

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-FOA-0000835

Title:

Weatherization Assistance for Low-Income Persons

13. Competition Identification Number:

Title:

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

Statewide

15. Descriptive Title of Applicant's Project:

Weatherization Assistance Program for Low-Income Persons

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0006182		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Rhode Island 57 Howard Avenue Cranston, RI 02920	4. Program/Project Start Date 04/01/2013		
	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 2013 and 2014 WAP Formula Funds	81.042	\$ 0.00		\$ 1,140,298.00		\$ 1,140,298.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 1,140,298.00	\$ 0.00	\$ 1,140,298.00

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	\$ 78,524.00	\$ 0.00	\$ 37,831.00	\$ 0.00	\$ 116,355.00
b. Benefits	\$ 29,998.68	\$ 0.00	\$ 14,737.14	\$ 0.00	\$ 44,735.82
c. Travel	\$ 3,600.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 3,600.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 1,835.88	\$ 0.00	\$ 1,835.88
e. Supplies	\$ 507.30	\$ 0.00	\$ 500.00	\$ 0.00	\$ 1,007.30
f. Contract	\$ 200.00	\$ 114,030.00	\$ 33,285.00	\$ 74,610.00	\$ 970,964.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 1,200.00	\$ 0.00	\$ 600.00	\$ 0.00	\$ 1,800.00
i. Total Direct Charges	\$ 114,029.98	\$ 114,030.00	\$ 88,789.02	\$ 74,610.00	\$ 1,140,298.00
j. Indirect	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 114,029.98	\$ 114,030.00	\$ 88,789.02	\$ 74,610.00	\$ 1,140,298.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0006182		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Rhode Island 57 Howard Avenue Cranston, RI 02920	4. Program/Project Start Date 04/01/2013		
	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	\$ 1,140,298.00	\$ 0.00	\$ 1,140,298.00

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	\$ 116,355.00	
b. Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 44,735.82	
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 3,600.00	
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,835.88	
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,007.30	
f. Contract	\$ 641,036.00	\$ 95,000.00	\$ 11,403.00	\$ 1,400.00	\$ 970,964.00	
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,800.00	
i. Total Direct Charges	\$ 641,036.00	\$ 95,000.00	\$ 11,403.00	\$ 1,400.00	\$ 1,140,298.00	
j. Indirect	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
k. Totals	\$ 641,036.00	\$ 95,000.00	\$ 11,403.00	\$ 1,400.00	\$ 1,140,298.00	
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	

DOE F 540.5
(08/05)

U.S. Department of Energy

OMB Control No: 1910-5127

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

Expiration Date: 11/30/2016

State: RI Grant Number: EE0006182 Program Year: 2013

Name:	Community Action Partnership of Providence	Contact:	Melissa Husband, Executive Director
		DUNS:	078796458
Address:	518 Hartford Avenue Providence, RI 02909-0000	Phone:	(401) 273-2000
		Fax:	() -
		Email:	mhusband@cappri.org
Counties served:	PROVIDENCE County	Tentative allocation:	\$ 196,870.00
		Planned units:	32
		Type of organization:	Local agency
		Source of labor:	Contractors
		Congressional districts served:	<u>CD</u> RI-02 RI-01
Name:	Blackstone Valley Community Action Program	Contact:	Vincent S. Ceglie, Dir./Ron Fortier, Wx. Coord
		DUNS:	075692079
Address:	32 Goff Avenue Pawtucket, RI 02860-0000	Phone:	(401) 723-4520
		Fax:	(401) -
		Email:	rfortier@bvcap.org
Counties served:	PROVIDENCE County	Tentative allocation:	\$ 183,746.00
		Planned units:	30
		Type of organization:	Local agency
		Source of labor:	Contractors
		Congressional districts served:	<u>CD</u> RI-01
Name:	Comprehensive Community Action Programs	Contact:	Joanne McGunagle, Dir./Joanne Gregory, Wx Coord.
		DUNS:	040106098
Address:	311 Doric Avenue Cranston, RI 02910-0000	Phone:	(401) 467-9610
		Fax:	(401) -
		Email:	jgregory@comcap.org
Counties served:	PROVIDENCE County	Tentative allocation:	\$ 108,935.00
		Planned units:	18
		Type of organization:	Local agency
		Source of labor:	Contractors
		Congressional districts served:	<u>CD</u> RI-02
Name:	East Bay Community Action	Contact:	Dennis Roy, Dir./Ed Turgeon, Wx Coord.
		DUNS:	0848115040000
Address:	100 Bullocks Point Avenue Riverside, RI 02915-0000	Phone:	(401) 437-0006
		Fax:	(401) -
		Email:	eturgeon@ebcap.org
Counties served:	NEWPORT County BRISTOL County	Tentative allocation:	\$ 118,029.00
		Planned units:	19
		Type of organization:	Local agency
		Source of labor:	Contractors
		Congressional districts served:	<u>CD</u> RI-01

DOE F 540.5
(08/05)

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**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

Expiration Date: 11/30/2016

State: RI Grant Number: EE0006182 Program Year: 2013

Name:	South County Community Action Program	Contact:	Joseph DeSantis, Dir/Carl Mattson, Wx Coord
		DUNS:	136305310
Address:	1935 Kingstown Road Wakefield, RI 02879-0000	Phone:	(401) 789-3016
		Fax:	(401) -
		Email:	cmattson@sccainc.org
Counties served:	KENT County WASHINGTON County	Tentative allocation:	\$ 105,935.00
		Planned units:	17
		Type of organization:	Local agency
		Source of labor:	Contractors
		Congressional districts served:	CD RI-02
Name:	Tri-Town Community Action Program	Contact:	Joseph DeSantis, Dir. / Stephanie DiTusa, Wx Coord
		DUNS:	037092988
Address:	1126 Hartford Avenue Johnston, RI 02919-0000	Phone:	(401) 351-2750
		Fax:	(401) -
		Email:	sditusa@tri-town.org
Counties served:	PROVIDENCE County	Tentative allocation:	\$ 107,810.00
		Planned units:	17
		Type of organization:	Local agency
		Source of labor:	Contractors
		Congressional districts served:	CD RI-02 RI-01
Name:	Westbay Community Action Program	Contact:	Jeanne Gattegno, Dir/Bill Larocque, Wx Coord.
		DUNS:	075724252
Address:	205 Buttonwoods Avenue Warwick, RI 02886-0000	Phone:	(401) 732-4660
		Fax:	(401) -
		Email:	blarocque@westbaycap.org
Counties served:	KENT County	Tentative allocation:	\$ 116,154.00
		Planned units:	19
		Type of organization:	Local agency
		Source of labor:	Contractors
		Congressional districts served:	CD RI-02

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WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET**

(Grant Number: EE0006182, State: RI, Program Year: 2013)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Community Action Partnership of Providence (Providence)	\$196,870.00 32
Blackstone Valley Community Action Program (Pawtucket)	\$183,746.00 30
Comprehensive Community Action Programs (Cranston)	\$108,935.00 18
East Bay Community Action (Riverside)	\$118,029.00 19
South County Community Action Program (Wakefield)	\$105,935.00 17
Tri-Town Community Action Program (Johnston)	\$107,810.00 17
Westbay Community Action Program (Warwick)	\$116,154.00 19
Total:	\$937,479.00 152

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	152
Reweatherized Units	0

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

Average Unit Costs, Units subject to DOE Project Rules		
VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	152
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	152
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)		
F	Total Funds for Program Operations	\$641,036.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	152
H	Average Program Operations Costs per Unit (F divided by G)	\$4,217.34
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$4,217.34

IV.3 Energy Savings

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

Method used to calculate savings description:

Rhode Island will use the calculation based on the energy savings study conducted by the Oak Ridge National Laboratory to support this figure for projected energy savings (multiplier of 30.5 MBTU).

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This year estimated energy savings (MBtus):	4,636	
Prior year estimated energy savings (MBtus):	2,684	Actual: <input type="text"/>

IV.4 DOE-Funded Leveraging Activities

Rhode Island is not planning to use any DOE funds for our continuing leveraging efforts. This does not mean that we will not continue our efforts and seek additional non-federal funds, only that we will not require DOE funds for this effort. The personnel that will be involved in these leveraging efforts are:

Chief of Program Development: This person serves as Weatherization Assistance Program Manager and is responsible for the preparation of the State Plan/Application and its administration and implementation. The CPD will direct the leveraging portion of the grant, attend all leveraging related meetings and search for new leveraging opportunities. DHS will continue to actively pursue sources of leveraged funds to enhance and support RI WAP.

Another CPD in DHS (LIHEAP program manager) also provides fiscal support to WAP through fiscal monitoring and processing of monthly FSR's, and assistance with updating of subgrantee and grantee inventory.

To the maximum extent practical, DHS will work to coordinate WAP with other federal, state, local, and privately-funded programs in order to improve thermal efficiency, conserve energy and foster healthy housing. Coordination efforts have taken place with LIHEAP, Community Development Block Grant (CDBG), USDA, GHHI and other federally funded programs.

Beginning in 2013, the lead vendor for National Grid's Eligible Services (IES) program for National Grid is CLEARresult. In order to provide the best possible service to our clients, DHS and CLEARresult are working in collaboratively to deliver weatherization services. Although the DOE WAP program in RI is not directly affected (DOE funds and utility funds are not blended on DOE jobs), the WAP program overall will benefit from this working partnership. The CLEARresult team brings another element of energy efficiency knowledge and expertise to the program, and both DHS and CLEARresult share many of the same goals for process improvement and enhanced quality assurance. As an example, CLEARresult and DHS have formed a "Weatherization Technical Committee" (WTC). The WTC meets on alternating months and is comprised of a technical representative from each CAP agency (i.e. an experienced energy auditor); the CLEARresult QA Manager; and the three state monitors to discuss and as needed develop policy on weatherization matters of a technical nature. Topics covered to date include include knob and tube wiring, ASHRAE 62.2, QWP/QCI, Hancock (i.e. HEAT), attic ventilation and more. Best Practices found as a result of field monitoring are also presented and discussed. DHS and CLEARresult are also working collaboratively on the development of a Policy and Procedures Manual.

DHS is also a member of the RI Alliance for Healthy Housing (RIAHH), an organization that was formed as a merger between the RI Department of Health's Healthy Housing Collaborative, the RI Housing Resource Commission's Healthy Housing Working Group, and the Green and Healthy Homes Initiative (GHHI) Providence Steering Committee. RIAHH is comprised of groups and organizations in the state that are directly or indirectly involved in healthy housing initiatives. The purpose of RIAHH is to coordinate the professional healthy housing community to align, braid and coordinate information, resource and services to improve the health, safety and energy efficiency of all Rhode Island homes. This effort is being spearheaded by the Providence Green and Healthy Homes Initiative (GHHI) and includes representatives from GHHI, Office of Energy Resources, Housing Resource Commission, Municipalities, CAP Agencies, RI Housing and Mortgage Finance Corporation, Department of Human Services, Department of Health, State Building Code Commission, Workforce Development, Energy Efficiency and Resource Management Council, and the Attorney General's Office. RIAHH also includes four Action Teams: Data/Evaluation, Policy, Workforce/Standards, and Resource Coordination. DHS is represented on the Executive Steering Committee and the Workforce Action Team. The mission of the Workforce Action Team is to define, develop and maintain a vibrant healthy housing workforce, help maintain quality workforce training coordination, and ensure the highest quality training standards for all healthy housing professional workers.

RI WAP also plans to participate in the NASCSP Carbon Trading Project and has submitted state specific data for Additionality data collection phase.

No state funds are used to support RI WAP.

IV.5 Policy Advisory Council Members

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

Blackstone Valley Community Action Program (BVCAP)	Type of organization: Local agency Contact Name: Vin Ceglie Phone: (401)723-4520 Email: vinbvcap@hotmail.com
Housing Resources Commission	Type of organization: Unit of State Government Contact Name: Mr. Raymond Neirinckx Phone: (401)450-1356 Email: raymond.neirinckx@doa.ri.gov
National Grid	Type of organization: Utility Contact Name: Mr. Michael Rossacci Phone: (781)907-1621 Email: michael.rossacci@us.ngrid.com
	Type of organization: Other

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Providence Green and Healthy Homes Initiative	Contact Name: Mark Kravatz Phone: 4014008425 Email: mkravatz@ghhi.org
Rhode Island Housing	Type of organization: Unit of State Government Contact Name: Ms. Carol Ventura Phone: (401)457-1129 Email: cventura@rhodeislandhousing.org
RI Department of Health	Type of organization: Unit of State Government Contact Name: Mr. Robert R. Vanderslice, PhD. Phone: (401)222-7766 Email: Robert.Vanderslice@health.ri.gov
RI Department of Health and Human Services	Type of organization: Unit of State Government Contact Name: Mr. Fred Sneesby Phone: 4014621669 Email: Frederick.Sneesby@dhs.ri.gov

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
05/06/2014	Per state law, the public hearing on the 2013-2014 combined WAP grant application was posted on the RI Secretary of State website on xx/xx/14. On May 6, 2014 a public hearing was held on the 2013-2014 combined RIWAP State Plan. A copy of the official transcript will be sent under separate cover to the DOE Project Officer. A copy of the posting is attached to the SF-424.
08/29/2013	Per state law, the public hearing on the 2013 WAP grant application was posted on the RI Secretary of State website on August 19, 2013. On August 29, 2013 a public hearing was held on the 2013 RIWAP State Plan. A copy of the official transcript will be sent under separate cover to the DOE Project Officer. A copy of the posting is attached to the SF-424.

IV.7 Miscellaneous

<p>1. Recipient Business Officer and Recipient Principal Investigators</p> <p><u>Recipient Business Officer</u></p> <p>Mr. Frederick Sneesby Administrator, Children and Family Services Department of Human Services 57 Howard Avenue, Louis Pasteur Building Cranston, RI 02920 (401) 462-1669 Frederick.Sneesby@dhs.ri.gov</p> <p><u>Recipient Principal Investigator</u></p> <p>Ms. Julie Capobianco Chief Program Development Weatherization Assistance Program Department of Human Services 57 Howard Avenue, Louis Pasteur Building Cranston, RI 02920 (401) 462-6420 Julie.Capobianco@dhs.ri.gov</p> <p>2. The allocation requirements and priorities set forth in Section 440.15 (A) have been implemented. DHS ensures that all Weatherization assistance funds are allocated to non-profit corporations operating under Title II of the Economic Opportunity Act of 1964, 42 USC - 2809. The allocation process is based upon negotiation of individual contracts with non-profit corporations. The determining factors are: past performance by service area, incidence of poverty in the area covered; number of LIHEAP households assisted in the service area; and the ability of the agency to weatherize homes effectively.</p> <p>3. Per WPN 10-12, RI WAP will comply with Section 106 of 16 USC 470 of the National Historic Preservation Act (NHPA). DHS has entered into a Memorandum of Understanding with the Rhode Island Historical Preservation and Heritage Commission (February 2010) relating to the reporting of historic properties and weatherization. A copy of this MOU is available upon request, and was used in lieu of the Programmatic Agreement (PA). All CAP agencies submit addresses for historic review and clearance per the guidelines established by the RI Historical Preservation and Heritage Commission (RIHPHC). Historic Preservation reports are submitted to DOE as required.</p>
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WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0006182, State: RI, Program Year: 2013)

4. National Grid and LIHEAP funding continue to be the largest funding sources for WAP. As in the past, RI WAP will receive its 15% allocation from LIHEAP in 2013, and 10% for 2014. LIHEAP funds provide leveraged dollars for National Grid's Income Eligible Services (IES) program and for DOE funded weatherization jobs. IES does not cover the majority of health and safety measures necessary for whole house weatherization and our LIHEAP allocation effectively supplements the IES program to ensure that clients receive comprehensive weatherization services. In addition, LIHEAP funds will be used to address health and safety issues, especially costs associated with implementation of the ASHRAE 62.2 ventilation standard.
5. The Rhode Island PAC met on __/__/14 to collectively review and discuss the 2013-2014 combined state plan application. Members were provided a copy of the plan in advance of the meeting, and were also e-mailed the notice of public hearing.
6. Based on the limited DOE funding in 2013 and using past averages, an average cost per unit was estimated at \$4,200 including \$500 for Health and Safety measures. HHS/LIHEAP funds will be used for leveraging measures not covered with DOE funds.

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STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0006182, State: RI, Program Year: 2013)

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

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.

Rhode Island elects to use LIHEAP income guidelines - 60% of state median income- to determine eligibility for WAP.

According to the 2014 LIHEAP manual, all Primary Applicants and Household Members shall report income. Income documentation shall represent gross income earned in the most recent three months, except when the document clearly states that the income amount is constant, and also clearly lists the period of the benefit. Income types include: wages, unemployment benefits, fixed income, self-employment, odd jobs, worker's compensation, alimony and child support, interest income, dividends, rental income, support from family and friends, cash prizes and lottery winnings, estate or trust income, or No-Income - Dependent.

Describe what household Eligibility basis will be used in the Program

RI WAP elects to use a single application process in conjunction with LIHEAP which is also administered by DHS. The single application process simplifies the application process for clients and enables subgrantees to share staff and resources in the certification process. The process also provides consistency for eligibility for all income-eligible weatherization programs including National Grid's Income Eligible Services (IES) program.

No dwelling unit may be weatherized without documentation that the unit is an eligible dwelling unit. Applications for assistance under this Program will be made through the Weatherization Service Agency (the Subgrantee) who has the responsibility of ensuring that the applicant represents a family unit whose income is at or below minimum income guidelines. Only families with income no higher than the figures listed below may be assisted. Rhode Island elects to use LIHEAP income guidelines - 60% state median income - for the RI Weatherization Assistance Program.

PY 2014 Low-Income Guidelines

FAMILY SIZE (12 Month Income may not exceed):

- 1 - \$27,392
- 2 - \$35,820
- 3 - \$44,248
- 4 - \$52,676
- 5 - \$61,104
- 6 - \$69,532
- 7- \$71,113
- 8 - \$72,693
- 9- \$74,273
- 10- \$75,853

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11- \$77,434

12- \$79,014

The contract between the Department of Human Services (DHS) and the Weatherization Community Action Agency (Subgrantee) mandates that each agency certify the income eligibility of those recipients of weatherization assistance. DHS will ensure compliance through examination of records and reports for each non-profit corporation. DHS has developed a statewide application that ensures that all information requested from the client allows to the maximum extent possible, the most accurate and complete data to determine income eligibility. LIHEAP clients are now certified in the Hancock Energy Systems (HES) database. As of February, 2014 all CAP Agencies are using HES, and are able to access the Hancock database for referrals and to maintain waiting lists.

The term "child" shall mean person under eighteen (18) years of age.

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

DHS uses the LIHEAP application certification process to determine eligibility for LIHEAP and WAP. Non-U.S. citizens with "Qualified Alien" status are entitled to LIHEAP/WAP benefits as long as they meet identity, income, and residency requirements. Documentation is required to verify the identity and immigration status of all non-citizens seeking LIHEAP benefits. These requirements apply to the Primary Applicant and/or any non-citizen household members.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

No dwelling unit may be weatherized without documentation that unit is eligible under DOE guidelines. Applications for assistance under this program will be made through the Weatherization Service Agency (Subgrantee). The Subgrantee is responsible for ensuring that the applicant represents a family unit whose income is at or below minimum income guidelines. The contract between DHS and the Weatherization Service Area Agency (Subgrantee) mandates that each agency certify the income eligibility of prospective recipients of weatherization assistance. DHS will ensure compliance through examination of records and reports for each CAP Agency. DHS has also developed a statewide application that ensures, to the maximum extent possible, that all information requested from the client is accurate and contains complete data necessary to determine income eligibility. LIHEAP and WAP have been fully integrated into the Hancock database. All LIHEAP eligible clients are routinely updated to HES WAP.

Clients who are home owners are required to show proof of homeownership, and clients who are renters must have signed permission from the building owner/landlord before work can begin.

Describe Reweathering compliance

RIWAP allows re-weatherization of homes previously weatherized prior to September 30, 1994. Since there have been many advances in weatherization technologies since 1994, some homes may have not received all weatherization services suitable for that home, including health and safety issues/concerns. DHS will remind agencies that re-weatherized homes may not receive the same services provided under the previous agreement, only additional measures that were not provided at that time. Subgrantees are required to maintain historical records (eg. Access Database) of previously weatherized units. The Access database is checked for any previous WAP activity before an audit is scheduled. DHS will also review the CAA's approach to determining building eligibility during the Annual WAP Assessments.

Describe what structures are eligible for weatherization

Structures eligible for weatherization include single family, manufactured housing, and multi-family dwellings. All structures must be stationary and have a specific mailing/street address. Campers and non-stationary trailers are not eligible for weatherization services. Shelters and group homes may also be weatherized. Eligibility is specified in the "Definitions" section of 10 CFR440.

There are approximately 460,000 housing units in Rhode Island. Of these, approximately 413,000 units are occupied and 47,000 are vacant. 173,460 (42%) of the occupied housing units are at or below "low income" levels (80% Average Median Income). Of the 173,460 occupied low income housing units, 104,076 (60% (25.2% of overall occupied housing units)) are renters and 69,384 (40% (16.8% of overall occupied housing units)) are homeowners.

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Describe how Rental Units/Multifamily Buildings will be addressed

Because of limited DOE WAP funding, DHS does not anticipate completing any large multi-family weatherization buildings with DOE funds. In RI, National Grid provides a significant amount of DSM funding to support low-income multi-family energy efficiency projects. This program is administered by RISE Engineering, Lead Vendor for National Grid. Where appropriate, DHS refers inquiries for multi-family weatherization services to RISE.

https://www1.nationalgridus.com/files%5CAddedPDF%5CPOA%5CRL_MF_Flyer.pdf

In RI, multi-family is defined by:

Buildings with 5+ units and/or properties consisting of four or more 1-4 unit buildings that meet both of the following requirements:

- Are connected or adjacent to each other, or to a 5+ unit building, and
- Are owned by the same individual or firm.

Stand-alone 1-4 unit buildings that do not meet the above requirements are considered "single-family"

and will be served traditionally through WAP or National Grid's Income Eligible Services Program as appropriate.

DHS has recently updated it's Landlord/Tenant Agreement which is required before weatherization of all rental units. The agreement protects against rent increases and evictions for a minimum of two years (with exceptions) after weatherization work has been completed.

Describe the deferral Process

Deferral of weatherization services may be necessary when Health and Safety issues cannot be adequately addressed. Deferral does not mean that the home cannot or will not be weatherized, but that the work must be postponed until the problems leading to the deferral are corrected. Auditors must use professional judgment when determining if there are conditions present which may endanger the health/safety of the workers or occupants. Subgrantee staff are expected to refer or connect clients to alternate sources of assistance (such as CDBG or home repair programs) where appropriate. Deferral may also be necessary where occupants are uncooperative, abusive or threatening.

Deferral conditions may include the following: The client has known health conditions that prohibit the installation of insulation and other weatherization materials; The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that the conditions cannot be resolved within the guidelines and at reasonable costs (repairs are beyond incidental); The house has sewerage or other sanitary problems including pet/animal excrement that can't be corrected through weatherization and would further endanger the client and weatherization installers if weatherization work were performed; The house has been condemned or electrical, plumbing or other equipment has been red tagged by local or state building officials or utility companies and weatherization funds are not sufficient or corrective measures are not allowable costs; Moisture or potential moisture problems are present and cannot be resolved under existing health and safety guidelines and with minor repairs; Dangerous conditions in the home due to high carbon monoxide levels in combustion appliances or their venting which cannot be resolved under existing health and safety guidance. Subgrantees should take immediate action to ensure the combustion appliance is not used, including instructing the client to contact a combustion appliance repair/replacement specialist; The client is uncooperative, abusive, or threatening to the auditor, subcontractors, inspectors, or others who must work on or visit the home; The extent and condition of lead based paint or any other identified hazardous condition in the house which could potentially create further health and safety hazards; Pest infestation that cannot be reasonably removed or poses health concerns for workers; In the judgment of the energy auditor, any condition exists which may endanger the health and/or safety of the subcontractors; Homes with conditions that have the potential to create a health concern requiring more than incidental repair.

The following Deferral of Services form is used by all Agencies:

CAP AGENCY LETTERHEAD

Dear: _____

Date: _____

Address: _____

Recently a member of our agency weatherization staff inspected your home. At that time conditions were noted that would make it difficult to weatherize your home. These conditions are checked below:

1. Structurally unsound dwelling.

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2. Evidence of substantial, persistent infestation of rodents, insects, or other harmful/objectionable animals that are difficult to control.
3. Electrical or plumbing hazards that cannot be resolved prior to or as part of weatherization services.
4. The presence of raw sewage around or in any part of the dwelling.
5. Environmental hazards such as excessive mold and moisture problems, excessive CO levels exceeding the scope of Weatherization, friable asbestos, or other hazardous materials, which cannot be resolved prior to or as part of weatherization services.
6. The presence of a dead animal, or animal feces, in any area of the dwelling where program staff must install weatherization measures.
7. Excessive debris build up in and around the dwelling unit which limits the program staff access to the dwelling.
8. Maintenance and housekeeping practices that are negligent to the point of limiting access of program staff to the dwelling.
9. Client is either threatening, abusive, or uncooperative to crew, contractors, auditors or program management who must work on or visit the home.
10. The presence and/or use of any controlled substance in the dwelling during the weatherization process or other illegal activity.
11. Structurally unsound dwelling or dwelling in which the cost of repairs substantially exceeds the cost of the weatherization conservation measures.
12. Major remodeling is in progress, limiting the proper completion of weatherization measures.
13. Substantial amount of standing water in or around the crawl space or basement area limiting the proper completion of weatherization measures.
14. Proposed conservation measures will result in minimal energy savings and the cost of installing these measures have a savings-to-investment ratio of less than one (1).
15. Uncooperative property owner or tenant who refuses a weatherization measure, or refuses to make modifications necessary to permit a measure to be completed.
16. Other: _____

The policy of the RI Weatherization Assistance Program is to provide weatherization services in a safe and effective manner, without undue hazards to household members, our staff, or contractors. Given the conditions noted above, the staff is not able to provide you with weatherization services until the attached conditions are resolved. Please contact the agency at [redacted] when the noted conditions are resolved. If you believe a mistake has been in the determination, please contact the agency as soon as possible.

Sincerely,

Weatherization Program Manager

Beginning in PY 2014, RI will have the ability to track deferrals in the Hancock database.

V.1.3 Definition of Children

Definition of children (below age): **18**

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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.

The low-income members of an Indian Tribe shall receive benefits equivalent to the assistance provided to other low-income persons within the State. Approximately one third of the major concentration of the State's Native American population (approximately 2,898 persons) is located in the Providence County area, with the other two thirds spread statewide with a higher concentration in the South County area. Native Americans will be serviced in the Weatherization Assistance Program in the same manner that all other low-income Rhode Islanders are: through the local Community Action Agency that serves the city/town in which they live. DHS will make every effort to identify Native American completions as they are weatherized through our subgrantees on a statewide basis.

V.2 Selection of Areas to Be Served

All 39 cities and towns in the state will be served. The 2014 Service Areas of the State have been identified as follows:

East Bay Community Action Agency: East Providence, Barrington, Warren, Bristol, Jamestown, Little Compton, Newport, Portsmouth, Tiverton, Middletown

Comprehensive Community Action Agency: Cranston, Foster, Scituate

Tri-Town Community Action Agency: Glocester, North Providence, Burrillville, Smithfield, Johnston

South County Community Action Agency: Hopkinton, Narragansett, North Kingstown, Westerly, Exeter, South Kingstown, West Greenwich, Charlestown, New Shoreham, Richmond

Westbay Community Action Agency: Warwick, Coventry, West Warwick and East Greenwich

Providence Community Action Agency: Providence

Blackstone Valley Community Action Agency: Woonsocket, North Smithfield, Pawtucket, Lincoln, Cumberland, Central Falls

DHS may suspend or terminate a contract with a weatherization subgrantee any time for any cause. "For cause" shall mean a finding of non-compliance with the procedures established in this section. In case of subgrantee failure to comply substantially with the provisions of the Energy Conservation in Existing Building Act of 1976, or 10 CFR, Part 440, DHS may take immediate steps to suspend or terminate the contract with that agency. Cause for suspension or termination of contracts shall include: (1) Failure to maintain adequate fiscal controls and accounting procedures, (2) filing late and inaccurate financial and programmatic reports, (3) misuse of program funds, (4) inability of the subgrantee to account for materials and equipment purchased, (5) failure to adhere to the schedule for goals and objectives established, (6) provision of weatherization services that are not done in a quality manner, (7) failure to use weatherization materials that meet or exceed Federal specifications, (8) failure of a subgrantee to comply with the terms of a contract, (9) failure to comply with audit requirements, (10) failure to comply with required purchasing procedures, (11) discrimination of employees, (12) if a project is supported over two or more funding periods, suspension or termination may occur due to the failure to submit reports still due from the prior period.

DHS may at its discretion either following notice and a hearing or by agreement with a weatherization subgrantee place an "agency at risk" status as an alternative to suspending or terminating a contract for cause; a finding of non-compliance by a subgrantee with an "agency at risk" status designation shall be cause for suspension or termination of a contract with a weatherization subgrantee.

Should any of the service providers which are identified in this Plan cease to administer the Weatherization Program during the year covered by this Plan, a temporary service provider will be selected. The temporary service provider may be selected from the existing list of subgrantees. According to Weatherization Program Notice 11-14 and 10 CFR Part 440, community action agencies are given preference.

V.3 Priorities for Service Delivery

Priority is given to identifying and providing weatherization assistance to families with children, the elderly, persons with disabilities who are low-income; eligible high energy users, eligible households with a high energy burden; and percentage of poverty level.

RI WAP Priority List for Clients. Department of Energy (DOE) 10 CFR Part 440, Section 440.16 requires that grantees develop procedures to ensure that priority is given to identifying and providing assistance to: Elderly persons; Persons with disabilities; Families with children; High residential energy users; and Households with a high energy burden. Rhode Island has also opted to include length of time on the waiting list and income level as criteria for inclusion on its priority list. The following priority list has been integrated into the Hancock WAP database.

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Priority Categories for Clients

1. Senior Citizen Household Member: _____

60-65 years	1 point
66-71 years	2 points
72-77 years	3 points
78-83 years	4 points
84 + years	5 points

2. Disabled: _____

1 point for each disabled household member

3. Families With Children: _____

Under age 1	5 points
1-2	4 points
3-5	3 points
6-9	2 points
10-17	1 point

4. Time on Waiting List: _____

0-3 months	1 point
3-6 months	2 points
6-9 months	3 points
9-12 months	4 points
12 + months	5 points

5. High Energy User: _____

(High Energy User has usage greater than 20 kWh/day)

If true, add 1 point

6. High Energy Burden: _____

(Household energy usage cost is greater than 50% of its income)

If true, add 1 point

7. Income Level: _____

Under 75% Poverty	5 points
75%-100% Poverty	4 points
101%-125% Poverty	3 points
126%-150% Poverty	2 points

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Above 150% Poverty	1 point
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V.4 Climatic Conditions

According to 2009 International Energy Conservation Code (IECC), all of Rhode Island is within Climate Zone 5. For the purposes of WAP, DHS regards the entire state as having a uniform climate. Subgrantees use the "Providence" weather stations (as contained in NEAT and to be contained in Hancock) when completing energy audits.

RIWAP uses an average of 5800 Heating Degree Days for software programs such as HEAT, or the Energy Conservatory TECTITE spreadsheet for calculating ASHRAE 62.2 requirements.

www.climatezone.com shows the following data for Providence:

Providence Heating and Cooling

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Annual
Heating Degree Days	1150	988	856	528	246	31.0	0.0	8.0	90.0	359	630	998	5884
Cooling Degree Days	0.0	0.0	0.0	0.0	7.0	88.0	239	203	63.0	6.0	0.0	0.0	606

www.degreedays.net shows the following Heating Degree Days for Providence in 2011 and 2012:

1/1/2011	1195
2/1/2011	978
3/1/2011	816
4/1/2011	461
5/1/2011	242
6/1/2011	73
7/1/2011	3
8/1/2011	10
9/1/2011	66
10/1/2011	326
11/1/2011	501
12/1/2011	781
	5452

1/1/2012	960
2/1/2012	822
3/1/2012	609
4/1/2012	423
5/1/2012	185
6/1/2012	92
7/1/2012	5
8/1/2012	9
9/1/2012	109
10/1/2012	284
11/1/2012	704
12/1/2012	815

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Because Rhode Island has a short cooling season, RI WAP does not address cooling measures in the DOE Weatherization Assistance Program.

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

At this time, DHS uses the "Northeast Region Weatherization Field Guide", and the "Guidelines for the Installation of Energy Conservation Measures" for its primary technical guidance. DHS is currently working with Saturn Resource Management on updating and restructuring the technical field guide, and will ensure that all installation specifications align with DOE's Standard Work Specifications (SWS). DHS will also develop comprehensive Field Standards to be used in conjunction with the Field Guide as prescribed by DOE. DHS will provide training to subgrantees and contractors on the new field standards and field guides and will ensure that all expectations and requirements are communicated and codified in appropriate agreements and contracts.

The type of weatherization work to be performed by the subgrantees will include energy measures identified by the Hancock Energy Audit Tool (HEAT). DHS will work with SMS and Hancock to obtain HEAT Audit Approval for RI once the system is fully functional and all energy auditors have been trained and are proficient in its use. DHS has begun discussions with SMS on the approval process. Because the network has only been using the audit tool since February (under three months), and there are still "tweaks" being made to the system, it was recommended that the network become more proficient in its use before the audit approval process start. The target date for beginning the audit approval process is August 1, 2014 which would allow for six months of use. In the meantime, all jobs will be entered into Hancock and will receive a HEAT audit. Hancock support has been extremely responsive to auditor questions and needs, as well as to requests for system modifications and enhancements.

Typical weatherization testing/measures include:

1. Health and safety measures allowable under 10 CFR 440, and as described in the RIWAP Health and Safety Plan
2. Furnace efficiency modifications (non-DOE funds);
 - a. Replacement burners designed to substantially increase the energy efficiency of the heating system;
 - b. Devices for modifying flue opening which will increase the energy efficiency of the heating system;
 - c. Electrical or mechanical furnace ignition systems which replace standing gas pilot lights;
 - d. Boiler or heating system replacement

All heating system replacement and/or repair is completed using alternative funding sources (LIHEAP and NGRID)

3. Sealing major bypasses and other air sealing/general heat waste priorities;
4. Install interior storm windows where cost effective
5. Ceiling, attic wall, floor and duct insulation
6. Caulking and weatherstripping of doors and windows
7. Water heater insulation
8. Installation of energy-conserving devices or technologies such as:
 - a. Items to improve attic ventilation;
 - b. Vapor barriers;
 - c. Materials used as a patch to reduce infiltration through the building envelope

Electric baseload measures are addressed through National Grid's Income Eligible Services (IES) Appliance Management Program (AMP). Every weatherized home receives an AMP audit and evaluation, and if conditions warrant, electric baseload measures are addressed (eg. refrigerator replacement, CFL's (unlimited), LED's (limited), Smart Strips, etc.).

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V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Single-Family : DHS will apply for HEAT Audit Approval in 2014. See Comments.

Manufactured Housing : Priority List Expired. See Comments.

Multi-Family : HEAT for small multi-family dwellings. See Comments.

Comments

HEAT

At this time, DHS does not have a DOE-approved energy audit. After months of comprehensive training, RI WAP officially went "live" with Hancock for WAP on February 3, 2014. All weatherization jobs are entered into the Hancock system and receive a HEAT audit. Adjustments, modifications and enhancements are still being made to the system but all agencies have been successful in entering jobs from start (assessment) to finish (final inspection). DHS is currently working with SMS on preparing for HEAT audit approval, and hopes to have final approval by the Fall. SMS has recommended beginning the actual audit approval process once auditors and monitors are proficient in its use and all system modifications are complete.

Mobile Home Audit

DHS recognizes that it is not in compliance with the requirement for an approved mobile home audit. RI had received MHEA training in 2012 from Mike Gettings (ORNL) but abandoned plans to pursue MHEA approval when it was discovered that MHEA does not recognize or include foaming of mobile home bellies in the audit which is a common measure in the program. DHS will work with its DOE Project Officer to explore an alternative mobile home audit tool that does allow for foaming. Until that time, subgrantees have been directed not to use DOE funds to weatherize mobile homes, but rather to utilize LIHEAP and/or utility funds. A mobile home "priority list" has been loaded into Hancock which was based on an older DOE approved mobile home audit for RI, a review of mobile home completion forms for commonly installed mobile home measures, and a review and analysis of the Vermont mobile home energy audit.

Multi-Family

With reduced DOE WAP funding, DHS does not plan to complete any large multi-family projects with DOE funds. Rhode Island has a utility-funded low-income multi-family weatherization program that is administered by RISE Engineering and all requests for weatherization services in large multi-family buildings are referred to that program.

https://www1.nationalgridus.com/files%5CAaddedPDF%5CPOA%5CRI_MF_Flyer.pdf

Small multi-family weatherization (buildings with less than 5 units and with building style similar to single family site built) will be addressed through the HEAT audit to determine appropriate cost-effective measures.

V.5.3 Final Inspection

As specified in 10 CFR 440.16, one hundred percent (100%) of weatherized dwelling units shall be inspected and certified as complete by the Subgrantee's authorized agent, prior to reporting said dwelling units as completed home. This provision is included in the contract between the state and the Subgrantee. The Weatherization Home Completion Form certifies that each home has been completed and is signed and dated by the client, an agency energy auditor (preferably someone other than the auditor who performed the initial audit), and the Program Director. Final inspections must include all health and safety testing including combustion efficiency, CO testing of all combustion appliances and worst case draft testing of all vented combustion appliances. When practical, subgrantees are encouraged to complete the final inspection when the weatherization contractor is still on-site. This practice allows the contractor the opportunity to correct any deficiencies before leaving the site.

Subgrantees are strongly encouraged to conduct "work in progress" inspections on a regular basis to review contractor work, discuss issues and concerns, check for lead safe work practices, and inspect attic air sealing work.

During 2014, DHS will coordinate training with the Green Jobs Academy (an IREC accredited weatherization training facility) in nearby Worcester Massachusetts to prepare for the impending Quality Control Inspector (QCI) certification requirements.

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V.6 Weatherization Analysis of Effectiveness

Although DHS has not conducted a formal program evaluation of cost effectiveness, by focusing on energy savings and adhering to the SIR requirement, the core of WAP is cost effectiveness. Energy savings evaluations performed by National Grid for the RI Public Utilities Commission (RI PUC) support the cost effectiveness of WAP. National Grid is required to show cost effective energy conservation programs and prove deemed savings for their ratepayer funded energy efficiency programs. NGRID's Income Eligible Services (IES) program works in conjunction with WAP although LIHEAP dollars, not DOE funds, are used to leverage the IES program.

QCI Inspector training and certification will also help ensure that high quality work standards and cost effective energy conservation practices are followed. Recent DOE requirements for Quality Work Plans and Quality Management Plans will help improve the overall efficiency of WAP. DHS will continue its efforts for program and process improvement by providing technical and program training for state and subgrantee staff as needed. Self-assessments using the core competencies matrix will be a helpful tool in targeting training efforts.

Subgrantees are subject to ongoing fiscal and program monitoring. Subgrantees are required to inspect 100% of the work completed and maintain control over expenditures in accordance with federal financial management guidelines and generally accepted accounting procedures. Subgrantees also submit monthly reports providing detailed information on production and expenditures. Annual assessments provide a second level of weatherization program analysis. The monitoring effort focuses on accountability and technical proficiency. Subgrantee records, client files, and invoices are checked for consistency and compliance. At least 5% of the housing units completed are physically inspected by the program's three technical field monitors as well as the Quality Assurance Manager for CLEARResult. Work orders are cross-checked with the measures that have been installed in the home. The technical monitors also evaluate the workmanship and techniques employed by weatherization contractors, focusing on compliance with weatherization priorities and the quality of work.

In addition to the annual assessments and regular field monitoring, DHS and CLEARResult will continue to hold WTC and "Best Practices" meetings for subgrantees, DHS and utility representatives. These meetings serve as opportunities to discuss any programmatic changes, discuss areas of concern and general peer to peer exchange.

V.7 Health and Safety

HEALTH AND SAFETY

DHS and its Weatherization subgrantees have always considered the health and safety of its weatherization clients a high priority. Health and Safety measures are measures that are necessary to maintain the physical well-being of both the occupants and the 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 pictures and written documentation.

The RIWAP Health and Safety Plan (attached to SF-424) is a working document and has been provided to all WAP subgrantees and contractors. The document will be continually updated as needed and will follow all requirements of WPN 11-6, including ASHRAE 62.2 2013 requirements.

For the 2014 Program Year, 15% has been budgeted for Health and Safety measures. This increase reflects the additional costs for ASHRAE 62.2 compliance. The WAP Hancock database will allow the state and subgrantees to track and manage H&S measures and costs more efficiently.

At this time, DHS requires all subgrantees to maintain Pollution Occurrence Insurance.

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 must also be notified. As potential hazards are identified, an assessment must be made on severity, and how they will be addressed, up to and including deferral.

V.8 Program Management

V.8.1 Overview and Organization

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On February 4, 2013 the LIHEAP and WAP programs were transferred from the Department of Administration to the Department of Human Services, Community Support. DHS is an organization of opportunity, working hand-in-hand with other resources in Rhode Island to offer a full continuum of services for families, adults, children, elders, individuals with disabilities and veterans. The goals of DHS are to create families that are strong, productive, healthy and independent; adults that are healthy and reach their maximum potential; Children that are safe, healthy, ready to learn and reach their full potential; ensure that elders and individuals with disabilities receive a full continuum of services to enhance their quality of life; and that veterans are cared for and honored.

The LIHEAP and WAP programs are under the Division of Community Services. An organizational chart which show's RIWAP placement within the Department of Human Services is attached.

An organizational chart for the Weatherization Assistance Program itself is also attached.

The State Energy Plan (SEP) program remains at the Department of Administration. CDBG is also located at the Department of Administration. All programs (WAP, SEP, CDBG and more) are represented on the RI Alliance for Healthy Homes (RIAHH). The mission of the Alliance is to "to align, braid and coordinate information, resources and services for improving the health, safety and energy efficiency of all Rhode Island homes.

In Response To 10CFR 440.14, The weatherization assistance program is operated by seven community action agencies statewide. The CAP Agencies (subgrantees) have been selected based on their ability to serve the public and as a result of an RFQ in September 1999. Historically Community Action Agencies have administered the Weatherization Program at the local level with the exception of the multi-family program that was administered by RI Housing during the ARRA-era.

V.8.2 Administrative Expenditure Limits

DHS will comply with the rules for administrative limits outlined in 10 CFR 440.18 which states that not more than 10% of any grant made to a state may be used by the grantee and subgrantee for administrative purposes in carrying out duties under this part, except that not more than 5% may be used by the state for such purposes, and not less than 5% must be made available to subgrantees by states.

In 2014, no additional administrative funds will be made available for grants less than \$350,000.

V.8.3 Monitoring Activities

In accordance with 10 CFR 440, DHS, as the Grantee for the Weatherization Assistance Program, will perform monitoring and oversight of WAP program, and establish monitoring procedures for evaluating sub-grantee performance. Monitoring functions as the state's principal method for determining Subgrantee compliance and evaluating the effectiveness of WAP policies and procedures.

DHS program, fiscal, and technical staff will monitor Subgrantee activities to ensure that the highest quality weatherization services are provided to eligible low-income Rhode Islanders. Effective monitoring provides objective reporting to and from Subgrantees and makes recommendations to address program and administrative deficiencies and needs. Subgrantee monitoring is an on-going process which involves the coordinated and cooperative efforts of both DHS and its Subgrantees. DHS will make a coordinated effort to follow the monitoring approach outlined in WPN 12-5: Updated Weatherization Assistance Program Monitoring Guidance. DHS is familiar with the "On-Site Monitoring: Programmatic and Management Checklist" that was included with WPN 12-5 and has thoroughly reviewed the checklist with our Project Officer for two DOE on-site monitoring visits.

In 2014, DHS will work to update their Subgrantee on-site monitoring tool to include relevant information contained in the DOE document "On-Site Monitoring: Field/Subgrantee Review Checklist" that also accompanied WPN 12-5. Subgrantee Programmatic and Management Monitoring will include the following areas: Subgrantee Review; Financial/Administrative; Equipment/Inventory/Materials; Eligibility; Rental; Feedback and Reporting; Energy Audits; Field Work; Health and Safety; Quality Assurance; Training and Technical Assistance; Staff or Entity performing the monitoring; and How monitoring results are handled and required follow-up procedures. Subgrantee Monitoring will include an evaluation of the following areas: Program Overview (Client File Review, Work Orders etc); Financial/Administration; Inventory; Energy Audits; Qualifications and Training; Weatherization of Units; Health and Safety; Final Inspections; Staff or entity performing the monitoring; and How monitoring results are handled and required follow-up procedures. Financial Monitoring will evaluate the following: Financial Management/Accounting Systems and Operations; Audits; Payroll/Personnel; Vehicles and Equipment; Procurement; Sub-awards/Subgrantee Monitoring; Invoicing; Records Retention; Staff or entity performing the monitoring and; How monitoring results are handled and required follow-up procedures.

Each subgrantee is required to submit a copy of their annual audit report to DHS within six (6) months of their fiscal close date. Those audit reports, along with their A-133 single audit are reviewed for findings. Any finding related to either the Weatherization Assistance Program (DOE or LIHEAP) and/or the Low Income Home Energy Assistance Program (LIHEAP) must be addressed in a corrective action plan to DHS. The state may take additional actions as it deems necessary.

During the grant period, DHS staff will conduct an annual on-site monitoring visit to each Subgrantee. This visit includes a review of client files, administrative systems, client priorities, leveraging activities, contractor procurement, utilization and file maintenance, technical procedures (energy audits, health and safety

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testing, work orders, contractor invoices, quality control inspections). The monitoring will also include a review by a state fiscal monitor to ensure the soundness of the subgrantees accounting systems so that grant funds are expended in accordance with applicable law, including regulations contained in 10 CFR 600; Weatherization Program Notices; and other procedures that DOE may issue.

DHS will utilize the Subgrantee monitoring instrument/tool approved by DOE (copy attached to the SF 424). Whenever possible, WAP monitoring reviews will be coordinated with LIHEAP and CSBG on-site monitoring to maximize utilization and efficiency of resources.

Technical field staff will review inventory (tools and equipment), and field work. Each subgrantee will be visited by a technical field monitor at least once per monitoring year to review no less than 5% of completed units and client files to ensure quality workmanship and that DOE guidelines are followed. Field monitors detail inspection findings on a "Technical Monitoring Checklist" form, and provide a copy to the Subgrantee within 30 days. If follow-up work is ordered, the agency will arrange for the necessary work to be performed, and notify the technical monitor once the work is complete. In all instances, If significant deficiencies are discovered, such as health and safety violations, poor quality of materials, major measures missed, DHS will require that the Subgrantee take appropriate corrective action to resolve the outstanding issues, usually within 30 days. The inspector will also increase the number of units reviewed and the frequency of monitoring visits for that CAP Agency until they can be assured that all deficiencies are resolved. Once deficiencies are corrected and procedures are put in place to prevent reoccurrence, DHS will resume its regular monitoring procedures for that agency.

DHS will conduct an Exit Conference at the close of each assessment and Subgrantees will be provided a written report with Findings, Observations, Corrective Actions, and Best Practices. These reports will summarize the findings and, when necessary, direct the Subgrantees to take specific actions to correct issues of non-compliance and/or to develop a plan of action to improve performance. Monitoring reports are to be completed within 30 days of the visit whenever possible. Reports are sent to the CAP Agency Executive Director who must respond within 30 days and provide evidence or assurance, as appropriate, of all corrective actions taken. Monitoring reports will include a reminder that suspension of funding is possible if a Subgrantee fails to respond within the allowable time frame.

DHS will also develop a "Subgrantee Monitoring Analysis Overview" as described in WPN 12-5 which will summarize each Subgrantees' financial reviews, program monitoring reports, outstanding issues, and will identify each Subgrantees' needs, strengths, and weaknesses. DHS will also include a copy of the overview with its T&TA, Monitoring and Leveraging Report. As described in WPN 12-5, DHS will also provide information on: Subgrantees monitored; Any major findings (waste, fraud and abuse) and resolutions; Trends with respect to findings, concerns or other issues; Needed T&TA (programmatic/administrative, technical, financial); Any Subgrantees that are considered high risk and plan for how to resolve; and outcome activities involving T&TA and monitoring training.

ON-GOING TECHNICAL MONITORING

The three technical monitors/inspectors at DHS devote a significant portion of their time to in-field monitoring activities including monitoring completed jobs (5%) and in-progress jobs, conducting contractor quality assurance reviews, providing on-site T&TA, resolution of auditor and contractor issues, addressing questions and concerns, responding to client complaints etc. Because of Rhode Island's small size, DHS field monitors have a strong presence out in the field and have developed strong working relationships with Subgrantee energy auditors and WAP contractors.

Technical monitors also inspect units "in progress" beyond the 5% completed units in order to assess: quality and compliance; appropriate and allowable materials; appropriateness of energy audits (no missed opportunities); comprehensive final inspections; safe work practices, such as lead safe weatherization protocols; and other factors that are relevant to on-site work.

Targeted training and technical visits are conducted if problems are identified, and until the issue or concern is resolved. Field monitors complete written field reports after each monitoring visit, and a copy is sent to the agency for their files. If there are any call backs as a result of the technical monitoring visit, the Subgrantee must provide DHS with the resolution of the call back. Monitoring visits are also used to identify problems and potential training opportunities. As an example, in 2013 additional ASHRAE 62.2 training was provided as a result of on-site monitoring observations.

Call backs related to the work of WAP contractors are completed at no cost to WAP. If additional work that was not identified by the Subgrantee but is needed and is identified by DHS inspectors, and the unit has already been reported to DOE, no DOE funds can be used to complete the work. Typically, LIHEAP funds are used to cover such costs. DHS hopes to be able to track "go backs" in a more efficient way with the Hancock data base.

All field monitors have received extensive training in all aspects of weatherization including:

- BPI Building Analyst Professional certification;
- Advanced blower door/pressure diagnostics training;
- Combustion Safety training;
- Thermal Imaging Camera training;
- EPA Lead RRP Certified Renovator;
- ASHRAE 62.2 training;
- Advanced Air Sealing training;
- HEAT audit training;
- Appliance Management training;
- CAZ Training

In addition to these formal trainings, the inspectors/monitors have also attended continuing education opportunities at DOE Technical Conferences, ACI Conferences, and others. Grantee T&TA funds are used to support personnel costs for the three technical monitors. Forty percent (60%) of grantee T&TA funds are used to support monitoring.

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V.8.4 Training and Technical Assistance Approach and Activities

In RI, training and technical assistance activities are directed at assessing and improving the overall delivery of weatherization services to income eligible households. Maximizing energy savings, minimizing production costs, improving program management, improving the technical skills of all weatherization workers (auditors and contractors), ensuring health and safety of weatherization workers and clients, and reducing the potential for waste, fraud and abuse are the overall goals of a comprehensive T&TA program.

On-site visits provide a key opportunity for identifying T&TA needs in the field. All field monitors have received extensive training in all aspects of weatherization including: BPI Building Analyst Professional certification; Advanced blower door/pressure diagnostics training; Combustion Safety training; Thermal Imaging Camera training; EPA Lead RRP Certified Renovator; ASHRAE 62.2 training; Advanced Air Sealing training; HEAT audit training; Appliance Management training and more.

DHS technical monitors use diagnostic equipment as a means to monitor weatherization work and train subgrantee energy auditors and weatherization contractors. Infrared cameras, blower doors, gas leak detectors and combustion and carbon monoxide detectors are required and used extensively in monitoring of WAP. These tools are necessary to evaluate the the quality of weatherization work and assess health and safety concerns of the home. All subgrantees are required to have blower doors and have been trained on its proper use. In addition, subgrantees are required to use combustion efficiency test equipment, carbon monoxide detectors and gas leak detectors to help ensure health and safety concerns regarding combustion appliances are addressed. All subgrantees also have multiple infrared cameras to be used in conjunction with blower door testing to identify air leakage areas and as a quality assurance tool to verify that wall, slope and ceiling insulation and air sealing work was completed properly.

DHS does not mandate, but rather strongly encourages all energy auditors to have BPI Certification. All but one energy auditor in the state hold BPI certification at this time. In 2013, DHS provided subgrantees with T&TA in ASHRAE 62.2 implementation, HEAT, CAZ/Worst Case Draft Testing, and Heating System Evaluation and Sizing.

In 2014, the majority of T&TA efforts will focus on preparing for the impending DOE requirement for Quality Control Inspector (QCI) certification (Tier 1). QCI training will be provided by the Green Jobs Academy in Worcester, MA which is an IREC accredited training facility. The QCI exam will be taken at UMASS Dartmouth. With limited DOE T&TA funding, targeted T&TA efforts will be critical. DOE's self assessment tool for core competencies will be a useful tool for identifying T&TA opportunities. LIHEAP funding will provide additional funds needed to complete training and testing requirements.

In May 2014, training on ASHRAE 62.2 2013 will be provided to all state monitors and subgrantees. This training is being coordinated with RI Housing. RI Housing had approached DHS about working collaboratively on this training as they had numerous auditors, contractors and others who were also in need of ASHRAE 2013 training. In addition to the classroom training, there will also be a field component for hands-on demonstration. Paul Raymer who was on the ASHRAE 62.2 committee will conduct the training. In addition, Jules Junker (who was also on the ASHRAE 62.2 committee) will be doing individual CAP agency training beginning in late April 2014 for all CAP agencies. Jules will customize his training according to knowledge and skill level of each CAP auditor and will also incorporate field work into the training.

In September 2013, DHS will hold a two-day Hancock training for all subgrantee and state program staff. Art Wilcox from HES will lead the training at the URI Alton Jones campus.

In November 2013, DHS held a one-day CAZ/Worst Case Draft Testing training for all subgrantee and DHS technical monitors. This training was recommended by DOE following an on-site monitoring visit and all state monitors and auditors were in attendance. The CAZ training was done by Bob Kahabka.

DHS will also coordinate an online training on LSW for all energy auditors and contractors. While all contractors and energy auditors are certified Lead RRP Renovators, an LSW training is needed due to newer workers who have not yet had LSW training and as a refresher for those who may have had it in the past. This training will be mandatory for all DHS and subgrantee staff.

On April 28, 2014, DHS will hold it's annual training on proper placement of smoke and CO detectors in conjunction with the state fire marshall's office. This training will be mandatory for all weatherization staff.

DHS will also assess subgrantee and contractor compliance with OSHA requirements. All personnel working in the field, including auditors, are required to attend a minimum 10-hour OSHA construction training and all crew/contractor leaders/supervisors are required to attend a 30-hour OSHA construction training and must attend future trainings to maintain currency as indicated by OSHA. Sub-grantees may utilize their T&TA funds to attend necessary trainings to comply with this and other requirements and to monitor their crews and/or contractors to ensure this requirement is being followed.

The final component of our T&TA objectives is the client contacts. This critical component enables DHS to learn directly from our clients how satisfied they are with the work performed and also enables our state monitors to follow up on client education of the owners about reducing their energy consumption. DHS recently developed and implemented a "Client Satisfaction Survey" that state monitors ask homeowners to complete when at a monitoring visit.

DHS would also like to coordinate an "asbestos awareness" training for all subgrantees in 2014. Because of the focus on QCI training, it's not certain whether this training can be scheduled in 2014 but it remains on the Tier 2 list of individual trainings to be held. The trainer will be selected from the RI Department of Health's "Certified Asbestos Course List".

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DHS and CLEAResult will continue to hold WTC/"Best Practices" meetings with subgrantees to discuss technical issues and identify areas of concern that may shape future Tier 2 training opportunities.

DHS will develop and submit as required an Annual Training and Technical Assistance Report which describes the T&TA activities covered during the grant period.

V.9 Energy Crisis and Disaster Plan

Energy Crisis Relief (ECR)

Rhode Island currently utilizes LIHEAP funds for our Energy Crisis Relief (ECR) program. The activities and measures that will be performed under ECR are, but not limited to, repair of heating systems, replacement of irreparable heating systems, repair of gas or other fuel lines, pipe thawing service, and loans of auxiliary heaters. Because of LIHEAP and NGRID funding for emergency boiler repair and replacement, DHS does not foresee the need to use DOE WAP funds for an emergency crisis program.