Hamilton, Kenny Gunn, Melissa McWilliams, Patricia Atkinson**

**Jay Hartman, Jane Todd, Lawrence McCullough**

**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.
<b>03/09/12</b>	<b>Arkansas Democrat-Gazette – 02/24 – 02/26/ 12</b>
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)**

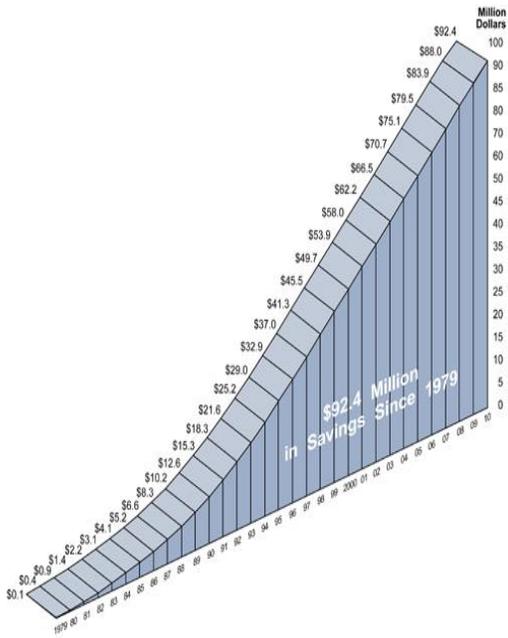
Grant: 841 Amendment: \_\_\_\_\_ State: AR Program Year: 2012-2013  
Budget Period: 4/1/12- 3/31/13

**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.

<b>DOE PROGRAM</b>	<b>AMOUNT</b>	<b>LINE</b>
Total DOE State Weatherization Allocation	\$2,013,498	(a)
Total Cost associated with Administration, T&TA, Financial and Energy Audits or 15% of allocation	\$245,963	(b)
Subtract the amount entered in line (b) from Line (a), for total Federal (DOE) funds available to weatherize homes	\$1,767,535	(c)
State Average Cost per Home or National WAP Program Year Average Cost per Home (i.e., PY2007-\$2,885*)	\$ 6,157	(d)
Total Estimated Homes to be Weatherized	259	(e)
Multiply (e) by 30.5 MBTU** for total Annual Estimated Energy Savings resulting from DOE appropriated funds	7,900	(f)
<b>ALL FUNDING SOURCES</b>		
Total funds (e.g., DOE-WAP, State, Leveraged, LIHEAP, and other non-Federal sources of funds used by the State to weatherize homes	\$6,884,376	(g)
Total cost associated with the administration of Weatherization funds or 15% of total funds available to weatherize homes	\$1,032,656	(h)
Subtract the amount entered in line (h) from line (g), for total funds available to weatherize homes	\$5,851,720	(i)
State Average Cost per Home or Nation WAP Program Year Average Cost per Home (i.e., PY2009 - \$3,055*)	\$ 6,943	(j)
Total Estimated Homes to be Weatherized	843	(k)
Multiply (k) by 30.5 MBTU** for total Annual Estimated Energy Savings resulting from all funding sources	25,712	(l)

# Training and Technical Assistance



Training and Technical Assistance Activities



Monitoring Activities

## TRAINING AND TECHNICAL ASSISTANCE

Arkansas is supportive of the development of a green workforce to meet the challenges posed by climate change, constraints on energy supply, high energy prices, and expansion of the energy efficiency and alternative energy industries.

The increasing technical requirements of the Weatherization Program require a consistent standard for sub grantee staff qualifications, to ensure a minimum level of competence in program operations. In Program Year 2012 OCS requires course work designed to lead to certification, for weatherization staff performing energy audits and installing conservation measures be taken by March 31, 2013. OCS will continue to phase in new requirements over time, to allow existing staff adequate opportunity to obtain required training and skills.

Arkansas has been actively engaged in the development of two training centers, in coordination with Arkansas Energy Office using the Department of Energy (DOE) Standardized Training Curriculum for the Weatherization Network.

In order to implement this system, the WAP Workforce must have uniform job classifications. These job classifications are based upon the standardized work specifications developed by DOE to ensure a level of competency for weatherization workers in various job positions.

Job Classifications consist of:

- **Weatherization Installer/Technician:** Installs weatherization materials on the homes;
- **Weatherization Inspector:** Conducts Final Inspections;
- **Weatherization Crew Chief:** Serves as leader of a crew of Weatherization Installers/Technicians;
- **Energy Auditor:** Conducts the actual audit of the home and writes up specifications;
- **Weatherization Contractor:** Contracts with the subgrantee to install weatherization measures on the home.

OCS realizes that each agency will not have staffing at the level indicated and that staff often perform dual roles. In Arkansas the Weatherization Director functions as the program manager. At some sub grant agencies, the Weatherization Director and the Energy Auditor perform duties of the Weatherization Inspector. In your plan you are asked to indicate the role of each staff person (i.e. Energy Auditor/Weatherization Inspector; Weatherization Director/Weatherization Inspector). In addition to the above job classifications, OCS requires the addition of a Client Education Specialist. The duties of this person can be performed by the Energy Auditor or Weatherization Director.

The Office of Community Services utilizes the Weatherization Training Centers located on the campuses of Pulaski Technical College in Little Rock and the Northwest Arkansas Community College in Rogers, Arkansas for training purposes. Arkansas will require all weatherization staff at the subgrantee level to become certified once the certification process is finalized. These centers will be devoted primarily to Weatherization training, but would also be available to support training of dislocated workers and would further the State's Green Jobs efforts. Costs of developing these centers have been paid with Recovery Act funds.

New contractors must attend the Contractors Workshop. This workshop will be conducted at the Weatherization Training Centers.

Subgrantees will be allowed to attend Arkansas training facilities only. This policy is necessary due to substantially decreased funding for WAP beginning April 1, 2012 and the need to sustain Arkansas Weatherization Training Centers. Any out-of-state travel must be justified and approved by OCS prior to travel.

#### GRANT GUIDANCE

Minority Woman Owned Business Enterprise Workshop (MWBE)

March 7, 2012

The state Weatherization Assistance Program staff will provide information to minority and woman owned vendors on how to access the program.

March 9, 2012

State weatherization manager will provide information on the changes that will be mandatory for the new program year.

Arkansas has scheduled the following opportunities for training:

#### WAP ANNUAL TRAINING CONFERENCE

July 17 - 20, 2012

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).

#### FALLS SKILLS TRAINING

October 29 – 31, 2012

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.

# WAP Monitoring Approach

Home Weatherization Inspection Checklist

Learn To Perform Your Own Home Weatherization Inspections and Repairs

- Windows...
- Doors...
- Insula...
- Ra...



"It pays to weatherize"

[www.WeatherizeAmerica.com](http://www.WeatherizeAmerica.com)

## WAP MONITORING APPROACH

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. OCS subcontracts with fifteen (15) Community Action Agencies (CAA's) and one housing corporation to implement the program at the local level. The WAP has been in existence for over thirty (30) years and has two (2) Program Monitors (PM) to provide program oversight. This year the program is adding a Budget Specialist and an additional Program Monitor to form the financial staff for the program.

The Program Monitors will alternate assigned agencies each year. The attached Organizational Chart will serve to illustrate the flow of operations within OCS. All staff report to the Program Manager.

Each Program Monitor will follow the monitoring protocol listed below which in addition to desk reviews will require an onsite visit to the agency every three months.

The Budget Specialist will develop the subgrantee operations budget and will manage the financial workbooks.

### **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 OCS Financial Reporting requirements. The PM will review the WAP-03, WAP-04. The PM will determine if production goals have been met and if the LIHEAP statistical data is captured and input is in the correct columns and matches the cumulative total. The PM will also review the Financial Workbook and Invoice electronically prior to submitting an invoice for payment. During this review the Funds Received page will be reviewed to ensure the subgrantee entered all funds received during the report month additionally, the PM will review the purchase order in AASIS to ensure that funds are available to pay the invoice and will record the total funds received in the financial workbook. After conducting the desk review, the PM will then schedule a monitoring visit to the agency. As a result of the desk the PM 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.

- Identify 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. Together with Program Monitors, they will also identify and implement corrective actions.

### **Onsite Monitoring**

Program Monitors will visit each subgrantee every three months. After the initial visit during which a full report will be developed, the Program Monitor will conduct follow up visits during which the focus will be on technical monitoring. A Training and Technical Assistance report will be submitted after each technical monitoring. A full report will be developed at the end of each quarter.

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 up to 25 percent (25%) of homes at various stages of weatherization. Within the 25 percent (25%), at least ten percent (10%) must have a quality control inspector to determine the quality of workmanship and appropriateness of service delivered by the subgrantee.
- Inspect 25 percent (25%) of client files (which could be the same as files used for home/field review) to ensure compliance with DOE rules.
- Client files should include, but are not limited to: application, income-documentation, copy of utilities (for high energy burden qualification), contractor contracts; work orders, inventory in and out sheets, receipts, appropriate WAP forms, SHPO letter (if applicable), waiver letters (if applicable) BP testing (if applicable), BCJOS, before and after photographs, testing results, etc.
- 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 subgrantee 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.

### **On Site Fiscal Review**

During the quarterly monitoring 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 and 10 CFR Part 600.

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.

During the Arkansas Weatherization Assistance Program’s Annual Conference, Agencies that have met or exceeded expectation in performance and production are recognized among their peers and presented a trophy of excellence. Nominations and a review committee make this determination. The review committee uses the set of criteria and point system to select the winners.

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 subgrantee shall be advised within ten (10) days after the conclusion of the quarterly 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 fifteen (15) 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 subgrantee within ten (10) days of the acceptance or rejection of all or parts of the subgrantee's response. The subgrantee shall be given an additional ten (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 subgrantee a finding of facts detailing the specific deficiencies, required corrective actions and establishing a five (5) day time period for corrective action to take place.
5. If at the end of that five (5)-day period, specific corrective actions have not been effected, OCS shall inform the subgrantee 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 subgrantee of any appeal rites and procedures to state and federal authorities in the sanction transmittal.

# Leveraging Activities



## **Leveraging Activities**

Identifying new sources of funds for WAP in Arkansas is a priority. Utilizing Economic Opportunity Studies, the Recovery Act Weatherization Leveraged Partnerships and Performance Assistance Project, is planned. Interest in selling carbon credits, as pioneered by Maine WAP, is high.

### **PAC**

The Policy Advisory Council (PAC) will meet three (3) times per year. Leveraging responsibilities specified in PAC by-laws include:

(Article I, Section 4)

- “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;”

### **Weatherization 2015**

The manager of Arkansas’ WAP is a member of “Weatherization 2015” committee. Formed by NASCSP, this group will meet for a 15-month period to address WAP funding issues.

### **Arkansas Weatherization Program (AWP)**

Arkansas has a model utility program, developed through the Arkansas Public Service Commission. Seven (7) natural gas and electric utilities around the state contribute funds to offset partial costs of energy audits and certain weatherization measures for eligible clients. The fifteen (15) agencies implementing WAP in Arkansas submit billing information for reimbursement by AWP. This program is contracted through the largest WAP agency in Arkansas.

- OCS would prefer to administer AWP but enabling legislation and computer upgrades would be required in order to take this program to the state level.
- OCS makes a grant of \$65,000 to Arkansas Association of Community Action Agencies (AACAA) to coordinate this program with the Public Service Commission.
- 100% participation in AWP by all fifteen (15) WAP agencies at the beginning of program year 2013 (April 1, 2012) is OCS goal for AWP.

### **For-profit weatherization**

As a priority, Arkansas encourages individual WAP agencies to develop capabilities to weatherize non-DOE houses. DOE vehicles, equipment, and staff used for weatherizing non-income eligible houses must be assigned a cost which is paid with non-DOE funds. Prior to implementing such a program, each agency must have OCS approval of its plan. Some Arkansas utility companies provide funds to assist their utility customers in realizing this opportunity for weatherizing their homes.

### **Coordinated work**

As a priority, Arkansas encourages coordinated work agreements between its WAP agencies and other energy and housing resources, such as Rural Development, HUD, Federal Home Loan Bank, State Energy Office, Good Neighbor. The Arkansas Sub grantee Operations Manual provides guidance in structuring coordinated work plans and allows clients to be served out of turn on the prioritized waiting list when such leveraged resources are available.

# Policy Advisory Council



## Arkansas Policy Advisory Council Meetings

Pursuant to 10 CFR Part 440.17, the Office of Community Services (OCS) has established a Policy Advisory Council (PAC) to assist in the development and operation of the Weatherization Assistance Program and provide advice in the development of the State Plan. The PAC is broadly representative of sub grantees, energy advocates, State agencies, and other organizations - including consumer groups - that represent low-income persons in Arkansas. PAC members are well-versed in energy and housing issues.

The PAC members are involved in weatherization activities such as training and Weatherization day activities and leveraging funds. Entergy Arkansas (Electric Utility) 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.

For program year 2012, we are asking the PAC to assist with program development by hosting a Leveraging Partnership Breakfast during the Annual Training Conference and to help promote the program by hosting a reception during Weatherization Week to raise statewide awareness of the program.

Listed below are the dates that have been scheduled for the events referenced above:

### **Meetings:**

March 9, 2012 – Host Public Hearing on the 2013 State Plan

July 17, 2012 – Host Leveraging Partnership Breakfast and Policy Meeting

October 29, 2012 – Host Weatherization Week Reception and Policy Meeting

Revised 02/17/12

WEATHERIZATION ASSISTANCE PROGRAM  
POLICY ADVISORY COUNCIL MEMBERS

TERM OF SERVICE

<u>NAME/ADDRESS/PHONE</u>	<u>GROUP/ ORGANIZATION REPRESENTED</u>	<u>EXPIR. DATE</u>
Thomas E. Green Post Office Box 1437/S330 Little Rock, AR 72203 Phone: (501) 682-8715	Office of Community Services Ex-Officio	N/A
Position to be Filled Main Stream 300 South Rodney Parham Rd Ste 5 Little Rock, AR 72205-4774 Phone: FAX: E-Mail:	Elderly and Individuals with Disabilities	1/13
Brad Cummings, Executive Director Northcentral Arkansas Development Council 550 9 <sup>th</sup> Street PO Box 3349 Phone: (870) 793-5765 FAX: (870) 793-2167 E-Mail: <a href="mailto:bcummings@nadcinc.org">bcummings@nadcinc.org</a>	Weatherization Subgrantee CAA Executive Director	1/13
Beverly Palmer Weatherization Director Central Arkansas Development Council Post Office Box 580 Benton, Arkansas 72018 Phone: (501) 315-1121 FAX: (501) 778-9120 E-Mail: <a href="mailto:bpalmer@cadc.com">bpalmer@cadc.com</a>	Weatherization Director	1/13

PAC - Term of Service  
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<p>Mark Whitmer, Chair Weatherization Director Crawford-Sebastian Community Development Council, Inc. 4831 Armour Street Post Office Box 4069 Fort Smith, AR 72914 Phone: (479) 785-2303 FAX: (479) 785-2341 E-Mail: <a href="mailto:mwhitmer@cscdcca.org">mwhitmer@cscdcca.org</a></p>	At Large Position	1/13
<p>Scott Hamilton Director Arkansas Energy Office 900 West Capitol Little Rock, AR 72201 Phone: (501) 682-7560 E-Mail: <a href="mailto:shamilton@arkansasedc.com">shamilton@arkansasedc.com</a></p>	At Large Position	1/13
<p>Position to be Filled Director of Community Development 7500 Cantrell Road Little Rock, AR 72207 Phone: FAX: E-Mail:</p>	At Large Position	1/13
<p>Kenny Gunn, Weatherization Dir. Crowley's Ridge Development Council, Inc. Post Office Box 16720 Jonesboro, Arkansas 72403-1497 Phone: (870) 802-7100 ext. 120 E-Mail: <a href="mailto:kennygunn@crdcnea.com">kennygunn@crdcnea.com</a></p>	At Large Position	1/13
<p>Melissa McWilliams Weatherization Director Community Action Program for Central Arkansas, Inc. 707 Robins Street, Suite 118 Conway Arkansas 72034-6517 Phone: (501) 329-3891 Ext. 122 FAX: (501) 329-9247 E-Mail: <a href="mailto:Melissa.mcwilliams@capcainc.org">Melissa.mcwilliams@capcainc.org</a></p>	At Large Position	1/13

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Position to be Filled CenterPoint/ARKLA P.O. Box 751 Little Rock, AR 72203 Phone: FAX: E-Mail:	Public Utilities	1/13
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Patricia Atkinson Universal Housing Development Council 301 Third Street Post Office Box 846 Russellville, AR 72801-0846 Phone: (479) 968-5001 FAX: (479) 568-5002 E-Mail: <a href="mailto:pat@uhdc.net">pat@uhdc.net</a>	Housing	1/13
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Jay Hartman Manager – Customer Operations Support ENTERGY - Arkansas PO Box 551 (A-9LA-1D) Little Rock, AR 72203 Phone: (501) 396-4932 FAX: (501) 396-4330 E-mail: <a href="mailto:jhartma@entergy.com">jhartma@entergy.com</a>	Public Utilities	1/13
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Jane Todd Public Service Commission Post Office Box C-400 Little Rock, AR 72203 Phone: (501) 682-5988 FAX: (501) 682-5882 E-Mail: <a href="mailto:janie_gray@psc.state.ar.us">janie_gray@psc.state.ar.us</a> (This e-mail address has an underscore between first and last name)	Public Service Commission	1/13
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Lawrence McCullough Rural Development USDA Service Center Federal Building, Room 3416 700 West Capitol Avenue Little Rock, AR 72201-3225 Phone: (501) 301-3205 FAX: (501) 301-3290 E-Mail: <a href="mailto:Lawrence.mccullough@ar.usda.gov">Lawrence.mccullough@ar.usda.gov</a>	Housing	1/13
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# 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 Individuals with Disabilities
- 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: ArkansasREGULATION REFERENCE: 440.14DATE 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 thirty (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 State Plan implemented the new Weatherization Assistance Program Operations Manual as of 4/1/11.

THE ARKANSAS WEATHERIZATION POLICY ADVISORY

HOLIDAY INN PRESIDENTIAL CENTER  
INTERSTATE 30  
LITTLE ROCK, AR 72203  
JANUARY 21,20, 2011  
10:00-11:00 A.M.

**IN THE MATTER OF:  
WEATHERIZATION ASSISTANCE PROGRAM PUBLIC HEARING**

---

**CHANGE AS REQUIRED  
APPEARANCES:**

MS. BEVERLY PALMER	PAC MEMBER
MS. PATRICIA ATKINSON	PAC MEMBER
MS. MARTIE NORTH	PAC MEMBER
MR. WILLIAM TAFT WILSON	PAC MEMBER
MR. THOMAS GREEN	PAC MEMBER
MS. JANE GRAY-TODD	PAC MEMBER
MS. DORIS WRIGHT, STATE WEATHERIZATION PROGRAM MANAGER, ARKANSAS OFFICE OF COMMUNITY SERVICES, DHS	

**PUBLIC ATTENDEES:**

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**EXHIBITS**

No Exhibits.

## WEATHERIZATION ASSISTANCE PROGRAM

## PUBLIC HEARING

JANUARY 21, 2011

**Doris Wright:** Good morning, my name is Doris Wright, Weatherization Program Manager at the Arkansas Department of Human Services, Office of Community Services. My purpose here today is to conduct a public hearing on the 2011-2012 Weatherization Assistance Program State Plan. We propose a one year plan.

The department has proposed an allocation of \$1,622,100 from the United States Department of Energy funds and \$3,362,558 from the Home Energy Assistance Program funds for FY 10. Carryover is estimated at \$2,891,103.

The annual file is submitted to DOE and master file is updated as appropriate at the Department of Human Services. There may be changes in reporting requirements if there are changes required by the Department of Energy.

Grantees are expected to achieve a rate of production and expenditures that will result in all weatherization funds being spent by the end of the each year.

Training and technical assistance will be provided in the following areas on an as needed basis: Management and Administration, Basic Skills, Contract Training, Consumer Education, Leveraging, Rules and Regulations, National Energy Audit, Mobile Home Energy Audit, and Management Information System.

The following trainings have been tentatively scheduled:

Minority and Woman-Owned Business Enterprises  
January 20, 2011

Grant Guidance:  
January 21, 2011

Annual Training Conference:  
July 13-15, 2011

Skills Training:  
October 6-7, 2011

With the development of the Weatherization Training Center, OCS will require all subgrantee personnel engaged in weatherization work to become certified. The curriculum leading to certification will be based upon DOE guidance. The Weatherization Training Center will be used for general skills training provided annually and additional training needs as determined by monitoring visits and monthly reports. Attendance by appropriate subgrantee personnel is required at all trainings. The effectiveness of state training will be evaluated annually. Attendance at training includes regional and national training sessions provided.

The state compares productivity by use of monthly reports. These reports are compiled and shared with subgrantees annually. It is estimated the 45 percent of the training and technical assistance funds will be used for monitoring activities. Other funds will also be used for monitoring activities.

Weatherization services will be provided in all 75 counties in Arkansas by 15 subgrantees.

Funds for Indian tribes are taken from state allocations. However, Arkansas has no Indian tribes at this time.

Approximately 212 units will be weatherized with Department of Energy funds and approximately 379 units will be weatherized with Home Energy Assistance Program funds.

The state is requiring the use of the blower door on all units. Subgrantees receiving less than \$350,000 will receive ten percent of the United States Department of Energy funds for administration. Home Energy Assistance Program funds are limited to five percent for administration.

The state proposes up to \$65,000 for leveraging using Home Energy Assistance funds; up to \$62,000 for Pollution Control Insurance and \$32,000 for Client Education will be transferred to the ARRA budget. Funds will be used to weatherize homes if not expended for leveraging, and pollution control insurance and Client Education.

Children are included in the priority system. Children are defined to be dependents under the age of 18 who are full-time students in a secondary school or equivalent technical or vocational training who may be reasonably expected to complete the program before reaching age 19.

The financial audit, liability insurance and health and safety, Capital Intensive Efficiency and T&TA will continue to be separate budget items.

Program income is defined as any funds earned from non-federal sources during the course of performing weatherization work. The income generated must be used to complete additional houses in accordance with program rules.

Each subgrantee is required to have a policy on procurement of building insulation products and materials containing recovered materials in compliance with federal and state requirements.

All low-income Weatherization Assistance Program subgrantees completing renovation work on 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 base paint. The renovators are required to give occupants a copy of the Environmental Protection Agency booklet "Renovate Right – Important Lead Hazard Information for Families, Child Care Providers and Schools" at least seven days prior to the start of work. This requirement applies only to those homes covered by the Environmental Protection Agency rule. A house may be reweatherized if it was previously weatherized prior to September 30, 1994.

The state will continue to have a Policy Advisory Council as opposed to having a commission.

The Department of Energy has authorized replacement of refrigerators, electric water heaters, and cook stoves under certain conditions. The maximum average per unit for 2011 will be \$6,500.

The Health and Safety plan includes mold and mildew. This includes a training plan, client certification form, walk-away policy and checklist.

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

The Arkansas Department of Human Services is in compliance with Titles VI and VII of the Civil Rights Act and operates, manages and delivers services without regard to age, religion, disability, political affiliation, veteran status, sex, race, color, or national origin. If you need this material in a different format, such as large print, contact our Americans with Disabilities Act Coordinator at (501) 682-8922 voice, or (501) 682-8820 TDD.

Written comments may be submitted by 4:30 p.m., February 22th to:

Thomas E. Green, Assistant Director  
Office of Community Services  
P.O. Box 1437, Slot S-330  
Little Rock, AR 72203-1437

This ends the public hearing. Are there any public comments regarding this hearing?

# Adjustments to On-Line Information



The maximum average per unit cost for FY 2012 is \$6,769 per unit.

The state will use 200% of the poverty guidelines as the eligibility criteria. The Department of Energy definition of income will be used.

The expenditure limit for Health and Safety measures is 15% of the average per unit cost.

Arkansas will comply with Section 106 of 16 U.S.C. 470 the National Historic Preservation Act (NHPA).

Arkansas will implement the National Standards for Weatherization work and the companion set of Knowledge, skills and attributes for the workforce involved in the residential energy efficiency retrofit industry.

# Miscellaneous



## Miscellaneous

Energy Audit: Arkansas uses NEAT for stick built homes and MHEA for mobile homes.

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.

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

Historic Preservation: The Office of Community Services will notify the Arkansas Office of Historic Preservation prior to weatherizing any unit 50 years old or older.

# 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.

The Applicant agrees to submit requested data to the Department of Energy regarding programs and activities developed by the Applicant from the use of Federal assistance funds extended by the Department of Energy. Facilities of the Applicant (including the physical plants, buildings, or other structures) and all records, books, accounts, and other sources of information pertinent to the Applicant's compliance with the civil rights laws shall be made available for inspection during normal business hours of request of an officer or employee of the Department of Energy specifically authorized to make such inspections. Instructions in this regard will be provided by the Director, Office of Civil Rights, U.S. Department of Energy.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts (excluding procurement contracts), property, discounts or other Federal assistance extended after the date hereof, to the Applicants by the Department of Energy, including installment payments on account after such data of application for Federal assistance which are approved before such date. The Applicant recognizes and agrees that such Federal assistance will be extended in reliance upon the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, the successors, transferees, and assignees, as well as the person(s) whose signatures appear below and who are authorized to sign this assurance on behalf of the Applicant.

#### Applicant Certification

The Applicant certifies that it has complied, or that, within 90 days of the date of the grant, it will comply with all applicable requirements of 10 C.F.R. § 1040.5 (a copy will be furnished to the Applicant upon written request to DOE).

#### Designated Responsible Employee

Bernard Pighee, Administrator (501) 682-7955  
Name and Title (Printed or Typed) Telephone Number

\_\_\_\_\_  
Signature Date

Arkansas Department of Human Services (501) 682-8715  
Applicant's Name Telephone Number  
Post Office Box 1437/S330  
Address: Date  
Little Rock, Arkansas 72203-1437

Authorized Official:  
President, Chief Executive Officer  
or Authorized Designee

Thomas E. Green, Assistant Director (501) 682-8715  
Name and Title (Printed or Typed) Telephone Number

\_\_\_\_\_  
Signature Date

## 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 31, 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 Downpayment 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 substances 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	
SIGNATURE	DATE



U.S. DEPARTMENT OF ENERGY

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 98, Microsoft Office 97, 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)**

GO-PF19  
(1/98)

Grantee DUNS Number is 71-0422536. For assistance in obtaining a DUNS Number, call DUNN & Bradstreet at 1-800-333-0505. The officer 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](http://www.pr.doe.gov/1f040_toc.html) and the poster at [www.eren.doe.gov/golden/paf.html](http://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](mailto: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



DOE F 1325.8  
(8-89)  
EFG (07-90)

United States Government

Department of Energy

# memorandum

DATE: October 5, 2010  
REPLY TO:  
ATTN OF: EE-2K  
SUBJECT: Approval of Arkansas's Audit Procedures for Single-Family Homes and Mobile Homes for the Weatherization Assistance Program  
TO: Angela S. Young, Division Director, Intergovernmental Projects & Outreach Division, Project Management Center, National Energy Technology Laboratory

To ensure that energy audit procedures of sufficient technical rigor are used in the U.S. Department of Energy's (DOE's) Weatherization Assistance Program, states must submit their energy audit procedures to DOE for approval every five years. DOE last approved Arkansas's energy auditing procedures April 10, 2001 for single-family audit tools and June 22, 2004. Arkansas requested DOE approve its audit procedures for single-family houses and mobile homes. DOE received the following materials to assist in its review of Arkansas's request:

- NEAT and MHEA sample audits
- Southeast Weatherization Field Guide
- Correspondence with Arkansas Department of Human Services

The request has been reviewed in accordance with Weatherization Program Notice 01-4 and was found to comply with §440.21 of the final rule. Based on the review of the submitted material, the approval of Arkansas's energy audit procedures is restricted as follows:

- The approval covers single-family buildings containing one to four dwelling units for the use of NEAT. The approval covers mobile homes for the use of MHEA.
- The approval of the energy audit procedures does not constitute approval of measures not listed in Appendix A, or not otherwise approved by the Department, for expenditure of Weatherization funds.
- The approval of the energy audit procedures does not constitute approval of a state's health and safety plan or the materials listed therein for purposes of allowable expenditures.

- Arkansas and its subgrantees should revisit their health and safety protocols to review appropriate measures. Arkansas and its subgrantees should work to eliminate as many as possible unvented space heaters. Weatherization Program Notice 02-5 provides further guidance on what DOE allows. Arkansas should review the knob-and-tube section of WPN 02-5 and consider the allowance of re-wiring homes with knob-and-tube wiring, as funds allow. Elimination of knob-and-tube wiring would allow subgrantees to better air seal and insulate homes.
- The State of Arkansas should continue to increase its capabilities of using NEAT and MHEA to ensure that the audit tools are used consistently and appropriately. The Department encourages Arkansas to support their subgrantees in pursuit of further building science knowledge.

Please provide this information to the State of Arkansas. If there are any questions, please contact Floris Weston at (412) 386-7340.



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# Health and Safety



Arkansas Weatherization and Assistance Program's comprehensive Health and Safety Plan is divided into six sections:

1. Heating, Ventilation And Air Conditioning (HVAC);
2. Appliances;
3. General Building Structure;
4. Physical Health and Safety (Client and Worker);
5. General Hazards (Physical and Material); and
6. Health and Safety Practices for Weatherization Workers.

This plan was developed as a collaborative effort between the State of Arkansas Department of Human Services – Office of Community Services (DHS-OCS), the Arkansas Weatherization Assistance Program Network, Northwest Arkansas Community College – Weatherization Training Center and Pulaski Technical College – Weatherization Training Center and Department of Energy Project Officer.

Health and Safety issues have become an important part of the Weatherization Assistance Program (WAP) as knowledge about the hazards within dwellings has increased since the Program's inception.

When a health or safety hazard is detected, it is the policy of the Arkansas Department of Human Services – Office of Community Services (DHS-OCS) administrator of the Arkansas Weatherization Assistance Program, to inform the client and address the hazard according to protocol.

Although WAP funds are primarily used for energy conservation, the Department considers establishing a healthy and safe home environment to be an important component to weatherization work. Therefore, the health and safety of the building, occupants and weatherization crews or contractors must not be compromised by any retrofit material, technique or practice.

This Health & Safety Plan shall apply to Arkansas Weatherization Assistance Programs. It is not intended to override federal, state or local health and safety regulations, codes or ordinances. Such requirements, must be followed if they are more stringent, otherwise, the requirements in this plan will apply.

The expenditure limit for Health and Safety measures is fifteen percent (15%) of the average per dwelling unit cost. The 15% limit for Health and Safety expenditures is agency wide and does not need to be applied evenly across homes. The Health and Safety expenditures are not a part of the average cost per unit. However, **authorized** (necessary) repairs that support weatherization, such as minor wiring, plumbing to space heater, **are part of the limit** (as adjusted by DOE) and need to bear whole house Savings to Investment Ratio (SIR) scrutiny.

Incidental repairs may be performed in conjunction with any of the priorities previously listed. The total cost of these repairs (labor and materials) may not exceed \$600 per unit. Incidental repair costs must be included as part of the total unit cost when determining the maximum and average expenditure per dwelling unit.

An incidental repair is defined as those repairs necessary for the effective performance or preservation of weatherization materials. Such repairs include, but are not limited to: framing or repairing windows and doors which could not otherwise be caulked or weather-stripped and providing protective materials, such as paint, used to seal materials installed under this program.

If health and safety issues identified on an individual unit cannot be addressed within the allowable WAP limits then the unit would exceed the scope of this program and must be deferred.

Subgrantees must test for high carbon monoxide (CO) levels and acceptable levels must be reached before weatherization work can start. Maximum acceptable CO readings are as follows:

<b>Carbon Monoxide Action Levels</b>	
Living Area (Ambient Air)	09 PPM
Un-vented Space Heaters	25 PPM
Combustion Appliances, air-free	100 PPM
Top Burners on Cook Stove	25 PPM
Cooking Ovens	100 PPM

**Air-Free Carbon Monoxide -**

A measurement of CO in an air sample or flue gas that takes into account the amount of excess air (oxygen, O<sub>2</sub>) in the sample, incorporating an adjustment to the as-measured CO ppm value, thus simulating air-free (oxygen-free) conditions in the sample. Usually measured in units of parts per million (ppm).

## **Amendments to Arkansas Weatherization Assistance Program Health and Safety Plan**

From time to time, this plan may be amended and/or revised by the DHS–OCS to reflect changes in state or federal regulations, advances in technology, and/or innovative approaches to weatherization. The DHS-OCS encourages agencies to submit suggested changes to these practices that will result in the delivery of services in a more cost-effective manner while continuing to provide high quality work. Suggested changes **must** be accompanied by supporting documentation.

Amendments to these standards will not become effective until the following program year, unless a Program Notice is received from Department of Energy (DOE). The following conditions are where amendments or revisions will become effective immediately:

- a. Changes in State or federal law or regulations mandate immediate implementation; or
- b. DHS determines that an emergency situation exists, such as a potential threat to life, limb, or personal property, and the proposed amendment and/or revision is necessary for the protection of the health and welfare of Arkansas citizens.

The following pages provide procedures that include a method used to determine when DOE funds will be used to address specific health and safety issues, and how to treat problems that cannot be addressed with DOE funds as well as required training for field workers to identify and test for the presences of health and safety hazards.

## ARKANSAS WAP HEALTH & SAFETY REQUIREMENTS

### HEATING, VENTILATION AND AIR CONDITIONING (HVAC)

#### VENTILATION

**Action/Allowability:** 2010 (or most current) ASHRAE 62.2 is required to be met to the fullest extent possible, when performing weatherization activity (must be implemented by January 1, 2013). Implementing ASHRAE 62.2 is not required where acceptable indoor air quality already exists as defined by ASHRAE 62.2. Existing fans and blower systems should be updated if not adequate.

**Testing:** ASHRAE 62.2 evaluation, fan flow, and follow up testing are required to ensure compliance.

**Client Education/Occupant Health Concerns:** Provide client with information on function, use, and maintenance of ventilation system and components. Include disclaimer that ASHRAE 62.2 does not account for high polluting sources or guarantee indoor air quality.

**Training:** ASHRAE 62.2 training required including proper sizing, evaluation of existing and new systems, depressurization tightness limits, critical air zones and other areas included in ASHRAE 62.2.

**Identify Measures:**

1. Repair or modify existing ventilation if needed;
2. Install new ventilation system, if needed.

**Deferral Policy:** Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.

#### COMBUSTION GASES

**Action/Allowability:** Proper venting to the outside for combustion appliances, including gas dryers is required. Correction of venting is allowed when testing indicates a problem.

**Testing:** Combustion appliances must be tested to determine if they are within allowable CO levels, including furnaces, boilers, space heaters, gas fireplaces, cook stoves, and water heaters.

1. Inspect venting of combustion appliances and confirm adequate clearances.
2. Test naturally drafting appliances for draft and spillage under worst case conditions before and after air tightening.
3. Inspect cooking burners for operability and flame quality.
4. Conduct visual inspection of gas dryer vent.

**Client Education/Occupant Health Concerns:** Provide client with combustion safety and hazards information, including the importance of using exhaust ventilation when cooking and the importance of keeping burners clean to limit the production of CO.

**Training:** How to perform appropriate testing, determine when a building is excessively depressurized, and the difference between air free and as-measured.

**Identify Measures:** Maintenance, repair and replacement of PRIMARY heating systems are allowed. Only maintenance and repair is allowed for SECONDARY systems with DOE funds. Capital Intensive funds (LIHEAP funds) may be used to replace secondary heating systems.

1. Clean and or repair gas cook stove, repair or replace appliances with combustion gas problems;
2. Clean, repair or replace to correct hazardous conditions;
3. Replacement of cook stoves is not allowed, *see Appliances and Water Heaters*.

**Deferral Policy:** If the unacceptable CO reading is from a cook stove, other funding sources must be utilized to rectify the situation before weatherization, follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.

## **AIR CONDITIONING AND HEATING SYTEMS**

**Action/Allowability:** Arkansas considers “red tagged”, inoperable, or nonexistent heating systems to constitute a Health & Safety issue. Evaluation of the home for replacement, repair, or installation is required, unless prevented by other guidance herein. Air conditioning system replacement, repair, or installation is allowed in homes of at-risk occupants.

The Energy Auditor determines the most cost effective and energy efficient way to assure that the dwelling being weatherized will be capable of providing the household with a controlled environment.

Switching out an existing heating and/or cooling appliance with a new one may not be the best option or even an allowable process, i.e., unvented combustibile fuel space heaters. Also, the condition of the dwelling or the size of the household may dictate a different measure to provide.

DOE will not permit any DOE-funded weatherization work other than incidental repairs on electric space heaters. DOE allows the use of other funding sources for the replacement of electric space heaters (e.g. LIHEAP/Capital Intensive, Regular DOE only) but the Department does not encourage the repair or maintenance of these units because of:

- The high cost of electricity as compared to fossil fuels;
- Lower output ratings (size);
- Risk of fire hazards; and
- 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.

Electric space heaters may only be left in a home as secondary heating source when the unit has a tag indicating compliance with ANSI Z21.11.2.

**Testing:** Make sure systems are present, operable, and performing. Determine presence of at-risk occupants (elderly, young children, and medical conditions).

**Client Education/Occupant Health Concerns:** Discuss and provide information on appropriate use and maintenance of units and proper disposal of bulk fuel tanks when not removed

**Training:** Awareness of guidance.

**Identify Measures:**

1. "Red tagged" inoperable system, send HVAC tech.
2. Request waiver from OCS to install heat and/or AC system.

**Deferral Policy:** Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.

### **SPACE HEATERS, STAND ALONE ELECTRIC**

**Action/Allowability:** Repair, replacement, or installation is not allowed. Removal is recommended.

**Testing:** Check circuitry to ensure adequate power supply for existing space heaters.

**Client Education/Occupant Health Concerns:** Inform client of hazards and collect a signed waiver if removal is not allowed.

**Training:** Awareness of guidance.

**Identify Measures:**

1. Collect a signed waiver if removal is not allowed.
2. Evaluate the home for safe primary heating source if no other heat is present in the home.

**Deferral Policy:** Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.

### **SPACE HEATERS, UNVENTED COMBUSTION**

**Action/Allowability:** Removal is required, except as secondary heat where the unit conforms to ANSI Z21.11.2. Units that do not meet ANSI Z21.11.2 must be removed prior to weatherization but may remain until a replacement heating system is in place.

**Testing:** Testing for air-free carbon monoxide (CO) is allowed. Check units for ANSI Z21.11.2 label.

**Client Education/Occupant Health Concerns:** Inform client of dangers of unvented space heaters – CO, moisture, NO<sub>2</sub>, CO can be dangerous even if CO alarm does not sound.

**Training:** How to perform air-free CO testing. Understanding the dangers of unvented space heaters.

**Identify Measures:**

1. Remove unsafe unvented space heaters;
2. Install vented space heater as primary heating source (if needed);
3. Replace secondary heat source as allowable with ANSI Z21.11.2 compliant unit (DOE only).

**Deferral Policy:**

1. Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP;
2. Follow all appropriate Deferral and Referral policies and protocols if client does not allow removal of unvented, unsafe or non ANSI Z21.11.2 compliant unit.

## SPACE HEATERS, VENTED COMBUSTION

**Action/Allowability:** Should be treated as furnaces.

**Testing:** Venting should be tested consistent with furnaces.

**Client Education/Occupant Health Concerns:** Discuss and provide information on appropriate use and maintenance of units and proper disposal of bulk fuel tanks when not removed.

**Training:** Proper testing methods for safe operation (draft and CO) should be conducted and for steady state efficiency if possible.

**Identify Measures:** Repair or remove vented space heater.

**Deferral Policy:** Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.

## SOLID FUEL HEATING (WOOD STOVES, ETC)

**Action/Allowability:** Maintenance, repair, and replacement of primary indoor heating units is allowed where occupant health and safety is a concern. Maintenance and repair of secondary heating units is allowed.

**Testing:** Required inspection of chimney and flue and combustion appliance zone depressurization.

**Client Education/Occupant Health Concerns:** Provide client education for every recipient of a new stove which outlines the safe operation and proper maintenance of the unit including recognizing depressurization.

**Training:** How to perform CAZ depressurization test and proper inspection.

**Identify Measures:** System must be operational and inspected using all Arkansas Field Guide test protocols before any other weatherization begins. Wood stoves may **only** be considered if recommended by NEAT/MHEA audit. The energy audit must drive the decision regarding whether a wood stove should be replaced. Additionally, local agencies must:

- 1) Ensure wood stove installations, maintenance and inspections are performed by qualified personnel only:
  - Must be installed in accordance with manufacturer's recommendations.
- 2) Ensure that only wood stoves which are certified and labeled by the National Fire Protection Association under 86M-1986 and 211-1984, the International Conference of Building Officials, or other equivalent listing organizations may be purchased with DOE funds and that electrical parts are certified and labeled by Underwriters Laboratory. These organizations require the manufacturer to test the heater and include detailed instructions for safe installation. After July 1990, stoves must also be certified to meet the Environmental Protection Agency (EPA) emission standards or local Standards if they are stricter;
- 3) Ensure that only a wood stove certified and labeled for mobile homes may be installed in a mobile home. The label should reference the Department of Housing and Urban Development's (HUD) Mobile Home Standard and name the independent testing laboratory. Installation must be done in accordance with the manufacturer's recommendations;

- 4) Ensure that the inclusion of wood stoves is coordinated with State and County fire marshals (or equivalent) to ensure that restrictions and codes are met. All applicable permits must be obtained, and all work must receive approval from subsequent inspections; and
- 5) Wood stoves must be removed from manufactured homes if not approved for use with manufactured homes.

***Deferral Policy:***

1. Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.
2. Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP if client does not allow removal and/or replacement with listed unit.

## **APPLIANCES**

### **APPLIANCES AND WATER HEATERS**

***Action/Allowability:*** Replacement of water heaters is allowed on a case by case basis. Replacement and installation of other appliances are not allowable health and safety costs. Repair and cleaning are allowed. *Also see Air Conditioning and Heating Systems and Combustion Gases and Refrigerant.*

***Testing:*** Determine whether appliances/water heaters are performing safely. Combustion safety testing is required when combustion appliances are present.

***Client Education/Occupant Health Concerns:*** Discuss and provide information on appropriate use, maintenance, and disposal of appliances/water heaters. We do not consider cook stoves to be a form of safe home heat, and educate clients against using cook stoves for home heating.

***Training:*** Awareness of guidance and diagnostic training.

***Identify Measures:***

1. Test all combustion appliances;
2. Clean, repair and or /replace appliances with combustion gas problems.

***Deferral Policy:*** Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.

## **REFRIGERANT**

***Action/Allowability:*** Reclaim refrigerant per Clean Air Act 1900, Section 608, as amended by 40 CFR82, 5/15/93.

***Testing:*** EPA testing protocols.

***Client Education/Occupant Health Concerns:*** Clients should not disturb refrigerant.

***Training:*** EPA-approved section 608 type I or universal certification.

***Identify Measures:***

1. Proper disposal by WAP. (Disposal of refrigerants must be in accordance with EPA's safe disposal requirements).
2. WAP agency must have signed agreement with the company providing refrigerator/air conditioners stating guaranteeing removal of old appliances and proper disposal of refrigerants according to EPA requirements.

***Deferral Policy:***

1. Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.
2. Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP if client does not allow removal of old air conditioner and or refrigerator.

## **GENERAL BUILDING STRUCTURE**

### **BUILDING STRUCTURE AND ROOFING**

***Action/Allowability:*** Building rehabilitation is beyond the scope of the Weatherization Assistance Program. Minor roof repair is allowed by DOE, however it is not recommended in Arkansas.

***Testing:*** Visual inspection. Ensure that access to areas necessary for weatherization is safe for entry and performance of assessment, work, and inspection.

***Client Education/Occupant Health Concerns:*** Notify client of structurally compromised areas.

***Training:*** How to identify structural and roofing issues.

***Identify Measures:*** Incidental repairs as cost allowable (\$600).

***Deferral Policy:*** Homes with structural problems that create or exacerbate Health & Safety issues MUST be deferred. Homes with conditions that require more than incidental repair should be deferred. *See Mold and Moisture guidance below.*

### **DRAINAGE—GUTTERS, DOWN SPOUTS, EXTENSIONS, FLASHING, SUMP PUMPS, LANDSCAPE, ETC.**

***Action/Allowability:*** Major drainage issues are beyond the scope of the weatherization Assistance Program.

***Testing:*** Conduct visual inspection.

***Client Education/Occupant Health Concerns:*** Importance of cleaning and maintaining drainage systems. Provide information on proper landscape design.

***Training:*** How to recognize drainage issues.

**Identify Measures:** Incidental repairs (limit \$600), may be performed as preventive measures. Repairs may include guttering the whole house, channeling water away for the foundation and major sump pumps.

**Deferral Policy:** Homes with conditions that may create a serious health concern that require more than incidental repair should be deferred. *See Mold and Moisture guidance.*

## **WINDOW AND DOOR REPLACEMENT, WINDOW GUARDS**

**Action/Allowability:** Replacement, repair, or installation is not an allowable health and safety cost or an efficiency measure if cost justified. Window guards are not allowed.

**Testing:**

1. Perform lead testing;
2. Pulling an acceptable SIR

**Client Education/Occupant Health Concerns:** Provide information on lead risks.

**Training:** Awareness of guidance.

**Identify Measures:**

1. Broken or missing windows must be replaced or repaired. Those merely cracked should receive minimal treatment.
2. Seals around entry doors may be improved, using lock sets, hinges, sweeps, thresholds, etc.
3. Replace only those doors that are broken beyond repair or sealed up.
4. Storm window decisions should be blower door driven or address specific comfort problems. Include cost justification documentation.
5. Any other measures must be cost effective.
6. Must follow LSW (Lead-Safe Work) requirements for pre-1978 homes.

**Deferral Policy:** Deferral should be exercised when existing code violations are present and correcting them would be beyond the scope of the DOE WAP, and/or when there are problems affecting the heat system/furnace that are beyond the scope of the DOE WAP, such as certain electrical problems.

## **PHYSICAL HEALTH & SAFETY (CLIENT AND WORKER)**

### **CODE COMPLIANCE**

**Action/Allowability:** Correction of preexisting code compliance issues is not an allowable cost other than where weatherization measures are being conducted. State and local (or jurisdiction having authority) codes must be followed while installing weatherization measures.

**Testing:** Visual inspection. Local code enforcement inspections.

***Client Education/Occupant Health Concerns:*** Inform client of observed code compliance issues.

***Training:*** How to determine what code compliance may be required.

***Identify Measures:*** Follow all State and Local Codes when installing weatherization measures.

Acquire all required permits and licenses pertinent to installing weatherization measures. These vary by jurisdiction and it is the responsibility of each sub-grantee agency to know what the codes are in each of the areas they work in, as well as what permits and licenses are required in each of the areas they work in.

***Deferral Policy:*** Condemned properties and properties where “red tagged” health and safety conditions exist that cannot be corrected under this guidance should be deferred.

### **OCCUPANT PREEXISTING OR POTENTIAL HEALTH CONDITIONS**

***Action/Allowability:*** When a person’s health may be at risk and/or the work activities could constitute a health or safety hazard, the occupant at risk will be required to take appropriate action based on severity of risk. Temporary relocation of at-risk occupants may be allowed on a case by case basis.

***Testing:*** Require occupant to reveal known or suspected health concerns as part of initial application for weatherization. Screen occupants again during audit.

***Client Education/Occupant Health Concerns:*** Provide client information of any known risks. Provide worker contact information so client can inform of any issues.

***Training:*** How to assess occupant preexisting conditions and determining what action to take if the home is not deferred. Awareness of potential health hazards.

***Identify Measures:*** Weatherization agencies including subcontractors are required to take all reasonable precautions against performing work on homes that will subject the occupants or themselves to health and/or safety risks.

In cases where an occupant’s health is fragile, or an occupant has been identified to have a health condition, including allergies, and/or the crew work activities would themselves constitute a health and/or safety hazard, the occupant(s) at risk shall be required to leave during the performance of the work activities.

In cases where an occupant is identified as having an allergy to a specific weatherization material, that material will not be installed. If comparable alternative materials are available and the occupant has no known allergic to the alternative materials and they meet DOE regulations, crews may substitute the alternative material(s). If no safe alternative material meeting DOE standards is available, the measure shall not be installed. A request to install alternative materials must be submitted to OCS for approval.

This must be well documented in the client file.

***Deferral Policy:***

1. Failure or the inability to take appropriate actions must result in deferral.
2. A dwelling unit should not be weatherized where there is a major code violation or where there is a potentially harmful situation that may adversely affect the occupants or agency's weatherization crew and/or other staff.
3. Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.

**OCCUPATIONAL SAFETY AND HEALTH  
ADMINISTRATION (OSHA) AND CREW SAFETY**

***Action/Allowability:*** Workers must follow OSHA standards and material Safety Data Sheets (MSDS) and take precautions to ensure the health and safety of themselves and other workers. MSDS must be posted wherever workers may be exposed to hazardous materials.

***Testing:*** Grantees must perform assessments to determine if crews are utilizing safe work practices. Training will be made available at each Arkansas Weatherization Training Centers.

***Client Education/Occupant Health Concerns:*** Not Applicable.

***Training:*** Use and importance of personal protection equipment.

- OSHA 10 hour training is required for all weatherization workers.
- OSHA 30 hour training is required for crew leaders and Weatherization Directors.

***Identify Measures:*** All crew leaders, energy auditors and OCS field staff must complete training by March 31, 2012.

***Deferral Policy:*** Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.

**INJURY PREVENTION OF OCCUPANTS AND WEATHERIZATION WORKERS—  
MEASURES SUCH AS REPAIRING STAIRS AND REPLACING HANDRAILS**

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

***Testing:*** Observe if dangers are present that would prevent weatherization.

***Client Education/Occupant Health Concerns:*** Inform client of observed hazards and associated risks.

***Training:*** Awareness of potential hazards.

**Identify Measures:** Workers will take all reasonable precautions against performing work on homes that will subject workers or occupants to health and safety risks *see Other Health and Safety Practices section*.

- If crews encounter a situation where a stair case is deemed unsafe, for example, and the stair case is necessary to reach the area where the crews need to perform the weatherization work, and repairing the staircase requires only minor repair work and installation measures, crews shall perform the minor repair work so that they may safely perform the weatherization work to the home.
- If the repair work required is deemed to be beyond the scope of the DOE WAP (major repair is required such as rebuilding an entire staircase), the weatherization work to that area of the home shall be deferred until the home owner has satisfactorily installed the required repair(s).

**Deferral Policy:** Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.

## **GENERAL HAZARDS PHYSICAL & MATERIAL**

### **SPRAY POLYURETHANE FOAM (SPF)**

**Action/Allowability:** Use EPA recommendations (available online at [http://www.epa.gov/dfe/pubs/projects/spf/spray\\_polyurethane\\_foam.html](http://www.epa.gov/dfe/pubs/projects/spf/spray_polyurethane_foam.html)) when working within the conditioned space or when SPF fumes become evident within the conditioned space. When working outside the building envelope, isolate the area where foam will be applied, take precautions so that fumes will not transfer to inside conditioned space, and exhaust fumes outside the home.

**Testing:** Check for penetrations in the building envelope. Sensory inspection inside the home for fumes during foam application.

**Client Education/Occupant Health Concerns:** Provide notification to the client of plans to use two-part foam and the precautions that may be necessary.

**Training:** Training on use of various products with specification for each application type. MSDS sheets. Temperature sensitivity.

**Identify Measures:** Comply with all applicable codes, OSHA, NIOSH and MSDS and Instructions.

**Deferral Policy:**

1. Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.
2. Alternative sealing materials may be used.

## HEALTH & SAFETY ISSUE: ELECTRICAL, KNOB-AND-TUBE WIRING

**Action/Allowability:** Minor electrical repairs are allowed where health or safety of the occupant is at risk. Upgrades and repairs are allowed when necessary to perform specific weatherization measures. Arkansas state code prohibits installing insulation over knob-and-tube wiring. Thus, insulating over knob-and-tube wiring is not allowable in Arkansas.

**Testing:** Visual inspection. Voltage drop and voltage detection testing are allowed.

**Client Education/Occupant Health Concerns:** Provide information on overloading circuits, electrical safety/risks.

**Training:** How to identify electrical hazards. Local code compliance.

### Identify Measures:

1. Determine if knob-and-tube wiring placement is cost effective, if included with insulation measures (attic, wall).

**Deferral Policy:** Defer insulation of attics and walls if knob-and-tube wiring cannot be replaced, all other measures for this particular unit **should** be installed (if cost effective).

## FIRE HAZARDS

**Action/Allowability:** Correction of fire hazards is allowed when necessary to safely perform weatherization.

**Testing:** Check for fire hazards in the home during the audit and while performing weatherization.

**Client Education/Occupant Health Concerns:** Inform client of all observed hazards.

**Training:** How to identify fire hazards.

**Identify Measures:** At all times crews are to look for potential fire hazards:

- 1) Combustion appliances shall be checked for inadequate clearances between the appliances (including venting systems) and combustible materials.
- 2) Chimneys and wood stove flues shall be checked for potentially dangerous levels of creosote build-up.

**Deferral Policy:** Local agencies may use health and safety funds to remedy potential fire hazards prior to and during the course of weatherization work within reasonable limits. If the issue cannot be remedied, crews may defer weatherization work until the owner or other qualified agency has remedied the potential fire hazard problem.

## **SMOKE, CARBON MONOXIDE DETECTORS, AND FIRE EXTINGUISHERS**

**Action/Allowability:** Installation of smoke/CO detectors is allowed where detectors are not present or are inoperable. Replacement of operable smoke/CO detectors is not an allowable cost. Providing fire extinguishers is allowed only when solid fuel is present.

**Testing:** Check for operation.

**Client Education/Occupant Health Concerns:** Provide client with verbal and written information on use of smoke/CO detectors and fire extinguishers where allowed.

**Training:** Where to install detectors. Local code compliance.

**Identify Measures:**

1. Check any existing smoke/CO detectors for functional/accurate operation.
2. Install smoke/CO detectors when accurately operating units do not already exist.
3. Provide fire extinguishers when clients are heating with solid fuel, such as wood.
4. Must follow all local codes when installing smoke/CO detectors.

**Deferral Policy:** No Deferrals

## **ASBESTOS - IN SIDING, WALLS, CEILINGS, ETC.**

**Action/Allowability:** In Arkansas, no handling and/or altering of asbestos materials is allowed. All precautions must be taken not to damage siding. Asbestos siding should never be cut or drilled or removed from the home. Required to insulate through home interior.

**Testing:** Inspect exterior wall surface and subsurface for asbestos siding prior to drilling or cutting.

**Client Education/Occupant Health Concerns:** Inform the client that suspected asbestos siding is present and how precautions will be taken. Agency must document notification of suspected or found asbestos in the client file.

**Training:** How to identify asbestos containing materials and work around them without creating a hazard. Energy Auditors, Crew Leaders and Weatherization Workers must be trained by March 31, 2012.

**Identify Measures:** Keep activities to a minimum in any areas having damaged material that may contain asbestos. Do not further disturb the material. If necessary, weatherization work to that area may have to be deferred.

**Deferral Policy:** If weatherization work would create a hazard the home must be deferred. Client must be informed in writing of the potential hazard. Clearance statement by Asbestos Hazards Emergency Response Act (AHERA) certified professional must be obtained by client before weatherization can occur. A copy of the statement/report must be kept in the client file.

## **ASBESTOS-IN VERMICULITE**

**Action/Allowability:** When vermiculite is present, unless testing determines otherwise, take precautionary measures as if it contains asbestos, such as not using blower door tests and utilizing personal air monitoring while in attics. Where blower door tests are performed, it is a best practice to perform pressurization instead of depressurization. Encapsulation by an appropriately trained asbestos control professional is allowed. Removal is not allowed.

**Testing:** Assess whether vermiculite is present. Asbestos Hazard Emergency Response Act of 1986 (AHERA) certified prescriptive sampling is allowed by a certified tester.

**Client Education/Occupant Health Concerns:** Clients should be instructed not to disturb suspected asbestos containing material. Provide asbestos safety information to the client. Formally notify client if test results are positive for asbestos and signed by the client.

**Training:** Audit training on how to recognize vermiculite. AHERA course for testing. AHERA or other appropriately trained or certified asbestos control professional training for encapsulation.

### **Identify Measures:**

1. When vermiculite is present, unless testing determines otherwise, take precautionary measures as if it contains asbestos, such as **not** using blower door tests and utilizing personal air monitoring while in attics.
2. Where blower door tests are performed, it is a best practice to perform pressurization instead of depressurization.
3. Encapsulation by an appropriately trained asbestos control professional is **not** allowed.
4. Removal is **not** allowed.

**Deferral Policy:** Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.

## **ASBESTOS - ON PIPES, FURNACES, OTHER SMALL COVERED SURFACES**

**Action/Allowability:** Assume asbestos is present in covering materials. Encapsulation is allowed by an AHERA asbestos control professional and should be conducted prior to blower door testing. Removal may be allowed by an AHERA asbestos control professional on a case by case basis.

**Testing:** AHERA testing is allowed by a certified tester.

**Client Education/Occupant Health Concerns:** Clients will be instructed not to disturb suspected asbestos containing material. Provide asbestos safety information to the client.

**Training:** AHERA course for testing and asbestos control professional training for abatement. How to identify asbestos containing materials.

### **Identify Measures:**

1. Inspect pipe and other coverings for asbestos. It is difficult to tell whether a material contains asbestos simply by looking at it, unless it is labeled. If in doubt, treat the material as if it contains asbestos.

2. Do not disturb materials containing asbestos unless necessary during the installation of energy saving measures.
3. Check state and local codes prior to removal and replacement of asbestos containing materials. All local, state and federal requirements and regulations shall be followed by Arkansas subgrantees.

**Deferral Policy:** Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.

### **BIOLOGICALS AND UNSANITARY CONDITIONS - ODORS, MUSTINESS, BACTERIA, VIRUSES, RAW SEWAGE, ROTTING WOOD, ETC.**

**Action/Allowability:** Remediation of conditions that may lead to or promote biological concerns and unsanitary conditions is allowed. Addressing bacteria and viruses is not an allowable cost.

**Testing:** Sensory inspection.

**Client Education/Occupant Health Concerns:** Inform client of observed conditions. Provide information on how to maintain a sanitary home and steps to correct deferral conditions.

**Training:** How to recognize conditions and when to defer. Worker safety when coming in contact with these conditions.

#### **Identify Measures:**

1. Assess the cost-effectiveness and necessity of remediation of these conditions on a case by case basis with prior approval from OCS.
2. The use of personal protective equipment shall be strictly enforced. Respirators, protective eyewear, and protective clothing will be worn when biological agents are present or suspected in order to eliminate or minimize crew exposure;
3. Caution should be taken when selecting air tightness limits for dwellings with these conditions. Since these conditions are often related to moisture, Arkansas requires local agency crews to assess moisture conditions as part of the initial energy audit procedure.
4. Virus and bacteria remediation is **not** allowable.

**Deferral Policy:** There will be times when weatherization measures may need to be delayed until the problem can be remedied by the home owner or another qualified agency.

### **FORMALDEHYDE, VOLATILE ORGANIC COMPOUNDS (VOC), AND OTHER AIR POLLUTANTS**

**Action/Allowability:** Removal of pollutants is allowed and is required if they pose a risk to workers. If pollutants pose a risk to workers and removal cannot be performed or is not allowed by the client, the unit must be deferred.

**Testing:** Sensory inspection.

**Client Education/Occupant Health Concerns:** Inform client of observed condition and associated risks. Provide client written materials on safety and proper disposal of household pollutants.

**Training:** Training will be provided on how to recognize potential hazards and when removal is necessary.

**Identify Measures:** Arkansas WAP crews shall take every precaution necessary to minimize exposure to air pollutants. When using chemicals and products that may contain any of the pollutants within this category, strict adherence to label instructions and precautions shall be required. When possible known pollutants shall be removed safely and disposed of properly.

**Deferral Policy:** If the pollutant cannot be removed due to client unwilling to allow its removal and exposure cannot be safely and adequately minimized, weatherization work may have to be deferred to ensure the safety of the crew. Clients must always be informed of potential pollutant hazards.

## **LEAD BASED PAINT**

**Action/Allowability:** Follow EPA's Lead; Renovation, Repair and Painting Program (RRP). In addition to RRP, Weatherization requires all weatherization crews working in pre-1978 housing to be trained in Lead Safe Weatherization (LSW). Deferral is required when the extent and condition of lead-based paint in the house would potentially create further health and safety hazards.

**Testing:** Testing is allowed. Job site set up and cleaning verification is required by a Certified Renovator.

**Client Education/Occupant Health Concerns:** Follow RRP requirements.

**Training:** All weatherization crews working on pre-1978 homes must receive LSW training and be accompanied by an EPA Certified Renovator. Grantee Monitors/Inspectors must be Certified Renovators and receive LSW training.

### **Identify Measures:**

1. Test areas where weatherization work is likely to occur.
2. Follow the proper DOE LSW protocols, OSHA regulations and EPA regulations in all pre-1978 homes.
3. Don't just assume that all mobile homes are categorically exempt. Any home built before 1978, or any mobile home remodeled using paints and varnishes prior to 1978, may contain lead-based paint. These paints should be considered "guilty until proven innocent" by way of testing.

**Deferral Policy:** When it is determined that the level of lead present in the home is so high that it presents a hazard to workers, the weatherization work should be deferred until a licensed lead abatement professional has eliminated the health hazard. Follow all appropriate Deferral and Referral policies and protocols, if determined to be beyond the scope of the DOE WAP.

## **MOLD AND MOISTURE**

**Action/Allowability:** Limited water damage repairs that can be addressed by weatherization workers and correction of moisture and mold creating conditions are allowed when necessary in order to weatherize the home and to ensure the long term stability and durability of the measures.

In Arkansas, the Weatherization program is not a mold remediation program and funds should not be used to test, abate, remediate, purchase insurance or alleviate existing mold conditions identified during the audit, the work performance period or the quality assurance inspection.

**Testing:** Visual assessment is required and diagnostics such as moisture meters are recommended pre and prior to final inspection. Mold testing is not an allowable cost.

**Client Education/Occupant Health Concerns:** All local agencies must include some form of notification or disclaimer to the client upon the discovery to the client upon the discovery of a mold condition and what was specifically that was done to the home that is expected to alleviate the condition and/or that the work performed should not promote new mold growth.

**Training:** National curriculum on mold and moisture or equivalent.

**Identify Measures:** All units must be inspected for problems associated with excess moisture. Identification of potential moisture problems shall be documented in the client file.

**Deferral Policy:** Most typically, deferral may be needed.

Where severe Mold and Moisture issues cannot be addressed, deferral is required.

When possible, referral should be made when problems are identified that are beyond the scope of the DOE WAP, such as electrical or other code violations or severe health and safety issues such as severe mold which cannot be adequately addressed within the scope of the DOE WAP.

## PESTS

**Action/Allowability:** Pest removal is allowed only where infestation would prevent weatherization. Infestation of pests may be cause for deferral where it cannot be reasonably removed or poses health and safety concern for workers. Screening of windows and points of access is allowed to prevent intrusion.

**Testing:** Assessment of presence and degree of infestation and risk to worker.

**Client Education/Occupant Health Concerns:** Inform client of observed condition and associated risks.

**Training:** How to assess presence and degree of infestation, associated risks, and need for deferral.

**Identify Measures:**

- 1) Initial assessment of presence and degree of infestation and risk to workers.
- 2) Determine whether the pest infestation would prevent or hamper the weatherization work.
  - a. If yes, inform client to take the necessary steps to remove the pest infestation problem so that the weatherization work can proceed. Document in client file.
  - b. WAP may not use toxic and poisonous chemicals inside the clients' home.
- 3) Screening of windows and points of access is allowable to prevent intrusion and must be assessed on a case-by-case basis.

**Deferral Policy:** Infestation of pests may be cause for deferral where it cannot be reasonably removed or poses health and safety risks for workers.

## RADON

**Action/Allowability:** Whenever site conditions permit, exposed dirt must be covered with a vapor barrier except for mobile homes. In homes where radon may be present, precautions should be taken to reduce the likeliness of making radon issues worse.

**Testing:** DOE allows testing in locations with high radon potential. **Arkansas is not currently identified as an area with high radon potential.**

**Client Education/Occupant Health Concerns:** Provide client with EPA consumer's guide to radon.

**Training:** What is it, how it occurs. What factors may make radon worse. Weatherization measures that may be helpful. Vapor barrier installation.

**Identify Measures:** Install vapor barrier except in mobile homes.

**Deferral Policy:** Deferral not applicable.

### Health and Safety Practices for Weatherization Workers

The State of Arkansas is committed to providing training opportunities to our sub-grantees to obtain the latest Health and Safety training and latest safety equipment. Training will be offered on-site and/or at Arkansas Weatherization Training Centers (located in Bentonville and North Little Rock). On monitoring visits, the State Monitor inspects for safety equipment and visits with the crews asking if they have the necessary equipment to perform the work required of them in a safe and efficient manner.

Funds provided under 10 CFR 440.18(c)(15) are to remedy health and safety hazards, which is necessary before, or because of, the installation of weatherization materials. The State of Arkansas understands that these funds are to be expended by sub-grantees in direct weatherization activities.

1. Never use a blowing machine unless you have been taught to use it properly & safely.
2. Crews should always ground electric blowing machines.
3. Crews should always use GFI boxes when connecting electric blowing machines to a power source.
4. Never use electric blowing machines when the ground is wet or during rain.
5. Use heavy-duty extension cords for lengths more than 100 feet.
6. Always disconnect the power supply before oiling the applicator or adjusting the lines.
7. Never put your hands in the hopper when the blowing machine is connected to the power supply.

#### 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 the most important, **USE THE PROPER TOOL FOR 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. Sharp tools make work easier, improve accuracy and save time.
4. Discard damaged tools. Be sure to follow proper procedures for disposing of property.

5. When using tools and/or equipment within containment areas, always use lead-safe work practices and appropriately clean tools/equipment within the containment area before removing the tools/equipment from the containment area.

### 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 even feel the pain. Shock is also a hazard when using power tools. A fall caused by electric 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 electric 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 earplugs 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.

### 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 lying around. Tools should be returned to the toolbox.
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.
7. Follow EPA lead-safe work practices as necessary.

### Lifting

Weatherization crewmembers 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 crewmember 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 crewmembers.

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. Crewmembers should have tetanus shots and appropriate Hepatitis vaccinations.

### BASIC RULES WHEN INJURIES OCCUR

1. 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 to control any bleeding.
5. Check to 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.

### Client Health and Safety

The State of Arkansas shall ensure that all local Weatherization agencies and their crews take all reasonable precautions against performing work on homes that will subject workers and/or clients to health and safety risks. Before beginning work on the home, the crews must take into consideration the health concerns of each occupant as identified during the energy audit, the condition of the dwelling, and the possible impact of the work to be performed on any particular health or medical condition of any of the occupants. When a person's health is fragile and/or the work activities would constitute a health or safety hazard, the occupants at risk shall be required to leave the home during the work activities.

To ensure client health and safety crews and contractors must notify residents of potential hazards when work is being performed on the unit. Crews also often provide clients with educational materials regarding energy-related health and safety issues, energy conservation, and lead-based paint hazards. Crews and contractors are to clean up all materials, equipment, and discarded items upon completion of each day's work. They are to leave the unit in a condition equal to or better than it was at the start of the day concerning cleanliness.

Weatherization services can be provided in a fashion that minimizes risk to both workers and clients. Although the WAP may not provide all of the solutions, awareness of potential hazards is critical to providing quality services.