



Development  
Services Agency

John R. Kasich, Governor

David Goodman, Director

# Home Weatherization Assistance Program

## 2014 DRAFT State Plan

Prepared by:  
Ohio Development Services Agency  
Community Services Division  
Office of Community Assistance

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

**(Grant Number: EE0006177, State: OH, Program Year: 2014)**

**IV.1 Subgrantees**

<b>Subgrantee (City)</b>	<b>Planned Funds/Units</b>
Ashtabula County Community Action Agency (Ashtabula)	\$289,070.00 112
CAO of Delaware, Madison, and Union Counties, Inc. (Marysville)	\$313,402.00 121
CAP Commission of the Lancaster-Fairfield County Area (Lancaster)	\$94,316.00 36
CAP of Greater Dayton (Dayton)	\$966,210.00 374
City of Cleveland (Cleveland)	\$858,034.00 332
Clermont County Community Services (Batavia)	\$112,265.00 43
Clinton County Community Action Program, Inc. (Wilmington)	\$172,845.00 67
Community Action Commission of Fayette County (Washington C H)	\$46,399.00 18
Community Action Council of Portage County Inc (Ravenna)	\$279,160.00 108
Community Action Wayne/Medina (Wooster)	\$175,687.00 68
Corporation for Ohio Appalachian Development (Athens)	\$1,804,614.00 698
East Akron Neighborhood Development Corp (Akron)	\$66,859.00 26
Ground Level Solutions, Inc. (Columbus)	\$265,899.00 103
Hancock-Hardin-Wyandot-Putnam CAC, Inc. (Findlay)	\$285,527.00 110
IMPACT Community Action (Columbus)	\$398,578.00 155
LEADS (Newark)	\$109,226.00 42
Lorain County Community Action Agency, Inc. (Lorain)	\$186,500.00 72
Mahoning Youngstown Community Action Partnership (Youngstown)	\$189,251.00 73
Miami County Community Action Council (Troy)	\$78,894.00 31
Mid-Ohio Regional Planning Commission #140 (Columbus)	\$188,009.00 73
Neighborhood Housing Services of Toledo, Inc (Toledo)	\$335,028.00 130
Northwestern Ohio Community Action Commission (Defiance)	\$275,289.00 106
Ohio Heartland Community Action Commission (Marion)	\$174,385.00 67
People Working Cooperatively (Cincinnati)	\$489,696.00 189

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Pickaway County Community Action Organization, Inc. (Circleville)	\$53,774.00 21
Stark County Community Action Agency (Canton)	\$247,320.00 96
Summit Cty Dept of Planning & Economic Development (Akron)	\$267,434.00 103
Wood Sandusky Ottawa Seneca CAC Inc (Green Springs)	\$391,491.00 151
<b>Total:</b>	<b>\$9,115,162.00</b> <b>3,525</b>

**IV.2 WAP Production Schedule**

Weatherization Plans	Units
Total Units (excluding reweatherized)	3,515
Rewatherized Units	10

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

Average Unit Costs, Units subject to DOE Project Rules		
<i>VEHICLE &amp; EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)</i>		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	3,515
C	Total Units Rewatherized	10
D	Total Dwelling Units to be Weatherized and Rewatherized (B + C)	3,525
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
<i>AVERAGE COST PER DWELLING UNIT (DOE RULES)</i>		
F	Total Funds for Program Operations	\$6,697,782.00
G	Total Dwelling Units to be Weatherized and Rewatherized (from line D)	3,525
H	Average Program Operations Costs per Unit (F divided by G)	\$1,900.08
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$1,900.08

**IV.3 Energy Savings**

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

**Method used to calculate savings description:**

Ohio will use the DOE algorithm to calculate energy savings. Based on our calculations, Ohio will weatherize 3,525 units in PY 2014. This would equal an estimated energy savings of 107,513 mBTUs.

Please note: HHS LIHEAP funds will be used to leverage DOE funds and weatherize more units in Ohio.

**This year estimated energy savings (MBtus):**   
**Prior year estimated energy savings (MBtus):**  **Actual:**

**IV.4 DOE-Funded Leveraging Activities**

No leveraging activities budgeted.

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**IV.5 Policy Advisory Council Members**

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

Columbia Gas / NiSource	Type of organization: Utility Contact Name: Jack Laverty - CHAIR Phone: 6144604714 Email: <a href="mailto:jlaverty@nisource.com">jlaverty@nisource.com</a>
Community Action Partnership of Greater Dayton	Type of organization: Non-profit (not a financial institution) Contact Name: Leonard Florence Phone: 9373415000 Email: <a href="mailto:weatherization@cap-dayton.org">weatherization@cap-dayton.org</a>
Cudell Improvement	Type of organization: Non-profit (not a financial institution) Contact Name: Anita Brindza Phone: (216)228-4383 Email: <a href="mailto:cudell@multiverse.com">cudell@multiverse.com</a>
Delegate - Community Action Committee of Pike County	Type of organization: Non-profit (not a financial institution) Contact Name: Keith Pitts Phone: 7402892371 Email: <a href="mailto:kpitts@pikecac.org">kpitts@pikecac.org</a>
Ground Level Solutions, Inc.	Type of organization: Non-profit (not a financial institution) Contact Name: Dave Davenport Phone: 6148617992 Email: <a href="mailto:davenportd@groundlevelsolutions.org">davenportd@groundlevelsolutions.org</a>
IMPACT Community Action	Type of organization: Non-profit (not a financial institution) Contact Name: Anita Maldonado Phone: 6144531704 Email: <a href="mailto:amaldonado@impactca.org">amaldonado@impactca.org</a>
Ohio Association of CAA Energy Committee	Type of organization: Non-profit (not a financial institution) Contact Name: Andrew (Joe) Devany Phone: 7403871039 Email: <a href="mailto:joed@ohcac.org">joed@ohcac.org</a>
Ohio Department of Aging	Type of organization: Unit of State Government Contact Name: Janet Hofmann Phone: (614)466-6366 Email: <a href="mailto:jhofmann@age.ohio.gov">jhofmann@age.ohio.gov</a>
Ohio Department of Mental Health	Type of organization: Unit of State Government Contact Name: Roma Barickman Phone: (614)466-4750 Email: <a href="mailto:roma.barickman@mh.ohio.gov">roma.barickman@mh.ohio.gov</a>
Ohio Partners for Affordable Energy	Type of organization: Non-profit (not a financial institution) Contact Name: Dave Rinebolt Phone: (419)425-8860 Email: <a href="mailto:drinebolt@ohiopartners.org">drinebolt@ohiopartners.org</a>
Ohio Weatherization Training Center	Type of organization: Non-profit (not a financial institution) Contact Name: GH Runevitch Phone: 7405948499 Email: <a href="mailto:grunevitch@coadinc.org">grunevitch@coadinc.org</a>
PUCO	Type of organization: Unit of State Government Contact Name: Tonja Stewart Phone: (614)466-0138 Email: <a href="mailto:tonja.stewart@puc.state.oh.us">tonja.stewart@puc.state.oh.us</a>
Representative - Native American Populations	Type of organization: Other Contact Name: David Butcher Phone: 7405906368 Email: <a href="mailto:noemail@yahoo.com">noemail@yahoo.com</a>
Summit County Department of Development	Type of organization: Unit of Local Government Contact Name: Ken Knodel Phone: 3306432559 Email: <a href="mailto:kknodel@summitoh.net">kknodel@summitoh.net</a>

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Weatherization Rx	Type of organization: For-profit or Corporate (not a financial institution or utility) Contact Name: Eric Soudry Phone: (330)329-1104 Email: <a href="mailto:egsoudry@sbcglobal.net">egsoudry@sbcglobal.net</a>
WSOS Community Action Commission, Inc. (E-Huron)	Type of organization: Non-profit (not a financial institution) Contact Name: Terry Jacobs Phone: 4196392802 Email: <a href="mailto:tjacobs@wsos.org">tjacobs@wsos.org</a>

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
04/18/2014	A public hearing was held April 18, 2014 for the Home Weatherization Assistance Program State Plan. The transcript is attached. Notice was sent to the following media outlets: Columbus Dispatch Cleveland Plain Dealer Cincinnati Enquirer Vindicator Printing Athens Messenger Dayton Daily News Portsmouth Daily Times Akron Beacon Journal Marietta Times Toledo Blade Cleveland Call & Post Lima News

**IV.7 Miscellaneous**

- Sub-grantees must exercise a buy-local preference to ensure that weatherization materials utilized for the program are produced in Ohio to the greatest extent that cost considerations and product availability and quantity warrant. In cases where an out-of-state bid or vendor is preferable, please provide documentation/justification in the file.
- To the greatest extent practicable, sub-grantees are encouraged to leverage and coordinate weatherization activities with other housing rehabilitation and/or neighborhood revitalization efforts such as the Neighborhood Stabilization Program (NSP) or the Community Housing Improvement Program (CHIP).
- To the greatest extent practicable, sub-grantees are encouraged to weatherize existing affordable rental housing especially those accepting rent subsidies, such as Section 8 or Rural Development rental assistance or an existing Ohio Housing Tax Credit property.
- Sub-grantees are encouraged to utilize state-certified minority business enterprises (MBE) and Encouraging Diversity, Growth and Equity (EDGE) businesses to provide weatherization materials and services to the greatest extent that cost consideration, product availability, and quantity warrant.
- Ohio will not implement renewable energy systems assistance in the as described in Weatherization Program Notice 12-1, 5.6 "Use of Weatherization Funds For Renewable Energy Systems."

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0006177		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Ohio Post Office Box 1001 Columbus, OH 432161001		4. Program/Project Start Date 07/01/2014	5. Completion Date 06/30/2015

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DOE	81.042	\$ 0.00		\$ 10,749,501.00		\$ 10,749,501.00
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 10,749,501.00	\$ 0.00	\$ 10,749,501.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTR ATION	(2) SUBGRANTE E ADMINISTR	(3) GRANTEE T&TA	(4) SUBGRANT EE T&TA	
a. Personnel	\$ 139,160.85	\$ 0.00	\$ 204,796.80	\$ 0.00	\$ 343,957.65
b. Benefits	\$ 48,706.11	\$ 0.00	\$ 71,678.68	\$ 0.00	\$ 120,384.79
c. Travel	\$ 17,140.00	\$ 0.00	\$ 40,000.00	\$ 0.00	\$ 57,140.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 10,859.84	\$ 0.00	\$ 60,000.00	\$ 0.00	\$ 70,859.84
f. Contract	\$ 0.00	\$ 751,060.00	\$ 275,000.00	\$ 430,970.00	\$ 9,390,162.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 500,000.00	\$ 500,000.00
i. Total Direct Charges	\$ 215,866.80	\$ 751,060.00	\$ 651,475.48	\$ 930,970.00	\$ 10,482,504.28
j. Indirect	\$ 108,023.20	\$ 0.00	\$ 158,973.52	\$ 0.00	\$ 266,996.72
k. Totals	\$ 323,890.00	\$ 751,060.00	\$ 810,449.00	\$ 930,970.00	\$ 10,749,501.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0006177		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Ohio Post Office Box 1001 Columbus, OH 432161001	4. Program/Project Start Date 07/01/2014		
	5. Completion Date 06/30/2015		

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 10,749,501.00	\$ 0.00	\$ 10,749,501.00

SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity				Total (5)	
	(1) PROGRAM OPERATION S	(2) HEALTH AND SAFETY	(3) LIABILITY INSURANCE	(4) FINANCIAL AUDITS		
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 343,957.65	
b. Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 120,384.79	
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 57,140.00	
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 70,859.84	
f. Contract	\$ 6,697,782.00	\$ 997,970.00	\$ 142,796.00	\$ 94,584.00	\$ 9,390,162.00	
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 500,000.00	
i. Total Direct Charges	\$ 6,697,782.00	\$ 997,970.00	\$ 142,796.00	\$ 94,584.00	\$ 10,482,504.28	
j. Indirect	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 266,996.72	
k. Totals	\$ 6,697,782.00	\$ 997,970.00	\$ 142,796.00	\$ 94,584.00	\$ 10,749,501.00	
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	

**U.S. DEPARTMENT OF ENERGY**



**BUDGET JUSTIFICATION FOR FORMULA GRANTS**

Applicant: State of Ohio  
Award number: EE0006177

Budget period: 07/01/2014 - 06/30/2015

**1. PERSONNEL** - Prime Applicant only (all other participant costs are listed in 6 below and form SF-242A, Section B. Line 6.f. Contracts and Sub-Grants).

Positions to be supported under the proposed award and brief description of the duties of professionals:

<u>Position</u>	<u>Description of Duties of Professionals</u>
Energy Research Analyst 2	Administrative Monitor/Procurement Specialist
Support Services Manager	Oversees the administrative support staff
Energy Research Analyst 2	Monitors providers, offers T/TA, supports HWAP Manager
Energy Developer 2	Monitors providers, offers TA, supports HWAP manager
College Intern	Assist HWAP manager
Fiscal Specialist 2	Completes tasks related to fiscal operations
External Auditor	Audits providers
Energy Research Analyst 2	Monitors providers, offers TA, supports HWAP manager
Section Supervisor - Weatherization	HWAP Manager oversees the Home Weatherization Assistance Program
Energy Research Analyst 2	Monitors providers, offers TA, supports HWAP manager
Assistant Deputy Chief	Oversees the Residential Unit and the Office of Community Assistance
Section Supervisor - Fiscal	Oversees the Financial Unit within the Office of Community Assistance
Deputy Chief	Oversees the Office of Community Assistance
Energy Research Analyst 2	Administrative Monitor/Procurement Specialist
Energy Research Analyst 2	Monitors providers, offers T/TA, supports HWAP Manager
Administrative Assistant	Supports Office of Community Assistance
Energy Research Analyst 2	Monitors providers, offers T/TA, supports HWAP Manager
Database Analyst	Supports WAP with computer support, general program support
Energy Research Analyst 2	Monitors providers, offers T/TA, supports HWAP Manager

**Direct Personnel Compensation:**

<u>Position</u>	<u>Salary/Rate</u>	<u>Time</u>	<u>Direct Pay</u>
Energy Research Analyst 2	\$49,650.00	50.0000 % FT	\$24,825.00
Support Services Manager	\$45,011.00	5.0000 % FT	\$2,250.55
Energy Research Analyst 2	\$68,536.00	50.0000 % FT	\$34,268.00
Energy Developer 2	\$68,370.00	50.0000 % FT	\$34,185.00
College Intern	\$27,040.00	50.0000 % FT	\$13,520.00
Fiscal Specialist 2	\$70,803.00	15.0000 % FT	\$10,620.45
External Auditor	\$54,662.00	20.0000 % FT	\$10,932.40
Energy Research Analyst 2	\$52,083.00	50.0000 % FT	\$26,041.50
Section Supervisor - Weatherization	\$68,016.00	50.0000 % FT	\$34,008.00
Energy Research Analyst 2	\$49,650.00	50.0000 % FT	\$24,825.00
Assistant Deputy Chief	\$83,200.00	5.0000 % FT	\$4,160.00
Section Supervisor - Fiscal	\$73,736.00	5.0000 % FT	\$3,686.80
Deputy Chief	\$90,002.00	5.0000 % FT	\$4,500.10
Energy Research Analyst 2	\$49,650.00	50.0000 % FT	\$24,825.00

Energy Research Analyst 2	\$49,650.00	50.0000 % FT	\$24,825.00
Administrative Assistant	\$44,762.00	5.0000 % FT	\$2,238.10
Energy Research Analyst 2	\$69,222.00	50.0000 % FT	\$34,611.00
Database Analyst	\$71,885.00	5.0000 % FT	\$3,594.25
Energy Research Analyst 2	\$52,083.00	50.0000 % FT	\$26,041.50
		Direct Pay Total	\$343,957.65

## 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 attach a copy of the rate agreement to the application.
- b. If a. above does not apply, please use this box (or an attachment) to further explain how your total fringe benefits costs were calculated. Your calculations should identify all rates used, along with the base they were applied to (and how the base was derived), and a total for each (along with grand total). If there is an established computation methodology approved for state-wide use, please provide a copy. Also, please fill out the table below with the Fringe Benefits Calculations.

Fringe benefits for the State of Ohio employees include medical, dental, and vision; contributions to the Public Employees Retirement Systems; Workers' Compensation coverage; and disability coverage. Individual rates vary depending upon the type of insurance coverage chosen by the employee during the 2013 program year. Fringe will average 35% of total salary. This percentage will be used in preparing the budget.

### Fringe Benefits Calculations

<u>Position</u>	<u>Direct Pay</u>	<u>Rate</u>	<u>Benefits</u>
Energy Research Analyst 2	\$24,825.00	35.0000 %	\$8,688.75
Support Services Manager	\$2,250.55	35.0000 %	\$787.69
Energy Research Analyst 2	\$34,268.00	35.0000 %	\$11,993.80
Energy Developer 2	\$34,185.00	35.0000 %	\$11,964.75
College Intern	\$13,520.00	35.0000 %	\$4,732.00
Fiscal Specialist 2	\$10,620.45	35.0000 %	\$3,717.16
External Auditor	\$10,932.40	35.0000 %	\$3,826.34
Energy Research Analyst 2	\$26,041.50	35.0000 %	\$9,114.52
Section Supervisor - Weatherization	\$34,008.00	35.0000 %	\$11,902.80
Energy Research Analyst 2	\$24,825.00	35.0000 %	\$8,688.75
Assistant Deputy Chief	\$4,160.00	35.0000 %	\$1,456.00
Section Supervisor - Fiscal	\$3,686.80	35.0000 %	\$1,290.38
Deputy Chief	\$4,500.10	35.0000 %	\$1,575.04
Energy Research Analyst 2	\$24,825.00	35.0000 %	\$8,688.75
Energy Research Analyst 2	\$24,825.00	35.0000 %	\$8,688.75
Administrative Assistant	\$2,238.10	35.0000 %	\$783.34
Energy Research Analyst 2	\$34,611.00	35.0000 %	\$12,113.85
Database Analyst	\$3,594.25	35.0000 %	\$1,257.99
Energy Research Analyst 2	\$26,041.50	35.0000 %	\$9,114.52
		Fringe Benefits Total	\$120,385.18

## 3. TRAVEL

- a. Please provide the purpose of travel, such as professional conference(s), DOE sponsored meeting(s), project management meeting, etc. If there is any foreign travel, please identify.

<u>Purpose of Trip</u>	<u>Number of Trips</u>	<u>Cost Per Trip</u>	<u>Total</u>
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Compliance monitoring visits throughout the state and attending required national conferences	100	\$300.00	\$30,000.00
Training at Ohio Weatherization Training Center	20	\$757.00	\$15,140.00
Training and Technical Assistance to local grantees	100	\$120.00	\$12,000.00
		Travel Total	\$57,140.00

- b. Please provide the basis for estimating the costs, such as past trips, current quotations, Federal Travel Regulations, etc. All listed travel must be necessary for the performance of the award objectives.

Travel was allocated based on historic expenditures and developed as an average cost per trip. This cost includes: mileage reimbursement; per diem, and lodging costs when necessary. The limits are set by statewide policies governing travel reimbursements. Ohio is aware that each sub-grantee must be visited at least once per program year with a minimum of 5% of completed units monitored. The remaining cost to complete this task will be paid by another funding source.

**4. EQUIPMENT** - Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. Further definitions can be found in 10 CFR 600.

- a. List all proposed equipment below and briefly justify its need as it applies to the objectives of the award.

Equipment	Unit Cost	Number	Total Cost	Justification of Need
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- b. Please provide a basis of cost such as vendor quotes, catalog prices, prior invoices, etc. and justify need. If the Equipment is being proposed as Cost Share and was previously acquired, please provide the source and value of its contribution to the project and logical support for the estimated value shown. If it is new equipment which will retain a useful life upon completion of the project, provide logical support for the estimated value shown. Also, please indicate whether the Equipment is being used for other projects or is 100% dedicated to the DOE project.

n/a

**5. SUPPLIES** - Supplies are generally defined as an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. Further definitions can be found in 10 CFR 600.

- a. List all proposed supplies below, the estimated cost, and briefly justify the need for the supplies as they apply to the objectives of the award. Note that all direct costs, including Supply items, may not be duplicative of supply costs included in the indirect pool that is the basis of the indirect rate applied for this project.

General Category	Cost	Justification of Need
Personnel Protective Equipment	\$30,000.00	State monitor usage
Consumer Education materials	\$30,000.00	Prior year experience for ordering materials for local provider consumer education
Office Supplies	\$10,859.84	Prior year experience for office activities (pare for copier, printer) meetings, activities, events (includes annual state meeting)
Materials and Supplies Total	\$70,859.84	

- b. Please provide a basis of cost for each item listed above and justify need. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

**6. CONTRACTS AND SUBGRANTS** - Provide the following information for New proposed subrecipients and subcontractors. For ongoing subcontractors and subrecipients, this information does not have to be restated here, if it is provided elsewhere in the application; under Name of Proposed Sub, indicate purpose of work and where additional information can be found (i.e weatherization subgrants, Annual File section II.3).

Name of Proposed Sub	Total Cost	Basis of Cost*
Local Weatherization Agency Providers	\$9,115,162.00	The amount for each local agency is determined by the state allocation formula.



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

**(Grant Number: EE0006177, State: OH, Program Year: 2014)**

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

**V.1 Eligibility**

**V.1.1 Approach to Determining Client Eligibility**

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

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

All dwelling units to be weatherized shall be determined eligible in such a manner to ensure that each weatherized unit meets the qualifications of CFR 440.22, 'Eligible Dwelling Units.' All income eligibility shall be documented by the providers and/or the Ohio Development Services Agency (DSA) and will be subject to examination by officials of DSA, U.S. Department of Energy (DOE) and the Comptroller General of the United States and/or their designated representatives. Client eligibility may be categorical or traditional.

**CATEGORICAL ELIGIBILITY**

Categorical eligibility applies when one or more persons living the unit has received cash assistance payments under Title IV or XVI of the Social Security Act or applicable state or local law at any time during the 12 month period preceding the determination of eligibility for weatherization on assistance; or one or more persons in the unit is eligible for assistance under the Low Income Home Energy Assistance Act of 1981. Categorically eligible individuals may not exceed 200% of the federal poverty level for the household.

**TRADITIONAL ELIGIBILITY**

Traditional eligibility applies to any household whose income is at or below 200% of the federal poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget for the 12 months preceding application.

In addition, Ohio will adopt the following new policies related to client eligibility in response to a report from the Ohio Inspector General (full report can be found at <http://watchdog.ohio.gov/Portals/0/pdf/investigations/2011-CA00222.pdf> and DSA's response can be found at [http://watchdog.ohio.gov/Portals/0/pdf/agency\\_responses/2011-222Agency.pdf](http://watchdog.ohio.gov/Portals/0/pdf/agency_responses/2011-222Agency.pdf)):

1. No persons older than age 18 included in a weatherization application may be approved for services for 12 months following the date of final inspection for weatherization on additional unit(s) owned by the same landlord/homeowner.

OCEAN will develop a report that flags customers previously weatherized within a 12-month period at the time of intake. Agencies will then compare homeowner/landlord information on both applications and services will proceed only if the application meets the policy stated above. A validation check will be built into OCEAN that will prevent approval of an application in this circumstance, effectively disallowing agencies the ability to proceed.

In the case of a natural disaster or other unforeseen event (e.g. flood, fire, tornado damage) that necessitates provision of services to the same customer within a 12-month period, a waiver may be issued by the director of DSA. This waiver will be required to be placed in the client administrative file as documentation of the request and reasons for allowing such a waiver. In such cases, specific permission also will be granted in OCEAN to add the client record and capture the job.

2. When the total appraised (market) value of the single-family, site-built property and structure is greater than \$165,500, the household is exempt from categorical eligibility as defined in Volume II of the Home Weatherization Assistance Program Policy and Procedures Manual, Section C.2 "Application Process and Prioritization (see attachments)," and is subject only to traditional eligibility. The household must provide proof of all sources of income for 12 months or the most recent 1040(s) for working adults in the household, or applicable tax documentation of income as described in the Poverty Income Guidelines and Definition of Income for use in the Low-Income Weatherization Assistance Program.

Value of the structure and property will be tracked in OCEAN and a report will be made available showing all homes with a value greater than the defined threshold.

Describe what household Eligibility basis will be used in the Program

A household shall be defined as a family unit meeting the qualifications above in order to qualify for weatherization. In Ohio, any household meeting either Categorical or Traditional Eligibility would be eligible to receive weatherization benefits by the Weatherization Assistance Program (WAP).

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

Ohio will follow the policies outlined in "Summary of Immigrant Eligibility Restrictions Under Current Law as of 2/25/2009" in the U.S. Department of Health and Human Services (HHS) guidelines, located at <http://aspe.hhs.gov/hsp/immigration/restrictionssum.shtml> when determining eligibility of qualified and nonqualified aliens. Ohio will not deny access to any alien state or local benefits that meet the definition of excepted services described in Sec 411(b) of this statute.

**V.1.2 Approach to Determining Building Eligibility**

Procedures to determine that units weatherized have eligibility documentation

Ohio requires approval for multifamily buildings requiring an EAQUIP, including review of the audit by a state technical monitor and onsite visit, if necessary. Prior to initiating work, the building must have at least 66% of units occupied by eligible customers, a valid energy audit, owner contribution (when applicable), bids for all work exceeding \$5,000 and any other pertinent information requested by the monitor. When these conditions are met, the building may be approved for weatherization and work may commence.

In addition, Ohio will adopt the following new policies related to client eligibility in response to a report from the Ohio Inspector General:

3. Because it is the landlord's responsibility to find suitable occupants for the vacant weatherized units, agencies will be required to secure a 100 percent landlord contribution for the individual measures (e.g. lightbulbs, refrigerator, heating appliance) installed in vacant units. The landlord/property owner is responsible for the cost of installation, including labor and materials, of all individual measures installed in vacant multi-family units (structures with five or more units). This contribution must be made at the time of approval of the structure and before installation of any materials. This policy does not apply to common measures like attic, floor, or sidewall insulation.

It should be noted that units weatherized under the HUD/DOE agreement would be exempt from this policy.

For single family units, agencies are required to provide proof of ownership in each client file prior to commencing work. This includes manufactured homes. Most agencies are able to access documentation on county auditor's websites. This also includes checking that the home is not in foreclosure. Additionally, all units must provide client income and intake information in the client file.

In addition, Ohio will adopt the following new policies related to client eligibility in response to the report from the Ohio Inspector General:

4. Single family, site-built homes 15 years of age or newer at the time of initial inspection require a valid energy audit prior to weatherization using audit software approved by DOE. Only measures that are cost-effective showing a Savings-to-Investment Ratio (SIR) of one or greater may be installed. Measures with an SIR of one or greater are determined to be cost effective, meaning the lifetime savings produced by the measure is greater than the total cost of installation. Homes using an energy audit will be targeted for monitoring. These energy audits must be available for compliance review by the Office of Community Assistance (OCA) weatherization monitors at annual monitoring visits.

Describe Reweathering compliance

Ohio has adopted the reweatherization date of September 30, 1994. Units weatherized after this date may not be reweatherized using DOE funds. The priority is to serve dwelling units that have not received prior services. All dwelling units completed prior to September 30, 1994, must have an energy audit performed to cost-justify measures being installed.

Describe what structures are eligible for weatherization

Structures eligible for weatherization include single family, manufactured housing, and multifamily housing. All structures must be stationary and have a specific mailing (street) address. Campers and non-stationary trailers are not eligible.

Describe how Rental Units/Multifamily Buildings will be addressed

**RENTAL UNITS**

Rental units are eligible for weatherization and represent a significant portion of the units weatherized in Ohio. In order to ensure that the benefit of weatherization accrues to the low-income tenant, Ohio has developed a policy for landlord contribution that takes into account whether the tenant or owner pays utilities and whether the owner is income eligible. In general, 50% of the cost of health and safety measures labor and material is a required contribution prior to work commencing. In situations where the landlord is eligible, the requirement for a contribution is waived. In situations where the landlord pays the

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utility costs, an additional requirement for 50% of the cost of the weatherization materials also is required. Ohio waives the contribution for carbon monoxide and smoke alarms for all rental units.

Written permission of the building owner or authorized agent is required prior to commencing work. For one year post-weatherization (one year after the final inspection date) the owner must agree not to raise the rent as a result of the weatherization performed on the home. In the case of a rent increase, tenants are made aware of their right to appeal in Ohio's Landlord/Tenant agreement, which must be signed by both parties (owner and tenant) prior to work commencing. Undue or excessive enhancement of rental units is prohibited. Ohio does not support the placement of liens on properties related to weatherization for any reason.

#### GROUP HOMES AND SHELTERS

The eligibility for group homes and shelters is specified in the "Definitions" section of 10 CFR 440 regulations. Shelters for the homeless, battered spouses, etc., may be weatherized. Providers may count each 800 square feet as a unit or each floor of the shelter as a unit. Applications for Home Weatherization Assistance Program (WAP) services from group homes or shelters should be prioritized in the same manner as applications from other rental units provided the structure is not four or more stories above grade or centrally heated with more than five units, in which case the structure must be submitted for review by Ohio Development Services Agency (ODSA) as part of the annual multifamily application process for all grantees described below. Applications for group homes must list all persons living within the home and their incomes. Applications for shelters are permitted to list only the shelter name. Individual names of persons within the shelter and/or incomes are not required. Shelters must be reported as housing type "S" on Building Weatherization Reports (BWRs).

#### MULTIFAMILY PROPERTIES

A large multifamily structure is defined in Ohio as four or more stories above grade or centrally heated buildings with five or more units. Small multifamily projects are defined as five or more units under one roof, three stories or less above grade. All multifamily projects with five or more units require an EAQUIP audit. All units requiring an EAQUIP audit must have the audit approved by the state technical monitor prior to the materials being installed. Funds are not set aside for multifamily projects in Ohio. Leveraged funds and projects with contributions from landlords should be prioritized, as well as projects that propose high energy savings and positive impact on communities. The HUD/DOE agreement remains in place and will be recognized by Ohio for selections on the lists of pre-approved multifamily projects. The building eligibility guideline for Ohio states that at least 50% of units must be occupied by eligible households for two- and four-unit structures and 66% of units must be occupied by eligible households for structures with three units or five or more units.

#### Describe the deferral Process

Conditions that prevent the weatherization of the home may lead to deferral. Deferral is recommended if conditions exist that prevent safe, effective, and/or meaningful weatherization. The conditions preventing weatherization include the following:

- Standing water, mold, or other moisture issue that cannot be addressed with weatherization funding.
- Electrical or plumbing hazards or structural failures that cannot be addressed as a part of weatherization services.
- Friable asbestos or other asbestos issues that cannot be addressed with weatherization funding.
- Deteriorated lead-based paint surfaces or when the extent and/or condition of lead-based paint may create other health and safety hazards.
- Evidence of infestations of rodents, insects, and/or other vermin.
- Unsecured pets.
- Sewage or animal feces in the home.
- Improperly stored chemicals, combustible materials, or other fire hazards.
- Maintenance/housekeeping practices that limit access to the dwelling or create an unhealthy work environment.
- Major remodeling is in progress, which limits the proper completion of weatherization measures.
- Threat(s) of violence or abusive behavior to worker(s) or household member(s) during the weatherization process.
- The illegal presence or use of any controlled substance in the home during the weatherization process.
- Occupant has self-declared health conditions that prohibit the installation of weatherization materials.
- Preexisting code compliance issues.
- Other, as defined by the qualified inspector and approved by the Energy Coordinator.

It is the homeowner's responsibility to correct the above condition(s) in order for weatherization services to proceed. When the conditions causing the deferral have been addressed, homeowners are asked to contact the weatherization provider to reevaluate the home. These customers are then given top priority to receive services and are not placed back on the wait list. When possible, weatherization providers are encouraged to make referrals or collaborate with other programs including utility sponsored weatherization, Healthy Homes programs, home repair programs and other local resources in order to best serve the customer. Ideally, some of these services are provided by the same weatherization provider installing the insulation measures.

Documentation regarding the reason for deferral is required in the client file and providers are encouraged to collaborate with their state technical monitor to

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make complicated decisions regarding deferral. Other more broad reasons for deferral include if the area is slated for re-development or is in a high-risk geographic area (e.g. a flood plain), refusal by the customer to remove certain space heaters, or if the home is in foreclosure or for sale. In all cases, an eligible household application must be presented for single family home weatherization. No weatherization may occur for vacant single-family homes.

**V.1.3 Definition of Children**

Definition of children (below age): 6

**V.1.4 Approach to Tribal Organizations**

Recommend tribal organization(s) be treated as local applicant?

If YES, Recommendation. If NO, Statement that assistance to low-income tribe members and other low-income persons is equal.

Eligible applicants are served without regard for race, color, national origin, sex, or religion. Low-income members of an Indian tribe will receive benefits equivalent to the assistance provided to other low-income persons within the state.

**V.2 Selection of Areas to Be Served**

All 88 counties will be served in Ohio.

**V.3 Priorities for Service Delivery**

Weatherization applicants are assigned points for priority according to the following procedure:

- 1 point – One or more elderly person(s)
- 1 point – One or more disabled person(s)
- 1 point – One or more dependent children in the home
- 1 point – Utility provider with leveraged funds
- 1 point – Non-utility leveraged funds
- 1 point – High energy burden
- 1 point – High energy user

All applications for customers who have not yet received services will be ordered according to the priority above and customers will be contacted based on earliest application date when the number of points is equal. OCEAN will provide reports to service providers showing priority of customers entered into the system. One additional point will be added for each six months the applicant is on the wait list after the application is created. A maximum of 10 points will be allowed. Once the application reaches 10 points, priority will go to the earliest application.

The point for high energy burden is awarded for any household that expends more than 10% of the annual adjusted gross income for all household members (minus any benefit from HEAP) for energy costs for the primary heating source. The point for high energy users will be awarded based on the following according to primary heating type:

- Natural Gas – Greater than 1,000 cdfs/year
- Electric – Greater than 8,000 kwh per year
- Propane – Greater than 600 gallons
- Oil – Greater than 600 gallons

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Wood – More than six cords or equivalent

Proof of actual usage is required in order to receive the priority point. Providers may access this information using the OCEAN database or customer utility bills/receipts.

#### **V.4 Climatic Conditions**

The climate of Ohio is a humid continental climate (Köppen climate classification Dfa) throughout most of the state except in the extreme southern counties of Ohio's Bluegrass Region, which are located on the northern periphery of the humid subtropical climate and Upland South region of the United States. Summers are typically hot and humid throughout the state while winters generally range from cool to cold. Precipitation in Ohio is moderate year-round. Severe weather is not uncommon in the state, although there are typically fewer tornado reports in Ohio than in states located in what is known as "Tornado Alley." Lake effect snowstorms also are not uncommon on the southeast shore of Lake Erie, which is located in an area designated as "the Snowbelt" (source: Ohio Department of Natural Resources). The highest recorded temperature was 113 °F (45 °C), near Gallipolis on July 21, 1934.[31] The lowest recorded temperature was 39 °F (39 °C), at Milligan on February 10, 1899.[32] (source: The National Climate Data Center). Ohio Providers use the following weather stations when completing energy audits:

Akron, Ohio

Cincinnati, Ohio

Cleveland, Ohio

Columbus, Ohio

Dayton, Ohio

Toledo, Ohio

Youngstown, Ohio

Fort Wayne, Indiana

#### **V.5 Type of Weatherization Work to Be Done**

##### **V.5.1 Technical Guides and Materials**

All Ohio weatherization work is being performed in accordance with DOE-approved procedures and 10 CFR 440 Appendix A.

Ohio uses the Ohio Weatherization Program Standards to set acceptable standards of service delivery for the Ohio weatherization network. For Program Year 2014, Ohio will recommend that providers transition to the Standard Work Specifications. For PY 2015, Ohio will require all providers to adhere to the Standard Work Specifications. Ohio will use PY 2014 to systematically deliver training and technical assistance to the network in the use of the National Renewable Energy Laboratory (NREL) website and tools including the inspection tool and favorites list of measures. In this way, Ohio will effectively transition the network to the new standards.

The Ohio Development Services Agency (ODSA) reconvened the Technical Sub-Committee of the Policy Advisory Council (PAC) in 2012, a group of technical leaders from among Ohio's providers and stakeholders that meets at least quarterly to discuss technical issues related to weatherization. This group met monthly for most of PY 2013 to discuss the transition to the Standard Work Specifications and offer input on the decision-making process. All decisions by the Technical Sub-committee are brought before the PAC for discussion or vote, as necessary.

State staff also formed a working group collaborative with the Ohio Weatherization Training Center (OWTC) to plan and strategize ways to integrate training with the Job Task Analyses and to fulfill the terms of Weatherization Program Notice (WPN) 14-4.

State staff cross-walked the current Ohio Weatherization Program Standards with the Standard Work Specifications by section to reveal the differences in the

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two sets of standards. Each section is being reviewed by the training collaborative and was shared with the Technical Sub-committee. Selected sub-committee members volunteered to read and review Ohio's draft version of the Standard Work Specifications. Members presented their reviews and input at the March 2014 meeting of the Technical Sub-Committee. The input has been used in multiple ways, both to guide the process of drafting standards that fit both Ohio's unique climate and conditions and to offer input for the public comment request regarding the Standard Work Specifications. The field guide is in process and is expected to be completed by April 1, 2015 for implementation in the 2015 program year.

**MANUFACTURED HOUSING**

Ohio's manufactured housing priority list of measures expired at the end of PY 2013. For PY 2014, Ohio proposes to utilize the Manufactured Housing Energy Audit (MHEA) to determine cost-effective measures.

**MULTIFAMILY**

Multifamily buildings are weatherized based on audit results and will require the ODSA's prior written authorization. EAQUIP is currently approved for use in multifamily structures. Multifamily weatherization (greater than five units) represents 1% of all Ohio weatherized units from July 1, 2013 to April 1, 2014 (28 of 2,039 total completed units). Date of approval for approach to multifamily structures: February 15, 2013.

**SINGLE FAMILY HOUSING**

In 1980, Ohio identified a set of nine standard dwelling types categorized on details of attic, wall, and foundation construction. Ohio's Basic Housing Types are as follows:

Type A – Wood frame home with full basement and open joist attic

Type B – Wood frame home with crawl space and open joist attic

Type C – Wood frame home with combination crawl space/basement and open joist attic

Type D – Wood frame home with slab foundation and open joist attic

Type E – Wood frame home with full basement and kneewall attic

Type F – Wood frame home with post foundation and open joist attic

Type G – Block, concrete, or log home with slab foundation and open joist attic

Type H – Manufactured housing with post foundation (see below for additional details)

Type I – Block (solid wall), concrete, or log home with basement and/or crawl space and open joist attic

Type R – Retrofit, housing type does not meet any of the above categories, energy audit performed

Type S – Shelter

The Ohio Weatherization Program Standards guide the installation of appropriate materials and methods. Date of approval for Ohio's Priority Lists of Measures for 1-4 unit structures: February 15, 2013.

The approved priority lists of measures for single family homes by housing type is required to be placed in the client file, and are designed as pullout sheets. The Priority Lists are attached for your reference.

**V.5.2 Energy Audit Procedures**

Audit Procedures and Dates Most Recently Approved by DOE

**Single-Family :** Priority List of Required Measures.  
WA-NEAT or other DOE approved audit

Date of DOE priority list approval: 02/15/2013

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<b>Manufactured Housing :</b>	WA-MHEA -- submitted for approval 4/2014 Priority List through 3/2014. Received extension to 6/30/2014.
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**Multi-Family :** EA-QUIP or other DOE-approved audit.

Date of approval for approach to multi-family structures: 2/15/2013

Comments

ENERGY AUDIT PROCEDURES

Ohio uses the Weatherization Assistant software, which includes the National Energy Audit Tool (NEAT) and Mobile Home Energy Audit (MHEA), to assess buildings that fall outside of the typical housing types defined above in Ohio's priority lists of measures, when repair costs needed to install a measure will add to the installation cost of that measure, when optional measures are to be installed, or when mechanical systems must be replaced. This audit may also be employed when electrical baseload measures (i.e. lighting or refrigerator appliance replacements) are being considered. All refrigerator replacements must show documentation in the administrative file that the appliance was metered for at least two hours per Ohio Weatherization Program Standards (WPS) 2017.5 and the Savings-to-Investment ratio (SIR) is 1.0 or greater. For single family, work shall be done according to the priority list of measures. All mobile homes will require a MHEA pending approval by DOE. The Weatherization Assistant software (NEAT/MHEA) also must be used when completing work outside the parameters of the Priority List. Per the response to a report by the Ohio Inspector General completed in 2013, all single family, site-built homes 15 years of age or newer at the time of initial inspection require a valid energy audit prior to weatherization using audit software approved by the Department of Energy. Only measures that are cost-effective showing a Savings-to-Investment Ratio (SIR) of one or greater may be installed. Measures with an SIR of one or greater are determined to be cost effective, meaning the lifetime savings produced by the measure is greater than the total cost of installation. All buildings with five or more units must be audited using EAQUIP. Providers may hire an outside engineering firm or contractor to perform an audit on this type of building. Any audit performed by an outside entity must evaluate the interactive effects of the various energy efficiency measures, as per the Ohio Weatherization Program Standard (WPS) and Standard Work Specifications. In all cases, the ODSA reserves the right to limit expenditures per unit or to limit specific retrofits if ODSA determines that a local provider is not appropriately approaching the work being performed on units.

BASIC ENERGY AUDIT PROCEDURES

CONDUCTION

Conduction retrofits are based on a Savings-to-Investment Ratio (SIR) of one or greater as determined by Ohio's Priority Lists of Measures. The list of required measures includes uniform measures based on a list of DOE approved presumptively cost effective measures, and the use of diagnostic equipment; and attic, wall, and floor or perimeter insulation. See section "V.5.1 Technical Guides and Materials" for the list of required measures for 14

unit buildings. Other measures may be installed if NEAT calculations indicate a SIR of one or greater. When an audit is used to cost justify the structure, the recommendations generated by the audit with SIR greater than one take precedence over the priority lists of required measures. The net result of the required measures list is that units receive all possible conductive envelope measures. Past research to gain a waiver has shown that for Ohio's climate, average job costs, and average fuel costs; it would be highly unlikely that an audit would prove any part of the envelope insulation not to be highly cost effective. This approach of doing all envelope measures is also strongly supported by previous evaluations. Results of fuel savings studies performed by Quantec LLC for units completed in PY 2003, by Proctor Engineering Group on units completed in PY 1994 and a study by Cleveland State University

(CSU) on PY 1988 units shows continued energy savings in completed homes where weatherization activities occurred and continues to support the development of this approach. It is unlikely that an individual audit of a unit would alter this approach to envelope retrofits except in rare instances. The time and resource savings achieved by

the required measures approach, as well as the opportunity it provides to concentrate training on these known measures, are considered important elements of Ohio's overall program design. It also should be noted that an individual audit which is, after all, only an estimate of potential savings may not in the long run prove better at predicting savings for "marginal" retrofits (i.e. those close to an SIR of one) than using a required measures list and continuing to incorporate consumption study results into program design.

CONVECTION

The NEAT can only predict the savings based on stemming losses due to direct or indirect air movement in a structure based on estimated costs and CFM50 reductions. This weakness is generally shared by most residential audits. Those that attempt to assign a value to this area based on visual inspection are, at best, suspect. With the advent of blower door technology, however, Ohio's approach in this area finally solidified. Since PY 1988 we have encouraged blower door use in various ways, but in PY 1996 the revised Ohio Weatherization Program Standards (WPS) fully incorporated the use of blower doors as the primary tool for diagnosing air leakage problems and prescribing effective types and levels of air leakage work. Ohio's inspection procedures and blower door protocol are

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as rigorous as any we have examined, and are designed to quickly and effectively arrive at unit specific solutions to problems involving leakage, bypass, air quality, moisture, and pressure balancing. The WPS also deals extensively with the prioritization of individual air leakage measures in order of cost effectiveness.

A set of guidelines were developed to aid in determining cost effective air sealing. The guidelines are based on degree days, fuel type and cost, seasonal efficiency and the Lawrence Berkeley Labs climate correction factors. The guidelines are based on a five year payback, with a 10-year life of measure used by NEAT. This conservative approach will assure that jobs completed using the guidelines will always pass the NEAT audit, which can only predict savings post retrofit. Also, Ohio's program has been tracking and actively assesses the quality of work being done in addressing air leakage reductions. The Ohio Variables End Results Air Leakage Level Scale (OVERALLS) was developed in the late 1980s. In conjunction with the Building Tightness Limits (BTLs) and the Series Leakage (zone test), these diagnostic tests have been used to assist local providers' staffs with addressing and targeting air leakage within individual dwelling units.

#### HEATING APPLIANCES

Our general approach in this area is to ensure that all heating units are safe, operate at a combustion efficiency reasonably close to design specifications, and properly deliver heat as required. Combustion appliances receive an electronic combustion efficiency test to determine that oxygen, carbon monoxide and stack temperature are within acceptable tolerances. Correction is required where this is not the case. The distribution system – often the part of a heating unit with the greatest savings potential – is addressed by sealing ducts, insulating ducts (in unheated areas) and adjusting anticipator and limit settings, among other procedures. The WPS inspection standards for heating system safety and efficiency are more comprehensive and may be used to further reference Ohio's policies: [http://www.development.ohio.gov/is/is\\_weath\\_standards.htm](http://www.development.ohio.gov/is/is_weath_standards.htm). All heating systems replaced using WAP funds will first have NEAT justification to determine if the replacement can be considered an Energy Conservation Measure. Heating systems also may be replaced using Health and Safety funds with adequate documentation (inspector approved, photographs, etc.) of the reason for replacement.

#### CONSUMER EDUCATION

Consumer education is a valuable adjunct to the weatherization work described above, both by creating additional initial savings and by extending the persistence of savings achieved by other measures. Ohio's consumer education program has proven to be an effective way of maximizing the impact of the energy efficiency measures installed by the WAP by providing information concerning energy efficiency practices to WAP recipients. WAP providers are required to provide comprehensive consumer education to the eligible tenant or homeowner in each weatherized unit. Ohio's approach to consumer education regarding weatherization can be described as follows:

Providers are required to provide energy education counseling to all WAP recipients/partners and complete a home energy checklist. The purpose of the checklist is to obtain information about the WAP recipient's energy use practices in order to focus the energy education on the recipient's needs and situation. Providers are also required to complete an Energy Savers Partnership Plan for all WAP recipients. The purpose of the Energy Savers Partnership Plan is to

identify the specific energy efficiency actions that WAP is responsible for completing and those actions that the WAP recipient is responsible for implementing. The recipient's actions will be formulated with input from the consumer and individualized to his/her needs and situation. This partnership plan must be completed at the consumer's home. Providers are recommended to install a Plate Pal into all single family homes that receive an initial inspection. The Plate Pal is a device that shows the temperature and the humidity levels within the room. This allows the consumer to identify situations where there may be high or low humidity levels.

As part of the education process, the inspectors instruct and leave information with the consumer on ways to adjust the humidity levels and what the optimum range of temperature and humidity should be to feel comfortable. Providers are required to provide appropriate energy efficiency written materials. The "Do Your Part" brochure was developed to visually represent WAP work with energy savings actions that the consumer can implement. Providers are required to complete follow-up contact on a minimum of 25% of completed units three to 12 months after the final home visit to reinforce the actions agreed upon in the partnership plan. Follow-up will be targeted to households with a high potential for consumption reductions based on the initial consumer education visit. ODSA will focus its consumer education efforts on ways to improve the impact of the partnership plan on non-heating utility costs and ways to improve the follow-up contact process. Ohio's approach allows for continued improvement and modification based on evaluation study results. As described above, the protocol approach to conduction, convection, heating appliances and consumer education has all the advantages of an audit in terms of output for the vast majority of units weatherized in Ohio. We intend to continue to strengthen this approach by continuing to collaborate with partner programs providing services in the homes being weatherized when available, including utility sponsored weatherization programs and Healthy Homes programs among others; and the incorporation of recommended results from future and previous evaluation studies.

#### V.5.3 Final Inspection

As specified in 10 CFR 440.16(g), no dwelling unit will be reported to ODSA as completed until a qualified inspector has performed a final inspection and certified that applicable work has been completed in compliance with the Ohio Weatherization Program Standards (WPS) and in accordance with the priorities

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as determined by the Building Classification Housing type priority list or as determined by a DOE approved energy audit. In addition, to ensure a separation of duties, the initial and final inspectors must be different individuals. Under no circumstances are final inspectors permitted to inspect their own work (e.g. install or help install the furnace and then complete the final inspection on the work performed).

Ohio will require beginning July 1, 2015 that all final inspections are conducted by credentialed Home Energy Professional Quality Control Inspectors. Ohio's Weatherization Training Center offers a two-day preparatory course in addition to standard inspector coursework in an effort to prepare the network for the certification test, which includes both a hands-on field test component and standardized test component. Agencies will be permitted to contract with individuals who have earned this credential in order to meet the mandate for Quality Control Inspectors.

#### **V.6 Weatherization Analysis of Effectiveness**

According to the Home Energy Affordability Gap Study 2012 (2nd series) published in May 2013, Ohio households with incomes of below 50% of the Federal Poverty Level pay 32% of their annual income simply for their home energy bills. Bills for households with incomes between 150% and 185% of Poverty take up 8% of income. Ohio households with incomes between 185% and 200% of the Federal Poverty Level have energy bills equal to 7% of income. According to the most recent five-year American Community Survey, nearly 311,000 Ohio households live with income at or below 50% of the Federal Poverty Level and face a home energy burden of 32%. Nearly 365,000 additional Ohio households live with incomes between 50% and 100% of the Federal Poverty Level and face a home energy burden of 17%. In 2012 the total number of Ohio households below 200% of the Federal Poverty Level rose from the prior year.

Ohio uses a variety of methods to assess the effectiveness of weatherization providers. Monitoring, both technical and administrative/fiscal, is performed as indicated in section V.8.3. Ohio employs a Progressive Corrective Action Policy and may require Training and Technical Assistance and more frequent monitoring as part of the agency's Continuous Improvement Plan. Additionally, Ohio has developed a Risk Assessment Tool, attached, that evaluates each provider's effectiveness in key areas, including financial audit and fiscal procedures, technical performance and administrative performance. Items reviewed include audit findings, ability to meet production goals and other performance measures, expenditure rate, average cost per unit, ability to meet deadlines and monthly reporting requirements, health and safety performance, staff qualifications and experience, procurement policies and procedures, and contractor/crew management. Agencies are identified as high risk, moderate risk or low risk based on the results identified by the tool. All agencies will be assessed for risk annually to be completed by October 1 following the program year of review. Results are shared with each agency and audit staff as a tool to develop agency capacity and direct appropriate training or technical assistance. Agencies identified as "high risk" will be visited by a state monitor quarterly to support their efforts to improve in any high-risk areas.

Statistics regarding agency performance such as production numbers and air leakage reductions are collected on Building Weatherization Reports and tracked in Ohio's database system. Each agency receives an informal desk review each month when reports are submitted. Reports are reviewed for anomalies and/or other questions and concerns and may be referred back to agencies for explanation or corrections or to the technical/administrative monitors for follow-up, when applicable.

Technical monitoring reports are copied to the Ohio Weatherization Training Center, which tracks findings and uses the information to guide training and technical assistance efforts. OCEAN also tracks the results of both technical and administrative monitoring. Reports are available that summarize findings by agency or for the entire network, breaking down findings by type. These reports also can be used to direct future monitoring and training and technical assistance.

High level information resulting from sub-grantee performance reviews are tracked on a Microsoft Excel spreadsheet called MONTRAK. Tracked data includes agency name, date of visit, number of units monitored and percentage of units monitored, and response due date. More detailed information on findings, required actions, and pass/fail rate of units monitored is tracked in OCEAN as stated above.

When a sub-grantee fails a technical monitoring visit (less than 60% of units monitored do not pass the quality control inspection by state staff), the agency is designated as in a "Continuous Improvement Plan." Frequency of monitoring is increased and technical assistance or training may be required. When program management or fiscal findings are cited on an administrative monitoring visit, the agency is given 30 days to respond. Repeated failure to adequately address issues may result in progressive corrective action. The Progressive Corrective Action policy is attached.

Per the requirements for a Quality Management Plan, Ohio is developing training for Energy Coordinators, fiscal representatives and other administrators at the sub-grantee level on 10 CFR 440. Training for 10 CFR 600 and the CDD Cost Principles is delivered by ODSA audit staff at conferences, meetings, webinars, all-provider trainings and other venues as needed. ODSA audit staff perform scheduled audits on all sub-grantees for all grants administered by ODSA.

To ensure measures are being costed accurately, Ohio requires that sub-grantees use an approved price list (required submission with grant application for approval) or obtain three bids for work completed by contractors. Additionally, agencies must keep evidence of cost comparisons for regularly purchased items and have it available for review at the administrative monitoring visit. Large purchases greater than \$5,000 require three bids and permission from DOE. Ohio crew-based programs purchase inventory up front and are reimbursed by the grant upon installation of the materials. No grant-owned inventory is permitted.

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**V.7 Health and Safety**

In accordance with the Final Rule and Weatherization Program Notice (WPN) 11-6, the Ohio Development Services Agency (ODSA) shall adopt the following approach to implementing Health and Safety measures. Local providers shall comply with all applicable state and local building codes and regulations. ODSA provides its sub-grantees with an allocation of funds, identified as a budget line item, to be used for required Health and Safety activities on dwelling units being weatherized. Specific health and safety related measures are reported in the OCEAN data system. The purchase and maintenance of personal protective equipment and other safety equipment is allowed. Each grantee has a local Training and Technical Assistance budget and those funds may be used to provide training and certifications to address Health and Safety issues. Ohio tracks Health and Safety labor and materials costs on its Building Weatherization Reports (BWRs) which populate a statewide database making it possible to track and manage all health and safety costs. ODSA encourages providers to maintain coverage for Pollution Occurrence Insurance (POI), but it is not mandatory.

When units monitored fail to meet Health and Safety Standards, the monitor issues a mandatory Health and Safety requirement. The agency is required to respond immediately and resolve the issue within three calendar days.

**TRAINING**

Training on health and safety issues is provided by the Ohio Weatherization Training Center (OWTC) (see class lists in section V.8.3).

OWTC and state monitoring staff also provide onsite training and technical assistance upon request or requirement to clarify field issues with regards to health and safety installation of measures.

**DEFERRAL NOTIFICATION OF HEALTH OR SAFETY CONCERN THAT PRECLUDES SERVICES**

Deferral is discussed in section V.1.2 of this application. The Ohio Deferral Form is preprinted in triplicate and provided in bulk to agencies. One copy is to go to the client, another to the homeowner/landlord, and the last copy is to remain in the client file for reference. Deferred clients who resolve the outstanding issues must be moved to the top of the priority list and served as soon as possible by the provider. The form includes the client's name and address, a clear description of the problem, a statement indicating the conditions under which weatherization shall resume, the rights and responsibilities of both provider and client, and the client's and inspector's signatures.

**CLIENT HEALTH AND SAFETY**

ODSA is continuing to implement the Ohio Weatherization Program Standards (WPS) as the measure for program quality in PY 2014. The WPS contains sections which detail inspection and diagnostic protocols, along with corrective actions and policies regarding areas of concern for client health and safety. Clients must be informed of any Health and Safety risk discovered during the inspection process. In the case of a rental property, the property owner and/or authorized agent also must be notified. As potential hazards are identified, they are to be analyzed in terms of their severity and how they will be addressed, up to and including deferral. Health and safety expenditures also must be considered reasonable, even if allowable expenditures for weatherization. This is determined by the qualified inspector. Customers may appeal these decisions to ODSA. If a potential hazard cannot be properly addressed using WAP funds, the provider must notify the customer in writing (see Deferral section of V.1.2 for additional information).

Allowable WAP measures fall into three broad categories: Energy Conservation Measures, Incidental Repairs, and Health and Safety Measures.

**ENERGY CONSERVATION MEASURES**

Energy Conservation Measures are incorporated into Ohio's Priority List of Measures and/or can be cost justified with a Savings-to-Investment Ratio (SIR) of 1.0 or greater using Weatherization Assistant software for single family and manufactured homes and EAQUIP for structures with five or more units.

**INCIDENTAL REPAIRS**

Per Weatherization Program Notice 12-9, Incidental Repairs are defined as "materials installation performed because it is deemed necessary for the effectiveness of one or more Energy Conservation Measures." These costs are recorded on Ohio's Building Weatherization Reports (BWRs). Incidental Repairs may not exceed \$600.00 for materials and labor for the structure for single family and manufactured homes. All incidental repairs for multi-family structures of five or more units must be submitted with the building audit for approval and will be determined on a case-by-case basis based on the reasonableness of the requested repair. Incidental Repairs must include an explanation for their need and relationship to a specific Energy Conservation Measure or group of Energy Conservation Measures as required in WPN 12-9. These may include (but are not limited to) replacing a pane of broken window glass, minor repairs to drywall or floors, or other minor repairs that prevent deferral of weatherization.

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**HEALTH AND SAFETY MEASURES**

Health and Safety measures are measures necessary to maintain the physical well-being of both the occupants and/or weatherization workers where the actions are necessary as a result of weatherization work. The reason for all health and safety work must be documented in the client file, including photographs and written documentation of the reason for replacement (when possible) and inspector approval of all Health and Safety work completed in the home. Signature on the work order may constitute this approval.

At this point in Program Year 2013, weatherization providers have averaged \$900 (Total Health and Safety expenditures of \$2,039,645 divided by 2,266 total completed units) for health and safety per household. This includes funds/units from both DOE and HHS/LIHEAP. Many agencies do not require the maximum level of health and safety funds and re-program the funds to Program Operations, particularly when leveraged funds are available to support health and safety measures. However, there are sub-grantees that have fewer leveraged resources and must rely solely on the DOE and HHS/LIHEAP funds for health and safety. Additionally, the energy efficiency standard in Ohio is being challenged legislatively. If the challenge succeeds, the standard by which public utility companies are held may be relaxed and less funding could be available to leverage with weatherization funds. Because of the uncertainty regarding the availability of Leveraged Funds in Ohio, Ohio proposes to budget 14.9 percent of Program Operations for Health and Safety for sub-grantees.

Measures not included on the Ohio Priority List of Measures must be evaluated to determine if they can be cost justified with a SIR of 1.0 or greater, and therefore be considered an Energy Conservation Measure. Heating Systems require an energy audit if replaced with WAP funding to determine if the measure may be considered an Energy Conservation Measure. Providers also may utilize a buy-down of heating system replacements in order to achieve an SIR of 1.0 or greater. Buy-down funds must be from a non-federal source.

Historically, Ohio has been technically strong in understanding and implementing codes administered by the National Fire Protection Association (NFPA) and has implemented these procedures as part of the standard package of Energy Conservation Measures installed on homes. Previous evaluations of the Ohio weatherization program have shown that the cost effectiveness of the program falls below the 1.0 SIR threshold when Health and Safety measures such as a heating appliance, a domestic hot water heater, or electric service panel upgrade were included. However, evaluating the program without those specific appliances included showed the WAP program to be cost effective with an approximate SIR of 1.8.

**Components of Health and Safety in regards to Weatherization**

**Air Conditioning and Heating Safety**

“Red tagged”, inoperable, or nonexistent heating system replacement or installation is allowed where climate conditions warrant unless prevented by other guidance herein. As described in section V.4 Climatic Conditions, Ohio’s climate requires weatherization and is considered a “heating climate,” therefore, Ohio will be addressing heating system replacement under the WAP program. Heating appliances (i.e. furnaces, boilers, vented space heaters) are to be repaired or replaced when the existing unit is not operational, unsafe, or nonexistent. This is to ensure that steps are taken to eliminate unsafe levels of carbon monoxide in the living area or to risk the safety of the inspector while attempting to obtain diagnostic readings of an unsafe appliance. Justification documentation and photos demonstrating the specific issue(s) with the existing system must be in the customer file. Trained staff must first attempt to cost justify heating system replacement and install as an Energy Conservation Measure. If not cost justified, the system and all components must be charged to Health and Safety. Repairs must be charged to the Health and Safety category, not to exceed the limits stated above, or to Incidental Repair when meeting that definition. Customer education must be performed to explain the importance of appropriate use and maintenance of the replacement unit. In addition, the sub-grantee must discuss the proper disposal of bulk fuel tanks, when applicable.

**Appliances and Water Heaters**

Replacement of water heaters using Health and Safety funds is allowed on an individual basis under the conditions outlined and described in the Weatherization Program Standards section 301.4 Mechanical System Installation – Domestic Hot Water. Sub-grantee must ensure that the replacement unit drafts properly in worst case depressurization scenario, and that the combustion analysis readings of unit are within the appropriate guidelines. Replacement and installation of appliances other than water heaters, such as cook stoves, washing machines, or clothes dryers, are not allowable.

The cost to clean and adjust the gas pressure to eliminate the production of carbon monoxide in a cook stove (stove top burners or oven) may be charged to Health and Safety. However, the installation of any parts to the cookstove (i.e. pressure regulator, orifices, proper, flexible range connectors) must be charged to the Health and Safety category.

Customer education is required to explain the importance of appropriate use and maintenance of the replacement unit. In addition, the sub-grantee must remove and properly dispose of the old heater.

**Asbestos**

The cost of generally removing and/or abating asbestos is prohibited. Where providers work on large heating and distribution systems, including related piping, the cost of asbestos removal or other less costly approaches such as encapsulation is allowed and must be charged to Health and Safety. However, in all cases,

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compliance with all codes and EPA regulations is required. The cost of permanently removing asbestos containing, cementitious siding materials remains prohibited; however, it is allowable to remove and reinstall such type of siding material to insulate the sidewalls of eligible units. This shall be performed by a person trained in safe work practices. Cutting or drilling the cementitious siding material remains prohibited. Based upon concerns regarding the possible presence of asbestos in vermiculite insulation that may be found in homes, the Office of Community Assistance distributed a memo in April 2006 outlining protocols if this type of insulation is found in homes. The protocols include, but are not limited to the following:

- Limit exposure
- Document the location
- "Work wet" to ensure that dust cannot be blown into the living area
- Do not install sidewall insulation, due to pressurizing the wall cavities
- Seal off the attic hatch and enter the attic from the outside
- Perform a blower door pressurization test, do not depressurize the interior of the home
- Follow all health and safety instruction from the inspector
- Wear adequate Personal Protective Equipment (PPE)

If it is determined that weatherization work cannot be performed without creating a hazard, the work must be deferred. The client is to be informed in writing of the potential hazard and the sub-grantee must not return to perform measures until an Asbestos Hazard Emergency Response Act (AHERA) certified professional has issued a clearance statement. A copy of this statement/report must be kept in the customer file.

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

The cost of removal or mitigation of conditions that may lead to or promote biological concerns and unsanitary conditions is allowable to the extent that removal or mitigation is necessary to allow effective weatherization work and/or to assure the immediate or future health of workers and customers. This refers to the repairs of broken sewer/drain pipes or unplugging sewer backups. Unsanitary conditions are occasionally present that put crews and staff at risk, and these are the responsibility of the customer. Sub-grantees would not be expected to address these conditions. These items may include but are not limited to pet or human feces in living areas, evidence of hoarding or “path houses” where access to measures is obstructed, rotting wood, etc.

Addressing bacteria or viruses is not an allowable cost. Deferral may be necessary in cases where a known agent is present in the home that may create a serious risk to occupants or weatherization workers. (See “Mold and Moisture.”)

#### Building Structure and Roofing

Inspectors must be aware of the structural condition of the dwellings to be weatherized. Roof repairs that exceed the Incidental Repair limit are beyond the scope of the program. Rehabilitation of dwellings is beyond the scope of the WAP. If it is determined that the dwelling unit is unsafe or requires repairs greater than allowed by the scope of the program, then planned weatherization activities must be deferred and a referral should be made to a local rehabilitation program. Sub-grantees must notify the customer of structurally compromised areas and document with pictures that are to be included in the customer file (see "Deferral Policy").

#### Code Compliance

Correction of pre-existing code compliance issues is not an allowable cost other than where weatherization measures are being conducted. State and local codes (or jurisdiction having authority) must be followed while installing weatherization measures. Condemned properties and properties where “red tagged” Health and Safety conditions exist that cannot be corrected under the program should be deferred. Notify the customer of observed compliance issues.

#### Combustion Gases

Proper venting to the outside for combustion appliances, including gas dryers, is required. Repair of all combustion appliance fuel line leaks from the meter to the combustion appliance(s) is required. This is an allowable Health and Safety charge. Correction of venting is allowed when combustion testing indicates a problem and also must be charged as a Health and Safety measure. Combustion testing must include (1) the visual inspections of appliances and venting to ensure adequate clearances to combustibles, and (2) testing natural draft and fan induced draft appliances for proper draft and spillage under worst case depressurization conditions before and after air sealing work on the home. Customer education must be performed to explain the importance of combustion safety and possible hazards.

#### Drainage

Major drainage issues (for example, earth sloping toward dwelling) are beyond the scope of the WAP. Homes with conditions that may create a serious health concern and require more than incidental repairs should be deferred.

Customer education must be provided to explain the importance of cleaning and maintaining drainage systems, as well as the benefits of landscape design

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(where applicable).

**Electrical, other than Knob-and-Tube Wiring**

The cost to correct the presence of electrical system hazards, such as inadequately sized service, improperly grounded service, hazardously located service, inadequately sized or insufficient number of circuits, circuits in poor condition (i.e. live bare wires, etc.) and wiring inappropriate to its location are allowable costs to the Health and Safety category. A licensed electrical contractor shall be used to perform any electrical work needed to correct the hazard. Customer education must be performed to explain the importance of basic electrical safety/risks and the hazards of overloading circuits.

**Electrical, Knob-and-Tube Wiring**

As part of the initial inspection process, inspectors make note of the presence of knob-and-tube

wiring and its condition. In some cases, electric utility program funds are used to abate electrical system hazards and install properly sized fuses and breakers to ensure circuits are not overloaded. In attics and sidewalls where knob-and-tube wiring may be in use, the crew/contractor is instructed to install S-type fuses before any insulation is installed. The removal of knob-and-tube wiring and upgrading the wiring system in attics is allowable and is to be charged as a health and safety measure except when meeting the requirements and definition of Incidental Repair. Customer education must be performed to explain the importance of basic electrical safety/risks and the hazards of overloading circuits.

**Fire Hazard**

Inspectors also identify potential fire hazards within the dwellings. Section 3011 of WPS includes guidance that governs combustion appliances and their associated venting systems. The guidance outlines how to identify and eliminate potential fire hazards including inadequate clearances between combustion appliance cabinets, venting systems and combustible materials. The WPS also states how to handle potentially dangerous creosote buildup

in chimneys and wood stove flues. Potential fire hazards are addressed with Health and Safety funding or other leveraged funding sources. Required adherence to appropriate NFPA codes when repairing or replacing appliances minimizes the potential for fire hazards. Customer education must be performed to explain the importance of addressing any fire hazards within the home. If possible, the inspector should address any potential fire hazards within the scope of the weatherization program; however, the customer must be notified when a fire hazard is identified if it cannot be treated during the weatherization process. In some cases, this may result in deferral or referral of the home until the fire hazard can be corrected.

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

Formaldehyde, tobacco smoke, thinners, solvents, cleaners and other pollutants that are capable of negatively impacting indoor air quality are identified during the initial inspection (and in many cases are discussed by sub-grantee's intake staff during scheduling). Basic strategies such as proper storage and ventilation are part of customer education and can be used to eliminate problems. If pollutants pose a risk to workers and removal cannot be performed or is not allowed by the customer, the unit must be deferred. Removal of pollutants not necessary to perform weatherization (i.e. cleaning old paint cans and oil out of garages) is not allowed. Customer education must be performed to explain the importance of safe and proper disposal of household pollutants.

**Injury Prevention of Occupants and Weatherization Workers**

Workers must take all reasonable precautions against performing work on homes that will subject workers or occupants to Health and Safety risks. Repairs of stairs and installation of handrails may be conducted only when necessary to effectively weatherize the home and may be charged to regular funds and reported within the Incidental Repair category. For example, if the stairs to the basement are broken and not safe to use, but the heating appliances are located in the basement, then it would be necessary to repair the stairs to effectively weatherize the home. If the measures are not necessary to perform effective weatherization, they are not allowed. For example, if the stairway to the second floor was missing a handrail and the occupants needed a railing for stability when going up or down the stairs, this would not be allowed because it is not affecting the weatherization of the home. This would include the installation of a handicap ramp for entrance into the home. When possible, providers may make referrals to other programs or use leveraged funds to address these concerns. Workers are to observe if dangers are present that would prevent weatherization. Clients must be informed by Inspectors and/or workers of observed hazards and associated risks, when applicable. Some sub-grantees are able to collaborate with local programs to leverage funding to address trip and fall hazards within households.

**Lead-Based Paint**

The cost of lead paint abatement is prohibited. However, the cost to test building materials for the presence of lead paint and the cost of precautions to prevent causing a lead paint contamination problem while installing weatherization materials is allowable. Lead-based paint (LBP) was used on the majority of houses built before 1978. It is probable that LBP is present on houses weatherized by the WAP that were built before 1978. If LBP must be disturbed (cut, scraped, sawn, drilled, etc.) during the weatherization work, that work shall be done in a "lead-safe" manner. Ohio has transitioned to the approach defined by the Environmental Protection Agency (EPA) under the Lead Renovation, Repair, and Painting Rule (LRRP). Ohio has developed a training that uses the Montana

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State University Lead Safe Weatherization (LSW) curriculum as the minimum requirement. All field staff are required to complete this training, which includes a hands-on component. New staff are required to attend the training within 180 days of their start of employment in the weatherization program. As part of this training, field staff are instructed on the proper disposal of all construction waste. In addition, all field staff working on pre-1978 homes must be accompanied by an EPA Certified Renovator while at the job site. The EPA LRRP training is provided by the Ohio Weatherization Training Center (OWTC) along with other entities throughout the state (for example, the University of Cincinnati). A sub-grantee and/or weatherization contractors must have at least one individual who has certified as an EPA Certified Renovator certificate and who will be present at the job sites. In many cases, multiple individuals at a provider may have this certification. Documentation for training credentials must be onsite (i.e. copies of the training certificate or the certification as a renovator must be available). Cleaning verification and documentation that lead-safe weatherization occurred must be within the customer file. If less than six square feet of wall surface is disturbed per room on the interior of the home, or less than 20 square feet of wall per side on the exterior of the home, the certified renovator in charge of the job will certify this information on the work order, with either an attachment to the work order or similar language written and signed on the work order. Even though the work has disturbed less than the de minimis amounts of paint as specified by the U.S. Environmental Protection Agency (EPA), all work should be performed in a lead safe manner. If more than six square feet of wall surface is disturbed per room on the interior, or more than 20 square feet of wall per side on the exterior, the following will occur:

- A certified renovator must be present on the job to make sure that the procedures are followed as stated in 40CFR Part 745.
- Proper containment, signage and testing of the area must be completed according to the code.
- Proper record keeping using the Post – Renovation Lead Recordkeeping Checklist must be completed and submitted.
- Other required paperwork to include:
- Copies of the Certified Renovator and other installers certificates;
- Pictures of the containment area with a posting of the job number attached to the containment materials; and
- Picture(s) of the Approved Wipes alongside the Cleaning Verification Card showing that the cleaning process has passed, with the job number in the picture.

All ODSA Technical Field Representatives have received training in LSW and completed the LRRP course.

All providers are required to provide a copy of "The Lead-Safe Certified Guide to Renovate Right," if applicable, prior to the start of work. This brochure will be given to an adult resident of each pre-1978 residential building to be weatherized. Written acknowledgment is required, proving the adult resident received the brochure, or a certification in writing that the brochure was delivered to an adult resident and the sub-grantee was unsuccessful in obtaining a written acknowledgement, as directed in the publication. Confirmation of receipt of this brochure by the customer will be maintained in the customer file. Expendable materials and safety equipment associated with working lead safe (including but not limited to safety suits, trash bags, face masks, plastic covers) must be charged to Equipment/Tools.

Ohio's Deferral Policy will be used in instances where the homeowner or landlord has notified the sub-grantee of lead paint issues existing or where lead poisoning has occurred to a member of the household. Referral is recommended to other programs designed to address the concerns.

#### Mold and Moisture

Limited water damage repairs that can be addressed by weatherization workers and correction of conditions that may create moisture and mold are allowed when necessary in order to weatherize the home and to ensure the long term stability and durability of the measures. This may be charged to regular funds and reported with the Incidental Repair category. However, existing mold and moisture issues greater than 10 square feet cannot be addressed and must be deferred. Testing for mold to determine the type or severity is not an allowable cost. All providers are required to complete a Home Weatherization Assistance Program Mold Assessment and Release Form after the energy audit and prior to the work being started. It is expected that sub-grantee staff will document with digital photos any existing mold and mildew problem. The sub-grantee should refer the home to another program designed to address the concern per Information Update 2010-059 & WPS section 114. Ohio's Deferral Policy will be used in instances where the remediation of the problem is beyond the scope of the weatherization program. Moisture problems that cannot be corrected within the scope of the program include, but are not limited to the following:

- Installation of a new roof;
- An enclosed crawlspace or basement that has standing water for significant periods of time due to inadequate ground or surface water drainage;
- Any building with no overhangs and no gutters, exhibiting signs of major moisture problems such as blistering paint and extensive mold/mildew on the inside of the house.

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**Occupant Preexisting or Potential Health Conditions**

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 asked to take appropriate action based on severity of risk. Failure or the inability to take appropriate actions must result in deferral. Intake staff should begin the discussion with the customer as part of describing the program and what measures may be performed. The sub-grantee must be cognizant of collecting this personal information and the protections that customers have with the Health Insurance Portability and Accountability Act of 1996 (HIPAA). Care should be taken to assist if such health problems exist and, consequently, to avoid weatherization work/materials that will exacerbate the problem. Such health problems may include but are not limited to allergies to insulation materials, and/or asthma. A discussion between the sub-grantee's staff and the customer should take place during the initial visit to explain the process for installation of all materials and determine if any activity will exacerbate the condition(s) of the occupants. Alternative work protocols should be implemented if necessary to avoid aggravating any existing health condition. It may be necessary for the customer to leave the home during the work process. Refusal or inability to leave the home may result in deferral and/or referral to another local program, if available.

**Occupational Safety and Health Administration (OSHA) and Crew Safety**

Providers shall comply with Occupational Safety and Health Administration (OSHA) requirements for all weatherization activities which involve staff personnel. This includes the requirement that staff personnel working on the homes (crews and inspectors) will utilize the appropriate personal safety equipment when necessary and receive training on the use/location of material safety data sheets (MSDS), first aid equipment, fire extinguishers, and other safety equipment. Related costs to train personnel in order to comply with OSHA requirements shall be charged to the Administration or the Training and Technical Assistance budget category. Related costs to purchase equipment in order to comply with OSHA requirements shall be charged to the Administration or the Support budget category. When contractors are employed by providers, those contractors shall comply with OSHA requirements as well. Providers that identify that a contractor may not be complying with OSHA requirements shall take all necessary steps to have the contractor rectify the situation, including notifying the contractor of the issue, identifying training opportunities, or terminating the contract with the contractor. Costs related to OSHA compliance for HVAC, weatherization, or other contractors hired to address health and safety issues shall be part of the bid price or job cost.

The sub-grantee is responsible for ensuring workers and subcontractors are properly trained and certified, when certification is required. The state of Ohio will review the training certificates for OSHA and LSW compliance in conjunction with the local sub-grantee and the Ohio Weatherization Training Center. Ohio allocates local Training and Technical Assistance funding that provides direct trainings statewide or the local provider may use Training and Technical Assistance funding that has been directly allocated to the provider to obtain training, with approval by ODSA. Statewide health and safety trainings include:

**Weatherization Workers/Crew Members**

- OSHA Construction Safety – 10 hour training (required)
- Weatherization Energy Coordinators and Crew Leaders (required) and Inspectors (recommended)
- OSHA Construction Safety – 30 hour training and certification
- Lead Safety for Renovation, Repair and Painting (LRRP)
- At least one individual from the organization that will be on site with crews working on pre-1978 homes is required to be certified renovators.

**Pests**

Pest infestation, within the dwelling or in any area outside of the dwelling, where sub-grantee staff (inspectors, crews) or contractors would have to work, is cause for deferral. (Pests include but are not limited to fleas, roaches, rodents, and/or bed bugs). However, it is allowable as a tool/equipment item for the crews to purchase bug spray (wasp/hornet spray) when they are working outside the dwelling as a remedy for a situation. It also is allowable for the sub-grantee to address points of access to prevent intrusion. Examples include screening of attic gable vents to keep out flying insects and installing steel wool accesses to prevent rodents from penetrating. Whole house extermination is not allowed. Customer education must include any observed conditions of pests and associated risks.

**Radon**

Ohio's policies regarding radon have been aligned with Weatherization Program Notice 11-6 and recommendations by DOE. The cost of generally abating radon is prohibited. However, the cost to test a building for the presence of radon gas is allowable if the potential for its presence is believed high. Many counties in Ohio are considered to have high potential for radon (see [www.epa.gov/radon/whereyoulive.html](http://www.epa.gov/radon/whereyoulive.html) for a radon map of Ohio). Some weatherization measures that help mitigate the presence of radon (such as installing ground/vapor barrier on exposed dirt) are allowable and may be charged to regular funds if included in the Priority List of Measures or cost justified and reported in the Floor Procedures category. Customer education must include providing a copy of the Environmental Protection Agency (EPA) handout entitled A Citizen's Guide to Radon (EPA 402/K09/001). In instances where elevated levels of radon have been identified, the energy auditor will defer such weatherization measures that could exacerbate the problem. Weatherization measures that are identified

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as being cost effective for the dwelling and will reduce the exposure to radon are encouraged.

#### Refrigerant

When a replacement refrigeration appliance is installed, the previous inefficient appliance must be removed and be properly destroyed. Contractors will properly dispose of these existing appliances and provide documentation of disposal. Appliances shall be recycled in accordance with the environmental standards in the Clean Air Act (1990), Section 608, as amended by the Final Rule. 40 CFR 82, May 14, 1993. Sub-grantee staff, appliance vendor, manufacturing facility, or other entity that is used to recover the refrigerant from the old appliances must possess an EPA-approved section 608 Type I license or an approved universal certification.

#### Smoke, Carbon Monoxide Alarms and Fire Extinguishers

The installation of smoke alarms is allowable and must be installed as per WPS section 1505. An approved carbon monoxide alarm(s) is required when there are combustion appliances in the home. The installation of smoke and carbon monoxide alarms must be charged to the Health and Safety category per WPN 11-6. Ohio will not require a landlord contribution for the cost of labor and materials to install smoke and carbon monoxide alarms.

Fire Extinguishers are allowable for households when a solid fuel heating system is present (i.e. coal, wood). Only one unit may be installed into a home and must be charged to the Health and Safety category. Fire extinguishers must be installed, according to the manufactures recommendations, be type ABC, UL listed, = 10 lb. and with a permanently affixed wall bracket to receive the extinguisher. The client must sign a written agreement to allow a fire extinguisher to be installed in the home within sight of the solid fuel burning heat system when standing at the unit. The provider must discuss and provide information on the use and upkeep of the extinguisher to the client.

#### Solid Fuel Heating (Wood Stoves, etc.)

The weatherization provider must inspect the stove, chimney and flue. Combustion zone depressurization (CAZ) is required per the WPS and NFPA 211. 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. Replacement of secondary heating units is not allowed. This system must be operational and inspected using all WPS test protocols before any other weatherization begins.

#### Space Heaters, Stand-alone, Electric

Heating appliances in this category may be defined as heaters that do not have a permanent connection to electric power. Repair, replacement, or installation is not allowed. Removal is recommended. Circuitry must be checked to ensure adequate power supply for existing space heaters. These heaters are not considered a primary heat source.

Customer education must include information about the hazards associated with these types of heaters. Inspectors may defer if the customer refuses to remove heaters of this type.

#### Space Heaters, Unvented Combustion

All unvented, fuel-fired primary heating units or unvented fuel-fired water heaters that cannot be vented must be removed and replaced with properly vented units before proceeding with any weatherization work. All unvented, secondary heating units must be removed unless they conform to ANSI Z21.11.2. The sub-grantee must notify the client/owner/authorized agent verbally and in writing of the potential health hazards of operating an unvented appliance in the post-weatherized dwelling and provide information on safe alternatives. The sub-grantee also must test the ambient air in the location of the unvented appliance. A carbon monoxide detector must be installed in this situation.

#### Space Heaters, Vented Combustion

These units will be treated as furnaces. The WPS details the diagnostic testing required during an inspection. The replacement system must be operational and inspected using all WPS diagnostic test protocols before any other weatherization begins.

#### Spray Polyurethane Foam (SPF)

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 of a unit 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 will include checking for penetrations in the building envelope. Sensory inspection inside the home for fumes during foam application must also occur. Safety equipment associated with installation of this product may be charged to Equipment/Tools. The client must be informed of plans to use two-part foam and the precautions that may be necessary. All weatherization staff and contractors using foam products must receive training on the proper use of these various products and understand the

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specification for each application type. Documentation is required of installers viewing an installation video or completing online training and verification of reading and understanding product use information. Documentation and verification of training must be maintained by the service provider. MSDS sheets are mandatory for any foam product used and a thorough understanding of the temperature sensitivity of the product in use is required.

#### Ventilation

The installation of new exhaust fans and related ducting, controls, and passive air intakes that are designed to remove moisture and/or introduce fresh air to assure a safe and healthy level of air exchange is allowable as a Health and Safety measure. The Ohio Weatherization Training Center has developed an ASHRAE 62.2 training course based on the WAP National Curriculum and sub-grantees are also allowed to use local Training and Technical Assistance funding to hire trainers to provide this training, with approval from ODSA. State staff provided training and technical assistance in program year 2013 to all providers on the importance of indoor air quality, benefit to customers and effective implementation strategies. State staff continue to make themselves available for such training as requested by the sub-grantee or required by ODSA as a monitoring finding. Ohio has adopted ASHRAE 62.2-2013 beginning July 1, 2014 as required by DOE. Guidance is drafted for all sub-grantees and will be sent as part of Ohio's policy update memo in an Information Update to all providers prior to PY 2014. The Ohio Weatherization Training Center will offer assistance with transition from ASHRAE 62.2-2010 and state technical monitors also will provide assistance by upon request. As new versions to standards are published, including ASHRAE 62.2, Ohio will incorporate the newest full version and develop and deliver training to the network as necessary to meet the needs of the Ohio weatherization workforce by partnering with the IREC-accredited Ohio Weatherization Training Center.

#### Window and Door Replacement, Window Guards

Replacement, repair, or installation is not an allowable Health and Safety cost but may be allowed as an incidental repair when meeting that definition, or as an Energy Conservation Measure if cost justified with a SIR of 1.0 or greater. If disturbing lead paint, providers and all contractors must follow LSW and LRRP practices and the client must be informed of the risk of lead-based paint.

## V.8 Program Management

### V.8.1 Overview and Organization

The Weatherization Program is administered by the Ohio Development Services Agency (ODSA), Community Services Division, Office of Community Assistance, which will be considered the Grantee. The Office of Community Assistance also administers the Low Income Home Energy Assistance Program, the Community Services Block Grant, the Percentage of Payment Plan, and the Energy Partnership Plan. The weatherization program is directly administered by the Section Supervisor, Weatherization, and monitoring staff. ODSA will have 28 direct contracts with Community Action Agencies (CAAs) (20); local government agencies (3); and nonprofit, non-CAA agencies (5) to implement the WAP. These sub-grantees will ensure that WAP services are available in all 88 of Ohio's counties. Sub-grantees are solely responsible for the quality of work and reporting requirements of the WAP. Sub-grantees are expected to monitor the performance of contractors, crews, and nonprofit partners carrying out work for the WAP. Additionally, ODSA monitors will visit all Ohio grantees and review no less than 5 percent of completed units (see V.8.3 Monitoring Activities for additional details).

### V.8.2 Administrative Expenditure Limits

ODSA will follow the rules for administrative expenditure limits outlined in 10 CFR 440.18(e), which states that not more than 10 percent of any grant made to a state may be used by the grantee and sub-grantees for administrative purposes in carrying out duties under this part, except that not more than five percent may be used by the state for such purposes, and not less than five percent must be made available to sub-grantees by states. Ohio tracks administrative expenditures on the monthly financial reimbursement request. Also, Ohio's grants management and database software, OCEAN, prevents budgeting greater than the maximum allowable in the administration category.

### V.8.3 Monitoring Activities

The Ohio Development Services Agency (ODSA) has an established monitoring system for evaluating sub-grantee performance regardless of funding source. Monitoring functions will be the state's principal method for determining sub-grantee compliance, evaluating actual accomplishments against planned activities and determining the effectiveness of WAP policy. Monitoring provides objective reporting to and from sub-grantees and makes recommendations to address program and administrative deficiencies and needs. The administrative field staff will review fiscal procedures, staffing and organization, procurement, and client services. The technical field staff will review property management, inventory, materials quality, and field work. Each sub-grantee will be visited by a technical field representative at least once per monitoring year to review no less than 5% of completed units. Each sub-grantee will be visited by an administrative field representative at least once every monitoring year to review no less than 5% of the completed units' files. Monthly desk reviews are performed on a sample of

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all completed jobs by agency, increased to all jobs when and if issues are identified. Program year is defined as July 1 through June 30. A tentative schedule is not available at this time and is dependent on many factors, including the timing of approval of the DOE State Plan. Monitoring visits are generally arranged with agencies at least two weeks in advance. Agencies are not permitted to choose the units for the visit. These are chosen by state monitoring staff based on noted anomalies or risk factors identified in previous onsite monitoring or desk monitoring, a variety of housing types, and location. A job automatically fails the visit if the client validates pre-monitoring by the provider in an effort to "clean up" the job prior to the monitoring visit.

All direct monitoring staff persons are paid 100% out of the Training and Technical Assistance budget category. Travel is necessary to complete the demands of the monitoring approach and federal travel rules are followed by the state of Ohio. State-owned vehicles are used for all in-state travel unless not available or not cost-effective (form signed by supervisor and Deputy Chief or Assistant Deputy Chief required for permission).

All technical monitors are required to attain the Building Performance Institute (BPI) Quality Control Inspector (QCI) credential no later than July 1, 2015. At present, four of six monitors have achieved the credential. The remaining two monitors are in-process.

State staff dedicated to monitoring include the following:

Community Development Analyst (2) (Administrative Monitors)

Olivia Eveland

Patrick Stuart

Energy Analyst 2 (5) Technical Monitors

Joseph Vaughn – Application submitted for HEP QCI

Brian Cramer – HEP QCI certified

Allan Egan – Application accepted for HEP QCI

Brian Jamison – HEP QCI certified

Eric Sandys – HEP QCI certified

Energy Developer (1) (Lead Technical Monitor)

Scott Kashuba – HEP QCI certified

### **Monitoring Approach**

Ohio's monitoring approach will include the following components:

1. Administrative review by field staff of documents and reports related to the organization, operation and performance of local WAP Provider programs;
2. Monitoring for technical compliance with standards, performance measures and applicable codes and other policies related to installation of materials;  
and
3. Fiscal Audit of financial stability and accountability.

### **Administrative Monitoring**

The administrative review covers the following, at minimum: financial management systems and operations, review of previous audits and monitoring visits by both administrative and technical monitors, payroll/personnel, procurement procedures, sub-grantee or partner agency monitoring, invoicing/purchase orders compared to work orders and price list or bids, records retention, contractor compliance, client file review, program structure, marketing, general program

operations and flow of services, review of production goals, information technology needs assessment, and gathering of success stories. The administrative monitoring also includes review of annual Grantee/Provider Management Plans, reports based on monthly financial and production information, analysis of tools/equipment inventories, and compliance with required written procedures. Problems noted through this review are communicated to the providers for their subsequent explanation and/or resolution. Client files have been standardized in Ohio since 2010. Administrative monitors also check for adherence to both existing and new policies and procedures and provide training upon request or requirement when agencies fail to meet expectations in one or more area. The Administrative Monitoring Quality Assurance Checklist for file review is attached, along with a copy of the monitoring instrument.

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Technical Monitoring

Monitoring reports are to be completed within 30 days of the visit to the provider whenever possible. These reports will summarize the findings and, when necessary, direct the providers to take specific actions to correct issues of noncompliance and/or to develop a plan of action to improve performance. Reports are sent to provider Board Chairpersons and Executive Directors who must respond within 30 days and provide evidence or assurance, as appropriate, of all actions taken. A 15-day extension is allowable with permission from ODSA. Monitoring reports include a reminder that suspension of funding is possible if a sub-grantee fails to respond within the allowable timeframe. The Progressive Corrective Action policy outlines a methodology to effectively align the weatherization provider's expected performance, training plans, and other requirements when a provider's performance falls below the expected standard. ODSA has developed and implemented procedures to ensure state monitoring is increased if a sub-grantee's pass rate for all monitored units on a single visit falls below the established acceptable pass rate of 60%. Based on the Site Visit Inspection Summary reports, any sub-grantee falling below the visit pass rate of 60% any time during the program year will receive additional technical monitoring of its completed units for the next two consecutive quarters. A minimum of three completed units will be monitored during each of these follow-up visits. During the period in which the sub-grantee pass rate is below 60%, ODSA will work with that sub-grantee or delegate with training and technical assistance and/or the Ohio Weatherization Training Center to address the problematic areas causing the low passage rate. Under this system, units pass or fail based on specific parameters. Homes monitored that have one or more health and safety violations (any health and safety finding is considered a major finding) or a combination of four or more minor or moderate findings, fail the job. More than 60% of homes monitored at an onsite visit must pass. Sub-grantees who do not meet this requirement are considered in a Continuous Improvement Plan and are visited quarterly by state monitoring staff. These visits may be regular monitoring visits to check progress or to provide training or technical assistance to the program. The provider is considered in a Continuous Improvement Plan until at least 60% of units pass the monitoring during two consecutive technical monitoring visits. Any findings are documented in the site monitoring checklist and detailed in a written report to the sub-grantee.

Audit

Sub-grantees are required to comply with OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. Effective December 26, 2014 they will comply with 20 CFR, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Specifically, sub-grantees would comply with Subpart F – Audit Requirements. Audit reports are submitted to the ODSA Audit Office and are generally reviewed within 90 days of receipt.

Each sub-grantee is subject to a grant-specific audit by the ODSA Audit Office. These occur at two, three or four-year intervals depending on risk analysis performed by the ODSA Audit Office. The audit reviews compliance with federal, state and local rules, regulations, laws and policies related to the receipt, expenditure and reporting of grants. An audit is conducted in accordance with procedures prescribed by ODSA to satisfy federal and state sub-grantee monitoring requirements and those expressed or implied in Grant Agreements.

Sub-grantees that exhibit significant problems, actions or circumstances that increases the risk of fraud, waste and abuse of grant funds are subject to additional ODSA audit review. Specific audit procedures would be performed at the request of the Office of Community Assistance.

An audit report is issued by the ODSA Audit Office within thirty days after the last day of audit fieldwork. The sub-grantee must respond to any questioned costs, legal compliance findings or material weaknesses stated in the report. Each response must describe the actions the sub-grantee has taken or will take to preclude the findings from reoccurring. Unresolved findings could result in disallowed costs, withholding of funds, suspension of funds or other legal actions.

Tracking and Analysis

Ohio has made progress to meeting the expectations set forth in WPN 12-5. Ohio uses Montrak, an Excel-based worksheet, to track monitoring results, including dates for the visit, issuance of the report, and final resolution. Ohio also maintains a database that tracks and consolidates findings on technical visits by measure and type. Reports show both individual provider and statewide results, which are shared with the training center to guide training and technical assistance. All technical reports also are sent to the training center for review.

Training and Technical Assistance is carried out by the Ohio Weatherization Training Center (OWTC) for formal, required courses and by state technical and administrative staff. Triggers for Training and Technical Assistance include results of an onsite monitoring visit or report by ODSA, DOE or another oversight group, request by the provider, or requirement for additional training. The OWTC maintains a database of trained staff and the details of training completed and status (pass, fail, in progress, etc.). Sub-grantees are responsible for tracking the credentials and training needs of their personnel and maintaining appropriate certifications. State monitors have access to the training database to check credentials of the personnel at agencies they monitor and require updated training as a finding in their reports if a provider is out of compliance. Course details are listed below in section B. Client education is required for every eligible household and sub-grantees submit each year with their Grantee/Provider Management Plan a list of trained staff persons who have completed the Client Education course offered by OWTC and date the course was completed. Client education is recorded on the Energy Savers Partnership Plan form, with one copy in the client file and the other staying in the home with the client for future reference.

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**Training and Technical Assistance**

Training and technical assistance is provided by the Ohio Weatherization Training Center (OWTC) to approved Ohio WAP Provider Agencies who serve as sub-grantees. Requirements for training and certification are developed in accordance with U.S. DOE WAP guidelines and regulations; and those of the State WAP Ohio Weatherization Program Standards (OWTP).

Training and certification requirements are reviewed on an annual basis by state technical and administrative staff in collaboration with the training and technical staff at the OWTC. A committee comprised of state technical staff, monitors, OWTC instructors, subject matter experts, and WAP provider agency staff (sub-grantees), provides additional recommendations to the training and certification requirements to allow for program and industry stakeholder input to be integrated into a continuous improvement process thereby ensuring integrity in program technical training and certification requirements. The OWTC works to ensure that the training and technical requirements meet or exceed program standards as well as support quality outcomes including, but not limited to a skilled, knowledgeable and qualified workforce which translate to quality work standards being implemented in the field.

In-field technical assistance is provided to Ohio WAP Provider Agencies (sub-grantees) through a variety of means from both the ODSA and the OWTC. A referral for training and technical assistance can be initiated through a variety of means including, but not limited to:

- (1) Results of an on-site monitoring visit or report by ODSA, DOE or other oversight or evaluation entity;
- (2) Request by the WAP Provider Agency (sub-grantee);
- (3) Supplemental training recommended by OWTC

The OWTC maintains a training database for all workforce employed or previously employed by an Ohio WAP Provider Agency (sub-grantee) or approved private contractor. The database has the capacity to track student progress in detail including student transcript of credentials, course completions, pass/fail on evaluations, and related certifications. While sub-grantees are responsible for maintaining training and certification compliance for their workforce/personnel, the OWTC student database has limited capacity to support notification to WAP Provider Agencies (sub-grantees) of pending re-certification and/or training to avoid non-compliance in training and technical requirements. ODSA monitoring staff has access to the OWTC database to validate credentials of the personnel at WAP Provider Agencies or request a report directly from the OWTC. Through continued collaboration, the OWTC and ODSA ensure that WAP Provider Agencies remain in compliance in training and technical requirements and related certifications.

Client education is required for all eligible households. Client education is recorded on the Energy Savers Partnership Plan form or equivalent, with one copy in the client file and the other staying in the home with the client for future reference.

**A. ASSESSMENT OF TRAINING AND TECHNICAL ASSISTANCE NEEDS**

1. ODSA staff will analyze data on a variety of financial, production, and weatherization retrofit information. Trends indicating extremes in production and/or completed weatherization measures will be noted and tracked for appropriate follow-up. The technical field representative's monitoring reports are shared with the Ohio Weatherization Training Center (OWTC) so that trainings can be modified or customized based on needs. Additionally, the state maintains a bank of reports, including the report of Air Leakage Reduction by sub-grantee that tracks the percentage of homes meeting the minimum reduction. This information is used to compare sub-grantee effectiveness and direct training.

2. Onsite visits provide firsthand, observable evidence for Training and Technical Assistance.

3. State-funded weatherization skills training will be matched closely to techniques and program policies to ensure consistent and effective implementation. A Training and Student Database with a master list of all WAP staff and their associated training records has been developed to highlight the needs of the individuals working within the program and electronic notices can be sent when continuing education training is required.

**B. PROVISION OF TRAINING AND TECHNICAL ASSISTANCE**

1. Onsite Visits - Technical assistance visits will be conducted by Office of Community Assistance field staff, as requested or required, to providers experiencing management, production, operational, or compliance problems. Maximum effort will be directed towards a timely response to identified problem areas to facilitate effective technical assistance and corrective action.

2. Weatherization Skills Training and Certifications - Office of Community Assistance provides funds to the Corporation for Ohio Appalachian Development (COAD) to operate the Ohio Weatherization Training Center (OWTC), which provides a hands-on weatherization skills training to workers employed in the WAP (including Office of Community Assistance staff) and support through technical assistance and development of WAP-related projects..

The OWTC is an Interstate Renewable Energy Council (IREC) accredited training provider. The OWTC provides a multifaceted approach to workforce training and development. Classroom instruction, written and visual materials, hands-on instruction, and field experience provide a wide range of options to accommodate varied learning styles for adult learners.

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Funding for training activities provided through the OWTC is part of the Training and Technical Assistance allocation to the state of Ohio. Funding of the OWTC is at an annual level that will be determined at the time of the DOE allocation. The OWTC has established training facilities at locations regionally in Ohio ensure that travel costs are minimized to WAP Provider agencies and approved private contractors. In addition to the funding from the DOE WAP allocation, the OWTC has diversified its funding revenue through procurement of federal, state, and private foundation grants and private contracts with contractors and utility providers. This diversification of funding streams has allowed the OWTC to leverage those funds in bringing additional training and technical resources to the Ohio WAP Provider Network.

The OWTC is a recognized training provider in the U.S. DOE Weatherization Training Center Network. Through this network, the OWTC is also a training provider in the Connected Classroom (distance learning) network facilitated by AEA in New York. The distance learning classroom allows the OWTC to provide specialized training topics from other subject matter experts in our national network to allow for greater access for students and field staff to training and technical resources. The training schedule is updated on a quarterly basis and made available to the Ohio WAP Provider Network online through the training center's website at [www.coadinc.org/owtc.org](http://www.coadinc.org/owtc.org).

OWTC has more than thirty years of experience in the development and implementation of weatherization training standards at both the state and federal level. OWTC staff participates in ongoing working advisory groups with ODSA to update technical standards and refine curriculum. The OWTC is responsible for creating training materials including technical documents, technical drawings and charts, instructor and student manuals, and digital media presentations. The training professionals also design and build the props and learning tools utilized for specific hands on instruction. An example of this would be the full-size, fully functional "prop house" within our facility allowing simulated diagnostic testing and hands on training to be conducted in a controlled environment.

Courses in building science, retrofit energy efficiency measures, heating unit inspection, heating unit repair, and lead abatement are provided with health and safety training integrated into each module. Many of the training professionals on staff at the OWTC are veterans of the industry and the national weatherization program, bringing vast experience and expertise to the program. Most of the training professionals at the OWTC have significant experience in adult education and technical training, many with at least a decade or more of work history. Each of the training professionals on staff are required to become Building Performance Institute (BPI) certified in Analyst and Envelope Professional and several hold additional certifications including BPI Proctor status.

The feedback from various oversight entities at all levels, including but not limited to inspector general reports, federal and state monitoring, and federal and state audits, are used to develop or modify current policies and to direct program training and technical assistance. An example would be the four policies developed as a result of the Ohio Inspector General report detailed in Sections V.1 and V.1.2 of this State Plan. The policies were drafted and vetted through the Ohio Policy Advisory Council and, pending DOE approval of this State Plan, these policies will be part of the statewide All-Provider Meeting Agenda on May 16, 2014 where local staff will be trained to implement the new policies and introduced to the appropriate reporting mechanisms associated with each.

#### **OWTC/OCLA Affiliations & Industry Credentials**

##### **Accreditation**

Interstate Renewable Energy Council (IREC) 2013

- (1) ISPQ Standard 01022:2011 - accredits the training center itself for meeting quality energy efficiency & weatherization training program standards – 2013
- (2) ISPQ Standard 01022 - credentials the training professionals meeting quality energy efficiency & weatherization technical competency – *planned 2015*
- (3) IREC Standard 14732:2012 - certificate issuing training programs in energy efficiency and weatherization – *planned 2014*

##### **Affiliate Training Provider Status**

National Healthy Homes Training Center Network  
Great Lakes Regional OSHA Training Institute  
Midwest Solar Training Network

##### **Testing Center Affiliation Status**

Building Performance Institute (BPI)  
North American Technician Excellence (NATE)

##### **Recognized Training Provider Status**

North American Technician Excellence (NATE)  
Enterprise Green Communities  
U.S. Department of Energy (DOE) Weatherization Training Provider  
Ohio Department of Health (ODH)  
U.S. Department of Housing and Urban Development (HUD)

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U.S. Environmental Protection Agency (EPA)  
Ohio Department of Jobs and Family Services WIA Approved Training Provider  
Ohio Development Services Agency (ODSA)  
Roots of Success University of California Berkeley

**Continuing Education Provider**

Building Performance Institute (BPI)  
Ohio Construction Industry Licensing Board (OCILB)

3. The feedback from various oversight entities at all levels, including but not limited to inspector general reports, federal and state monitoring, and federal and state audits, are used to develop or modify current policies and to direct program training and technical assistance. An example would be the four policies developed as a result of the Ohio Inspector General report detailed in Sections V.1 and V.1.2 of this State Plan. The policies were drafted and vetted through the Ohio Policy Advisory Council and, pending DOE approval of this State Plan, these policies will be part of the statewide All-Provider Meeting Agenda held prior to the start of the program year where local staff will be trained to implement the new policies and introduced to the appropriate reporting mechanisms associated with each.

a) The following training and certification requirements are provided by the OWTC and includes the competencies, knowledge, skills, and abilities for a skilled workforce which is necessary to perform quality work in the field as described in the Job Task Analyses identified by NREL:

**Crew Leader Certification & Training Series**

<b>Course</b>	<b>Contact Hours</b>	<b>Days Presented</b>	<b>Pre-requisites</b>	
Basic Weatherization Tactics	28	3 ½	None	Mobile Home
Weatherization	32	4	None	
Lead Safety RRP Initial	8	1	None	
Lead Safety RRP Refresher	4	½	None	
Lead RRP Initial	8	1	None	
OSHA 30	10	2	None	Duct Testing/Indoor Air Quality
OSHA 30	4	½	None	
ASHRAE 62.2			ASHRAE 62.2	8
Blower Door Use	16	2	None	
Crew Leader Prep Course*	24	3	None	

**\*To be developed, will be recommended prior to challenging the HEP Crew Leader certification exams.**

**Retrofit Installer Certification & Training Series**

<b>Course</b>	<b>Contact Hours</b>	<b>Days Presented</b>	<b>Pre-requisites</b>
Basic Weatherization Tactics	28	3 ½	None
Mobile Home Weatherization	32	4	None
Basic Weatherization Tactics	28	3 1/2	None
Lead Safety RRP Initial	8	1	None
Lead Safety RRP Refresher	4	1/2	Lead RRP Initial
OSHA 10	10	2	None
Duct Testing/Indoor Air Quality	4	½	None
ASHRAE 62.2	8	1	None
Retrofit Installer Prep Course*	24	3	None

**\*To be developed, will be recommended prior to challenging the HEP Retrofit Installer certification exams.**

**Quality Control Inspector Certification & Training Series**

<b>Course</b>	<b>Contact Hours</b>	<b>Days Presented</b>	<b>Pre-requisites</b>
Introduction to Inspection	16	2	None
Lead Safety RRP Initial	8	1	None

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Lead Safety RRP Refresher	4	1/2	Lead RRP Initial
ASHRAE 62.2	8	1	None
Basic Weatherization Tactics	28	3 1/2	None
Consumer Energy Education	8	1	None
Codes and Standards	8	1	None
Electric Baseload Measurement	4	1/2	None
Duct Testing	4	1/2	None
Inspection	48	6	Introduction To Inspection, Basic Weatherization Tactics, Codes and Standards
Initial Inspection	32	4	Introduction to Inspection, In-field follow up 30 days, ASHRAE 62.2, Basic Weatherization Tactics, Codes and Standards, Heating Unit Inspection
Infrared Camera	32	8	1
National Energy Audit Tool/	4	Basic Weatherization Tactics	Mobile Home Weatherization
QCI Prep Course* <b>RECOMMENDED</b>	8	1	None
Inspector Refresher	24	3	Inspector Series
OSHA 30 <b>RECOMMENDED</b>	30	4	None
Building Performance Institute Home Energy Professional Quality Control Inspector Certification			

**\*Recommended prior to challenging the HEP Quality Control Inspector certification exams.**

**Energy Auditor Certification & Training Series**

<u>Course</u>	<u>Contact Hours</u>	<u>Days Presented</u>	<u>Pre-requisites</u>
Lead Safety RRP Initial	16	2	None
Lead Safety RRP Refresher	4	1/2	Lead RRP Initial
ASHRAE 62.2	28	3 1/2	None
Consumer Energy Education	8	1	None
Codes and Standards	8	1	None
Electric Baseload Measurement	4	1/2	None
Quality	4	1/2	None
Heating Unit Inspection	48	6	Introduction to Inspection, Basic Weatherization Tactics
Initial Inspection	32	4	Introduction to Inspection, In-field follow up 30 days
Infrared Camera	32	8	1
National Energy Audit Tool/	4	Basic Weatherization Tactics	Mobile Home Weatherization
Energy Audit		8	1
Energy Auditor Prep Course*	24	3	None

**\*To be developed, will be recommended prior to challenging the BPI HEP Energy Auditor certification exams.**

**Heat Technician Certification & Training Series: HVAC Technician Ohio State Licensed agency or contractor personnel repairing or replacing heating systems**

<u>Course</u>	<u>Contact Hours</u>	<u>Days Presented</u>	<u>Pre-requisites</u>
Cost and Standards	8	1	None
Lead Safety RRP Initial	8	1	None
Lead Safety RRP Refresher	8	1	Lead RRP Initial
Heating Unit Inspection	48	6	None
Standards			Codes and
Heat Technician	48	6	Heating Unit
Inspection			
In-field Follow-Up 30 days			
Heat Technician Refresher	24	3	
Heat Technician Series			



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- b) Promotion of regional meetings initiated by Regional Representatives of the PAC at which management, technical and general informational topics will be discussed according to current need.
- c) Scheduling statewide weatherization meetings.
- d) Updates to program management guidance, including Operations Memos, Information Updates and revisions in the Policy and Procedures Manual, when necessary.
- e) Development of a working group consisting of ODSA and OWTC staff to develop new training approaches and refine the existing courses to best meets the needs of the network.
- f) Updates to the delivery of program service guidance, including revisions to Ohio's Weatherization Program Standards and Policy and Procedures Manuals, when necessary.
- g) Encouragement of information exchange and skills transfer among sub-grantees on an informal basis.

Additionally, appropriate representation is recommended at national conferences and DOE-sponsored events such as Affordable Comfort Inc., the National Weatherization Conference, National Association for Community Service Programs conferences, and other regional meetings.

#### C. ATTENDANCE/TRAINING REQUIREMENTS

Attendance at state-sponsored trainings may be required based on identified need to support remediation of program deficiencies and/or to ensure competence in specific areas. In such cases, sub-grantee attendance will be required as a matter of program compliance. Failure to attend any scheduled training without due notice may result in a service charge to the sub-grantee, per the cancellation policy of the OWTC. This service charge is not an allowable Training and Technical Assistance expense and must be paid by unrestricted/non-federal funds.

Additionally, OCA will implement a new policy in PY 2014 stating that Training and Technical Assistance funds may be used a maximum of three (3) times for HEP Quality Control Inspector certification exam process (written and/or field).

The following schedule of events in order to comply with Weatherization Program Notice 14-4 has been drafted in Ohio:

**June 1, 2014 – Ohio completes Ohio-Modified SWS for single-family and manufactured housing**

**June 30, 2014 –State staff/OWTC review progress on curriculum updates and Standard Work Specifications (SWS)**

**September 1, 2014 – Ohio completes Ohio-Modified SWS for multi-family housing**

**September 1, 2014 – Ohio develops an SWS compliant field guide**

**September 1-31, 2014 –State staff/OWTC review field guide**

**November 1, 2014 – Ohio Weatherization Training Center (OWTC) merges standard curriculum/Job Task Analyses with current training curriculum**

**April 1- June 30, 2015– Training(s) for SWS and field guide**

#### D. ASSESSMENT OF STATE TRAINING AND TECHNICAL ASSISTANCE ACTIVITIES

Assessment of activities will be accomplished by review of the following:

- 1) Local training activities and local Training and Technical Assistance expenditure reports;
- 2) OWTC monthly attendance and quarterly activity reports;
- 3) Quarterly review of the OWTC to measure and track training effectiveness;
- 4) Onsite monitoring of local programs;
- 5) Review of local Training and Technical Assistance curriculum and activities.

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All attendees receive a certificate for successfully completing each course showing milestones met in their professional development plan, which are maintained by agencies and reviewed by state monitors upon request. Feedback from agencies is used to direct training and policy, and all monitoring reports are shared with OWTC staff. Additionally, a work group has been formed that meets quarterly to discuss training issues and requirements and to direct and improve the process of training our weatherization network. Ohio maintains a list of agencies who meet targets for air leakage, and offer training and technical assistance to agencies that fail to meet expectations for reducing air leakage. In this way, agencies are compared for effectiveness in energy efficiency. Ohio also captures state monitoring activities for training and technical assistance. Both a pre-visit form and post-visit form are required, which include pertinent information regarding the visit (attached). Post-visit, agencies are sent an online survey asking them to rate the effectiveness of the training. Ohio will continue to improve operations, provide effective services and develop new ways to excel at training the network of providers and weatherizing homes.

The OWTC will track and report to the Section Supervisor, Weatherization, on a quarterly basis the following performance metrics:

1. Delivery of occupational skills training leading to industry-recognized certifications
2. Delivery of in-field and/or on-the-job training
3. Student to instructor ratio in classroom, lab, and field
4. Student evaluative outcomes
5. Delivery of academic services
6. Delivery of work-readiness / supportive services / employment retention efforts
7. Employer input for occupational skills training
8. Student input for occupational skills training
9. Mentoring / customized student support
10. In-field technical assistance
11. Complimentary / additional related skills training
12. Expansion of training portfolio/CEUs
13. Average cost per student (materials+support/number of trainees)

#### **V.9 Energy Crisis and Disaster Plan**

Ohio's ability to leverage additional funds has allowed most providers to meet the emergency demands of their clients without significant changes to the yearly plans. In the event of a declared natural or manmade disaster, Ohio will allow sub-grantees to assist their eligible customers with weatherization funds to the extent that the services are in support of eligible weatherization work. The allowable expenditures under the Weatherization Assistance Program (WAP) are limited to include the following:

- The cost of incidental/additional repairs to an eligible dwelling unit, if such repairs are necessary to make the installation of weatherization materials effective, per 10 CFR 440.18(d)(9);
- The cost of eliminating health and safety hazards, which is necessary before the installation of weatherization materials, per 10 CFR 440.18(d)(15).

In the event of a declared federal or state disaster (those in which the President or the Governor of the state of Ohio has declared the event an Emergency), sub-grantees may return to a unit previously reported as a completion to the Department of Energy that has been "damaged by fire, flood or act of God to be reweatherized, without regard to date of previous weatherization", per 10 CFR 440.18(f)(2)(ii). Local authorities must deem the dwelling unit salvageable as well as habitable and the damage to the materials must not be covered by insurance or other form of compensation. In these cases, the work can be addressed without prior approval or any special reporting. The sub-grantee may use WAP funds to perform functions to protect the federal funding investment. Such activities may include: securing weatherization materials, tools, equipment, weatherization vehicles, or protection of local sub-grantee weatherization files and records during the initial phase of the disaster response. The use of WAP funds to pay weatherization personnel to perform relief work in the community as a result of a disaster is not allowable. The use of weatherization vehicles and/or equipment may be used to assist disaster relief activities; however, the WAP must be reimbursed according to 10 CFR 600 (Financial Assistance Regulations). Reprioritization of households located in a disaster area is permissible as long as the households are determined eligible for the weatherization; meet one of the priorities described in 10 CFR 440.16(b); and are free and clear of any insurance claim or other form of compensation resulting from the damage incurred from the disaster. Documentation should be placed in the client file.



**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

**9. Type of Applicant:**

A State Government

**10. Name of Federal Agency:**

U. S. Department of Energy

**11. Catalog of Federal Domestic Assistance Number:**

81.042

CFDA Title:

Weatherization Assistance Program

**12. Funding Opportunity Number:**

DE-WAP-0002014

Title:

2014 Weatherization Assistance Funding Opportunity

**13. Competition Identification Number:**

Title:

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

All 88 Ohio counties

**15. Descriptive Title of Applicant's Project:**

Weatherization Assistance Plan

