

# Arkansas

## Weatherization Assistance Program Program Year 2015 State Plan July 1, 2015 – June 30, 2016



Arkansas Economic Development Commission – Energy Office  
900 West Capitol Avenue, Suite 400  
Little Rock, Arkansas 72113  
501-682-7560  
[www.arkansasenergy.org](http://www.arkansasenergy.org)

## Table of Contents

	<u>Page</u>
<b>Mission Statement</b> .....	3
<b>I. Overview</b> .....	4
I.1 Executive Summary .....	4
I.2 Budget .....	5
I.3 Proposed Weatherization Projects .....	5
I.4 Summary of Major Changes from the 2014 Program Year .....	5
<b>II. Application for Federal Assistance</b> .....	7
<b>III. Budget</b> .....	9
III.1 SF 424A Budget Preparation .....	9
III.2 Budget Categories – Section B .....	10
III.3 Budget Justification .....	11
III.4 Carryover Explanation .....	15
<b>IV.1 Subgrantees</b> .....	16
<b>IV.2 WAP Production Schedule PY 2015</b> .....	19
<b>IV.3 Energy Savings &amp; Program Impact</b> .....	19
<b>IV.4 DOE-Funded Leveraging Activities</b> .....	20
<b>IV.5 Policy Advisory Council Members</b> .....	20
<b>IV.6 State Plan Hearings and Transcripts</b> .....	20
<b>IV.7 Miscellaneous</b> .....	20
<b>V. Master File</b> .....	23
<b>V.1 Eligibility</b> .....	23
V.1.1 Approach to Determining Client Eligibility .....	23
V.1.2 Approach to Determining Building Eligibility .....	24
V.1.3 Definition of Children .....	26
V.1.4 Approach to Tribal Organizations .....	26
<b>V.2. Selection of Areas to be Served</b> .....	26
<b>V.3 Priorities for Service Delivery</b> .....	26
<b>V.4 Climatic Conditions</b> .....	27
<b>V.5 Types of Weatherization Measures to be Implemented</b> .....	28
V.5.1 Technical Guides and Materials .....	28
V.5.2 Energy Audit Procedures .....	29
V.5.3 Final Inspection .....	31
<b>V.6 Weatherization Analysis of Effectiveness</b> .....	32
<b>V.7 Health and Safety Plans</b> .....	33
<b>V.8 Program Management</b> .....	33
V.8.1 Overview and Organization .....	33
V.8.2 Administrative Expenditure Limits .....	34
V.8.3 Monitoring Activities .....	34
V.8.4 Training and Technical Assistance .....	37
<b>V.9 Energy Crisis and Disaster Plan</b> .....	41



## **Mission Statement**

The mission of the Arkansas Energy Office, a division of the Arkansas Economic Development Commission (AEO), is to promote energy efficiency, clean technology, and sustainable strategies that encourage economic development, energy security and the environmental well-being for all citizens of Arkansas.

### **The State Goals**

The policies contained in this document are meant to enable the state and the subgrantee network to effectively provide weatherization services for the maximum amount of Arkansans as possible by:

- Ensuring that only the most cost effective measures are employed.
- Leveraging all available resources, financial or otherwise.
- Significantly reducing wait time for Arkansans seeking weatherization services to one year or less.

# I. Overview

## Executive Summary

The Arkansas Weatherization Assistance Program State Plan for Program Year 2015 serves as Arkansas's application to the US Department of Energy (USDOE) for Weatherization Assistance Program (WAP) funding. These funds will provide assistance to approximately 203 households across the State. (203 represent only DOE funding)

The purpose of the Program is to install energy conservation measures in the homes of income-eligible persons, especially homes occupied by the elderly, persons with disabilities, families with children, high energy burden and high energy users. Funds are targeted to the most cost-effective energy efficiency measures, as determined by an on-site energy audit of the eligible building. The program helps to reduce national energy consumption, reduces carbon emissions that contribute to climate change, and lessens the impact of higher energy costs for low-income families. The program also improves the health and safety of assisted households.

Arkansas relies on a network of eight (8) subgrantees, six are Community Action Agencies (CAAs) who are delivering weatherization services in their designated service area; two are non-profits; one will be delivering services in Central Arkansas and the other will work statewide on multi-family developments.

Subgrantees provide energy efficiency weatherization services using their own trained crews and by subcontracting work to qualified contractors. Energy efficiency measures financed through the program can range from air sealing and insulating single-family homes to replacement of heating systems. The program assists all types of housing units, including single and multifamily housing, manufactured housing, and group homes. The state will allocate program funds for the Program Year (PY) 2015 in accordance with this plan.

## I.2 Budget

Category	DOE	LIHEAP
<b>2014 Program Year Allocation</b>	\$ 1,668,947.00	\$ 3,981,945.00
<b>Training and Technical Assistance</b>	\$ 313,211.00	0.00
<b>AEO Administration</b>	\$ 67,786.80	\$ 199,097.00
<b>Subgrantee Administration</b>	\$ 67,786.80	\$ 199,097.00
<b>CPA Audits</b>	\$ 10,000.00	0.00
<b>Pollution Control Insurance (LIHEAP)</b>	0.00	\$ 17,000.00
<b>Leveraging Plan (LIHEAP)</b>	0.00	\$ 165,000.00
<b>Liability Insurance</b>	\$ 10,000.00	0.00
<b>Multi-Family Projects (LIHEAP)</b>	0.00	\$ 350,000.00
<b>Health &amp; Safety</b>	\$ 183,024.36	\$ 457,763.00
<b>Capital Intensive Measures (LIHEAP)</b>	0.00	\$ 500,000.00
<b>Program Operations</b>	\$ 1,017,138.04	2,093,988.00
<b>Totals</b>	<b>\$ 1,668,947.00</b>	<b>\$ 3,981,945.00</b>

## I.3 Proposed Weatherization Projects

DOE Allocation Subgrantee Network PY2015

Black River Area Development Corporation	\$	102,525.49
Central Arkansas Development Council	\$	180,662.36
Community Action Program for Central Arkansas	\$	63,563.66
Crowley's Ridge Development Council	\$	143,453.47
Crawford-Sebastian Community Development Council	\$	233,198.62
Pine Bluff-Jefferson County Economic Opportunities Commission	\$	111,455.74
<b>Pending Provider</b>	\$	182,278.70
Better Community Development, Inc.		LIHEAP

## I.4 Summary of Major Changes from the 2014 Program Year

In 2014, the state issued a Request for Qualification (RFQ) for additional service providers to cover the Central Arkansas area; there were two (2) responsible bidders each of whom met the minimum requirements to participate in the WAP. **Pending Provider** was selected as the successful bidder. They will cover the following counties: Conway, Lonoke, Perry, Pope, Pulaski and Yell.

In 2014, the state issued a Request for Qualification (RFQ) for a third-party contractor to conduct Quality Control Inspections (QCI) for the state. Request for Qualifications (RFQ) were accepted and there was one responsible bidder. AEO will be rebidding the RFQ in order to seek additional offerors. The Quality Control Inspector will verify the work performed against the work plan, specifications and standards, perform building diagnostics, record/report findings and concerns, and specify corrective actions; by conducting a methodological audit/inspection of the building, perform safety and diagnostic tests, and by observing the retrofit work; in order to ensure the completion, appropriateness and quality of the work providing for safety, comfort, and energy savings of the building occupants.

The Quality Control Inspector will be expected to inspect approximately 100 homes using all diagnostic equipment such as: blower door, infrared camera, duct blaster, watts up meter, monoxor, and gas leak detector.

The state will implement new program management software that will allow the program staff to manage the program from application intake to invoice processing. The Energy Conservation Online Software known as ECOS will replace NEAT and MHEA and will be used to mandate measures to be installed on all homes, site built, manufactured and multifamily homes.

## II. Application for Federal Assistance – Standard Form 424

<b>APPLICATION FOR FEDERAL ASSISTANCE</b>		2. DATE SUBMITTED	
1. TYPE OF SUBMISSION: Application		3. DATE RECEIVED BY STATE	
<input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		<input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	
Pre-application		4. DATE RECEIVED BY FEDERAL AGENCY Applicant Identifier #	
<b>5. APPLICANT INFORMATION</b>			
Legal Name:		Organizational Unit: Arkansas Energy Office	
Arkansas State of		Department: Arkansas Economic Development Commission	
Organizational DUNS: 784114217		Division: Arkansas Energy Office	
Address:		Name and telephone number of person to be contacted on matters involving this application (give area code)	
Street: 900 West Capitol Ave, Suite 400		Prefix: Mr.	
City: Little Rock		First Name: Mitchell	
County: Pulaski		Last Name: Simpson	
State: Arkansas		Suffix:	
Zip Code: 72201		Email: MSimpson@arkansasEDC.com	
Country: United States		Phone Number (give area code) (501) 682-1060	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 710489145		7. TYPE OF APPLICANT: (See back of form for Application Types) A	
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.)  Other (specify)		9. NAME OF FEDERAL AGENCY: U. S. DEPARTMENT OF ENERGY	
10 CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 81-042 TITLE (Name of Program): Title IV, Part A, P.L. 94-385		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Weatherization Assistance Program - The program provides energy conservation for the homes of low-income elderly and disabled.	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc): State of Arkansas		14. CONGRESSIONAL DISTRICTS OF:	
13. PROPOSED PROJECT Start Date: 07/01/15		a. Applicant Second	
Ending Date: 06/30/16		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. Yes <input checked="" type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE: b. No <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
15. ESTIMATED FUNDING:		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes" attach an explanation.    X No	
a. Federal	\$1,668,947		
b. Applicant	\$		
c. State	\$		
d. Local	\$		
e. Other (HEAP)	\$3,981,945		
f. Program Income	\$		
g. TOTAL	\$5,650,892		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Authorized Representative			
Prefix Mr.		First Name Mitchell	Middle Name
Last Name Simpson		Suffix	
b. Title Interim Director		c. Telephone Number (give area code) (501) 682-1060	
d. Signature of Authorized Representative		e. Date Signed	

STATE CLEARINGHOUSE  
APPLICATION SUPPLEMENT

1. IF THIS IS A "NOTIFICATION OF INTENT" TO APPLY OR A PREAPPLICATION, PLEASE CHECK THIS BOX  AND INDICATE GRANT I.D. ASSIGNED.  
GRANT I.D. \_\_\_\_\_X(8)
2. IF THIS IS AN ACTUAL GRANT APPLICATION, PLEASE CHECK THIS BOX , AND INDICATE GRANT I.D. ASSIGNED. Grant I. D. AEO-1301 (8)  
\*NOTE: IF A NOTIFICATION OF INTENT OR PREAPPLICATION HAS BEEN PREVIOUSLY SUBMITTED, USE THAT I.D. TO COMPLETE ITEM 2 AND INDICATE SAI# THAT WAS ASSIGNED TO THE NOI OR PREAPP. SAI# \_\_\_\_\_X(8)
3. IF THIS IS AN APPLICATION FOR SUPPLEMENTAL FUNDS OR IS A REVISION, PLEASE INDICATE ORIGINAL GRANT I.D. AND SAI# TO WHICH IT APPLIES.  
GRANT I.D. \_\_\_\_\_X(8) SAI# \_\_\_\_\_X(8)
4. GRANT YEAR 2015-2016 XX
5. GRANT START DATE 07 / 01 / 15 GRANT END DATE 06 / 30 / 16 (mo/day/yr)
6. APPLICANT (AGENCY) CODE 710H X(7) (see Applicant Code List)
7. GRANTOR CODE DOE X(5) (see Grantor Code List)
8. ORGANIZATION UNIT \_\_\_\_\_ Department of Energy
9. FUNDING PERCENTAGE REQUIREMENTS:  
FEDERAL 100 % STATE \_\_\_\_\_ % OTHER \_\_\_\_\_ %
10. TYPE OF ASSISTANCE (A THROUGH P) \_\_\_\_\_ (see instructions on back)
11. METHOD OF FUNDING 3  
  1. ADVANCE BY TREASURY CHECK
  2. REIMBURSEMENT BY TREASURY CHECK
  3. ADVANCE BY LETTER OF CREDIT
  4. REIMBURSEMENT BY LETTER OF CREDIT
12. FEDERAL FUNDS FOR THIS GRANT WILL BE RECEIVED DIRECTLY FROM (CHECK ONE)  
 A FEDERAL AGENCY  ANOTHER STATE AGENCY  OTHER SOURCE

\*\*If a source is OTHER please specify \_\_\_\_\_

13. DO YOU HAVE AN INDIRECT COST RATE? YES  NO
14. IF YES, IS THE RATE BEING APPLIED TO THIS PROJECT?  YES  NO

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

GRANTS ANALYST \_\_\_\_\_  
 Signature \_\_\_\_\_  
 AGENCY \_\_\_\_\_ Arkansas Energy Office

DATE \_\_\_\_\_



### III. Budget

#### III.1 SF 424A Budget Preparation

#### SUPPLEMENTARY GRANT INFORMATION

**APPLICANT:** Arkansas Energy Office  
 900 West Capitol Ave, Suite 400  
 Little Rock, Arkansas 72201

**PROJECT DURATION:**  
 07/01/15 - 06/30/16

**Name of Funding Agency:** Arkansas Energy Office

**Part I: Project Description: Briefly describe the purpose of the grant, the work to be done and the projected accomplishments:**

The Weatherization Assistance Program for Low-Income Persons will weatherize 621 units for the low-income families in program year 2015 using DOE and LIHEAP funds.

**Part II: Budgetary Information:**

	<u>Applicant</u>	<u>Federal</u>	<u>State Local Other (LIHEAP Funds)</u>	<u>Total</u>
Personnel Services	\$ _____	\$ 122,946.00	\$ 173,097.00	\$ 296,043.00
Supplies and Equipment	_____	\$ 13,000.00	\$ 14,000.00	\$ 27,000.00
Travel	_____	\$ 72,000.00	\$ 12,000.00	\$ 84,000.00
SF Capital Outlay	_____	0	0	0
Consultants Services	_____	\$ 1,461,001.00	\$ 3,617,848.00	\$ 5,078,849.00
Other	_____	0	\$ 165,000.00	\$ 165,000.00
Total	_____	\$ 1,668,947.00	\$ 3,981,945.00	\$ 5,650,892.00
Indirect Cost (___%)	_____	0	0	0
Total Support	\$ _____	\$ 1,668,947.00	\$ 3,981,945.00	\$ 5,650,892.00

Indicate Other Services: \_\_\_\_\_

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

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

III.2 Budget Categories – Section B

**Budget Information - Non Construction Programs**

OMB Approval No. 0348-0044

Section A - Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1 DOE	81.402	600,000.00		\$1,668,947.00		\$ 2,268,947.00
2						\$0
3						\$0
4						\$0
5 Totals		\$600,000.00	\$0	\$1,668,947.00	\$0	\$ 2,268,947.00

Section B - Budget Categories									
6 Object Class Categories	Grant Program, Function or Activity				Grant Program, Function or Activity				Total (9)
	(1) Grantee Adm	(2) Sub Grantee Adm	(3) Grantee T & TA	(4) Sub-Grantee T & TA	(5) Program Operations	(6) Liability Insurance	(7) Financial Audit	(8) Health & Safety	
a. Personnel	\$47,608.00		\$46,000.00						\$93,608.00
b. Fringe Benefits	\$12,586.00		\$16,752.00						\$29,338.00
c. Travel	\$7,593.00		\$64,407.00						\$72,000.00
d. Equipment - Program Monitoring	\$0		\$9,000.00						\$9,000.00
e. Supplies	\$0		\$4,000.00						\$4,000.00
f. Contractual - 3rd Party QCI, Client Ed, Tech Conf, JAI Trg	\$0	\$67,787.00	\$122,341.00	\$50,711.00	\$1,017,138.00	\$10,000.00	\$10,000.00	\$183,024.00	1,461,001.00
g. Construction									
h. Other (WTC)									
i. Total Direct Charges (sum of 6a-6h)	\$67,787.00	\$67,787.00	\$262,500.00	\$50,711.00	\$1,017,138.00	\$10,000.00	\$10,000.00	\$183,024.00	1,668,947.00
j. Indirect Charges									\$0
k. Totals (sum of 6i-6j)	\$67,787.00	\$67,787.00	\$262,500.00	\$50,711.00	\$1,017,138.00	\$10,000.00	\$10,000.00	\$183,024.00	1,668,947.00
7 Program Income									\$0

SF-424A (Rev. 4-92)

Prescribed by OMB Circular A-102

Previous Edition Usable

Authorized for Local Reproduction

### III.3 Budget Justification

#### BUDGET EXPLANATION FOR FORMULA GRANTS

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

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

- a. Identify, by title, each position to be supported under the proposed award.

Weatherization Program Manager  
WAP Financial Manager  
WAP Technical Manager  
WAP Compliance Manager  
Administrative Assistant

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

Weatherization Program Administrator supervises staff, develops annual grant, develops grant guidance, provides technical assistance to subgrantees, reviews subgrantee contracts. Salary for the Program Manager will be paid using 50% DOE Administration funds and 50% LIHEAP Administration funds.

Financial Manager assists in the development and management of the sub grant program operations budget. Salary for the Financial Manager will be paid using 50% DOE funds and 50% LIHEAP Administration funds.

Compliance Manager reviews subgrantee compliance (Programmatic, Administrative/Fiscal, and Technical). Oversees personnel compliance by verifying policies are in place at Grantee, Subgrantee, and with contractors related to eligibility. Assist in procurement procedures and compliances (e.g., bidding work, writing and reviewing contracts, etc. Ensures delivery readiness by documenting Grantee and Subgrantee insurances are in place, as applicable. Documents that Grantee and Subgrantee licenses are in place, as applicable; documenting eligibility of contractors working in the program (e.g., not on disbarment lists).

Technical Manager monitors performance of weatherization subgrantees. The Technical Manager will oversee the third-party QCI contract. He/she will also assist the state's training center with coordinating hands-on training, and developing the statewide training plan. Salary for the WAP Technical Manager will be paid using 50% DOE T&TA funds and 50% LIHEAP Administration funds.

Administrative Assistant provides clerical support to the staff and assists the program manager with subgrantee contracts, typing reports and maintains all records. Salary will be paid 100% from LIHEAP funds.

**2. FRINGE BENEFITS –**

- a. Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and include a copy of the rate agreement.  
No
  
- b. If above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations as an attachment.

### Weatherization Positions for 2014

ST- Using AEDC Formulas To Calculate Adm Cost				0.0765*Salary	(0.1488+0.0765)* Salary	410*12 months		
AEDC Personnel 2013	Position Number	Salaries (00)	Career Service Bonus (00)	FICA (03)	Retirement (03)	Health (03)	Workers Compensation Premium Tax (03)	Total
Program Manager	NA	\$ 49,216.00	NA	NA	NA	NA	NA	\$ 49,216.00
Admin. Assistant	22098742	\$ 29,251.00	\$ 600.00	\$ 1,763.25	\$ 5,192.94	\$ 4,920.00	\$ -	\$ 41,727.19
Finance Manager	22100278	\$ 46,000.00	\$ -	\$ 2,566.73	\$ 7,559.27	\$ 4,920.00	\$ -	\$ 61,046.00
Technical Manager	22103086	\$ 46,000.00	\$ 800.00	\$ 3,228.61	\$ 9,508.56	\$ 4,920.00	\$ -	\$ 64,457.17
Compliance Manager	22099370	\$ 46,000.00	\$ -	\$ 2,566.73	\$ 7,559.27	\$ 4,920.00	\$ -	\$ 61,046.00
<b>Adm Total</b>		<b>\$ 216,467.00</b>	<b>\$ 1,400.00</b>	<b>\$ 10,125.32</b>	<b>\$ 29,820.04</b>	<b>\$ 19,680.00</b>	<b>\$ -</b>	<b>\$ 277,492.36</b>

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

- a. Indicate the purpose(s) of proposed travel.
  - (1) Technical Manager & Third Party QCI Training - two trips for certifications for program monitors and on the SWS Deck of Cards.
  - (2) In state monitoring - at least four (4) trips by the program monitors to visit each of two new subgrantees; and at least two (2) visits to each of the remaining 6 subgrantees for the purpose of monitoring and providing technical assistance. At least one trip to the subgrantee to conduct financial monitoring.
  - (3) Weatherization Assistance Program Meeting.
  - (4) Two trips to the National Association for State Community Services Programs (NASCS) Conferences (Mid-Winter and Annual).
  - (5) Annual State WAP Conference for state staff.
- b. Specify the basis for computation of travel expenses (e.g., current airline ticket quotes, past trips of a similar nature, federal government or organization travel policy, etc.).
  - (1) (Training and Technical Assistance) T&TA \$ 13,590 - Program Monitor Training (2)
  - (2) T&TA - \$22,610 - Annual Weatherization Conference
  - (3) Admin - \$1,898.65 - DOE Program Meeting
  - (4) T/TA - \$16,830 - In-State Travel
  - (5) Admin. - \$ 10,000 - NASCS Conference
  - (6) T&TA - \$10,000 - Energy Audit Training

4. **EQUIPMENT** – as defined in 10 CFR 600.202. Definitions can be found at [http://www.access.gpo.gov/nara/cfr/waisidx\\_00/10cfr600\\_00.html](http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html).

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

Catalog quotes and prior purchases - \$8,700.00

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

The Program Monitors will need blower door, Duct Blaster, Infrared Camera to conduct QCI verification in the field.

5. **MATERIALS AND SUPPLIES** – as defined in 10 CFR 600.202. Definitions at [http://www.access.gpo.gov/nara/cfr/waisidx\\_00/10cfr600\\_00.html](http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html).

- a. Provide the basis for the materials and supplies cost estimates (e.g., vendor quotes, prior purchases of similar or like items, etc.). \$3,540.00

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

Office purchases for stationary and other office supplies, printing and postage.

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

Provide the information below for new proposed sub recipients and subcontractors. For ongoing subcontractors and sub recipients, if this information is provided elsewhere in the application, it does

not have to be restated here, but please indicate the document and page numbers where it can be found.

For example—Competitive, Historical, Quote, Catalog  
(1)

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

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

N/A

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

**8. INDIRECT COSTS** -

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

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

### **III.4. Carryover Explanation**

Carryover is listed in the table below:

## IV.1 Subgrantees

In accordance with 10 CFR Part 440.15, an entity that receives funds from the state to manage a weatherization project is considered a WAP subgrantee. The state enters into contracts with subgrantees to perform WAP services within specified service areas throughout the State.

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	Total	
	Black River Area Development Corporation	Central Arkansas Development Council	Community Action Program for Central Arkansas, Inc.	Crowley's Ridge Development Council	Crawford-Sebastian Community Development Council	Pine Bluff-Jefferson County Economic Opportunities Commission	Pending Provider	Better Community Development, Inc.		
DOE Allocation	\$ 102,525.49	\$ 180,662.36	\$ 63,563.66	\$ 143,453.47	\$ 233,198.62	\$ 111,455.74	\$ 182,278.70		\$ 1,017,138.04	
Admin	\$ 6,832.77	\$ 12,040.18	\$ 4,236.18	\$ 9,560.40	\$ 15,541.44	\$ 7,427.93	\$ 12,147.90		\$ 67,786.80	
H&S	\$ 18,448.49	\$ 32,508.48	\$ 11,437.68	\$ 25,813.09	\$ 41,961.88	\$ 20,055.40	\$ 32,799.33		\$ 183,024.35	
T&TA	\$ 5,111.57	\$ 9,007.20	\$ 3,169.07	\$ 7,152.10	\$ 11,626.48	\$ 5,556.80	\$ 9,087.79		\$ 50,711.00	
Liability & Fin Audit	\$ 2,015.96	\$ 3,552.37	\$ 1,249.85	\$ 2,820.73	\$ 4,585.39	\$ 2,191.56	\$ 3,584.15		\$ 20,000.01	
<b>Total DOE</b>	<b>\$ 134,934.28</b>	<b>\$ 237,770.59</b>	<b>\$ 83,656.44</b>	<b>\$ 188,799.79</b>	<b>\$ 306,913.81</b>	<b>\$ 146,687.43</b>	<b>\$ 239,897.87</b>		<b>\$1,338,660.20</b>	Balances with the budget page
<b>Total DOE Units*</b>	<b>20</b>	<b>36</b>	<b>13</b>	<b>29</b>	<b>47</b>	<b>22</b>	<b>36</b>		<b>203</b>	
LIHEAP Allocation	\$ 211,069.82	\$ 371,930.63	\$130,858.87	\$ 295,328.48	\$ 480,087.34	\$ 229,454.57	\$ 375,258.21	\$350,000.00**	\$2,093,987.93	
Admin	\$ 20,068.61	\$ 35,363.32	\$ 12,442.12	\$ 28,079.96	\$ 45,646.91	\$ 21,816.64	\$ 35,679.71		\$ 199,097.27	
H&S	\$ 46,141.56	\$ 81,307.02	\$ 28,606.80	\$ 64,561.18	\$ 104,950.95	\$ 50,160.61	\$ 82,034.46		\$ 457,762.58	
Cap Intensive	\$ 50,399.01	\$ 88,809.16	\$ 31,246.33	\$ 70,518.19	\$ 114,634.70	\$ 54,788.89	\$ 89,603.72		\$ 500,000.00	
Pollution Ins					\$ 17,000.00				\$ 17,000.00	
<b>Total LIHEAP</b>	<b>\$ 327,679.00</b>	<b>\$ 577,410.13</b>	<b>\$203,154.12</b>	<b>\$ 458,487.81</b>	<b>\$ 762,319.90</b>	<b>\$ 356,220.71</b>	<b>\$ 582,576.10</b>	<b>\$350,000.00**</b>	<b>\$3,267,847.78</b>	Balances with the budget page
<b>Total LIHEAP Units</b>	<b>42</b>	<b>74</b>	<b>26</b>	<b>59</b>	<b>96</b>	<b>46</b>	<b>75</b>	<b>60***</b>	<b>418</b>	
<b>Total DOE &amp; LIHEAP</b>	<b>\$ 462,613.23</b>	<b>\$ 815,180.63</b>	<b>\$286,810.53</b>	<b>\$ 647,287.53</b>	<b>\$1,069,233.58</b>	<b>\$ 502,908.09</b>	<b>\$ 822,473.87</b>	<b>\$350,000.00**</b>		
<b>Total Number of DOE + LIHEAP Units*</b>	<b>62</b>	<b>110</b>	<b>39</b>	<b>88</b>	<b>143</b>	<b>68</b>	<b>111</b>	<b>60***</b>	<b>621</b>	
<b>Congressional District</b>	<b>1, 2, 3, 4</b>	<b>2, 4</b>	<b>1, 2</b>	<b>1</b>	<b>3, 4</b>	<b>1, 4</b>	<b>1, 2, 3, 4</b>	<b>1, 4</b>		

\*Number of Units = Allocation/5000

\*\*BCD's allocation comes from the \$350,000 set aside for multi-family. The \$350,000 added to the \$2,093,987.93 equals \$2,443,987.92.

\*\*\*BCD's units not included in total units and are based upon \$3000/unit.



**1. Black River Area Development Corporation**

1403 Hospital Drive, Pocahontas , Arkansas 72455-3847

Contact: James Jansen - Email: [jjansen@bradcorp.org](mailto:jjansen@bradcorp.org)

Phone: 870-892-5219 Fax: 870-892-0707

Type of Organization: Community Action Agency

Tentative Allocation: \$102,525.49

Number of Units to be Weatherized: 20 units

Source of Labor: Private Contractors and Crews

Congressional District(s): 1,2,3,4

Counties Served: Baxter, Boone, Clay, Fulton, Independence, Izard, Lawrence, Marion, Newton, Randolph, Searcy, Sharp, Stone, Van Buren

**2. Central Arkansas Development Council**

321 Edison Avenue, Post Office Box 580, Benton, Arkansas 72018-0580

Contact: Larry Cogburn Email: [lcogburn@cadc.com](mailto:lcogburn@cadc.com)

Phone: 501-315-1121 Fax: 501-778-9120

Type of Organization: Community Action Agency

Tentative Allocation: \$180,662.36

Number of Units to be Weatherized: 36 units

Source of Labor: Crews and private contractors

Congressional District(s): 2, 4

Counties Served: Calhoun, Clark, Columbia, Dallas, Garland, Hempstead, Hot Spring, Howard, Lafayette, Little River, Miller, Montgomery, Nevada, Ouachita, Pike, Polk, Saline, Sevier, Union

**3. Community Action Program for Central Arkansas**

707 Robins Street, Suite 118, Conway, Arkansas 72034-6517

Contact: Jennifer Welter Email: [Jennifer.welter@capcainc.org](mailto:Jennifer.welter@capcainc.org)

Phone: 501-329-0977 Fax: 501-329-9247

Type of Organization: Community Action Agency

Tentative Allocation: \$63,563.66

Number of Units to be Weatherized: 13 units

Source of Labor: Private Contractors

Congressional District(s): 1, 2

Counties Served: Cleburne, Faulkner, White

**4. Crowley's Ridge Development Council**

2401 Fox Meadow Lane, Post Office Box 16720, Jonesboro, Arkansas 72403-6711

Contact: Terrie Grissom Email: [terrie@crdcnea.com](mailto:terrie@crdcnea.com)

Phone: 870-802-7100 Fax: 870-935-0291

Type of Organization: Community Action Agency

Tentative Allocation: \$143,453.47

Number of Units to be Weatherized: 29 units

Source of Labor: Crews and Contractors

Congressional District(s): 1

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

**5. Crawford-Sebastian Community Development Council, Inc.**

4831 Armour Street, Post Office Box 4069, Fort Smith, Arkansas 72914

Contact: Mark Whitmer Email: [mwhitmer@cscdcaa.org](mailto:mwhitmer@cscdcaa.org)

Phone: 479-785-2303 Fax: 479-785-2341

Type of Organization: Community Action Agency

Tentative Allocation: \$233,198.62

Number of Units to be Weatherized: 47 units

Source of Labor: Private Contractors

Congressional District(s): 3, 4

Counties Served: Benton, Carroll, Crawford, Franklin, Johnson, Logan, Madison, Scott, Sebastian, Washington

**6. Pine Bluff-Jefferson County Economic Opportunities Commission, Inc.**

817 South Cherry Street, Post Office Box 7228, Pine Bluff, Arkansas 71611-7228

Contact: Roger Lutrell Email: [rlutrell@pbjceoc.org](mailto:rlutrell@pbjceoc.org)

Phone: 870-536-0046 Fax: 870-535-7558

Type of Organization: Community Action Agency

Tentative Allocation: \$111,455.74

Number of Units to be Weatherized: 22 units

Source of Labor: Private Contractors

Congressional District(s): 1, 4

Counties Served: Arkansas, Ashley, Bradley, Chicot, Cleveland, Desha, Drew, Grant, Jefferson, Lee Lincoln, Monroe, Phillips, Prairie

**7. Pending Provider**

???, Little Rock, Arkansas 72???

Contact: ??? Email: ???

Phone: 501-???

Type of Organization: Non-Profit

Tentative Allocation: \$182,278.70

Number of Units to be Weatherized: 36 units

Source of Labor: Private Contractors

Congressional District(s): 1, 2, 3, 4

Counties Served: Conway, Lonoke, Perry, Pope, Pulaski, Yell

**8. Better Community Development, Inc.**

3805 West 12<sup>th</sup>, Suite 203, Little Rock, Arkansas 72204

Contact: Darryl Swinton, Email: [dswinton@bcdinc.org](mailto:dswinton@bcdinc.org)

Phone: 501-379-1539

Type of Organization: Non-Profit

Tentative Allocation: \$350,000

Number of Units to be Weatherized: N/A

Source of Labor: Private Contractors

Congressional District(s): 1, 4

Counties Served: Drew, Chicot, Hot Springs

## IV.2 WAP Production Schedule PY2015

Total Units (Excluding Re-weatherized)	203
Re-weatherized Units	0
<i>Unit Costs Including Reweathering</i>	\$5,000
Total Funds – Federal	\$1,668,947
Total Units to Be Weatherized	203
Total Units to Be Re-weatherized	0
Grand Total Units	203
Total Vehicle and Equipment Budget	\$0
Total Units to Be Weatherized and Re-weatherized	203
Average Vehicle and Acquisition Cost Per Unit	\$0
Total Funds for Program Operations	\$1,668,947
Cost Per Unit	\$5,000
Average Vehicle and Equipment Acquisition Cost	\$0
Total Cost Per Unit	\$5,000

## IV.3 Energy Savings & Program Impact

**Method Used to Calculate Savings:** DOE Algorithm

**Estimated Energy Savings:** 1,562 kilowatt hours (kWh) of electricity and 106 thousand cubic feet of natural gas usage per housing unit.

In 2012, the state contracted with the University of Arkansas at Little Rock to conduct an analysis of the impact of the Weatherization Program and to develop a tool to measure economic and environmental impact of weatherization activities. The results are discussed below.

### Program Impact

The Institute for Economic Advancement (IEA) at the University of Arkansas at Little Rock (UALR) has worked in cooperation with the Arkansas WAP to evaluate the statewide effects of WAP's efforts. This evaluation consisted of several parts, including a series of surveys to determine customer experience. The surveys gathered demographic information as well as characteristics of housing in Arkansas. Economic benefits were evaluated by gathering energy usage data for actual WAP customers and comparing the prior year's usage to that of the year following completion of the weatherization measures. Savings from the customer records were used to compute the average energy savings per unit. This average was applied to the total number of units weatherized from the beginning of the program in 2009 through projects completed by December 31, 2010 to generate the total energy savings of the program.

The initial study included analysis of weatherization measures that were implemented in FY2009, 2010, and 2011. The sample of houses evaluated in the analysis yielded an average annual reduction in electricity usage of 13.6 percent and 17.1 percent reduction in natural gas usage due to the weatherization measures undertaken. Approximately, 49 percent of the housing units in the weatherization programs used natural gas for water and/or space heating. These reductions in energy usage resulted in an estimated average annual savings of \$2,409,458 for all recipients of the weatherization services. Over the life of the weatherization measures, it is expected that the weatherization measures will save the recipients \$1.94 for every \$1 invested.

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

DOE funds will be leveraged with the Arkansas Weatherization Program (AWP), utility energy efficiency programs and any other additional appropriate funding sources when available.

#### **IV.5 Policy Advisory Council Members**

As required by federal regulations, a Policy Advisory Council (PAC) assists in the development and implementation of the WAP and advises the state on a broad range of issues relating to WAP. The PAC is broadly representative of organizations that provide services to low-income persons in Arkansas.

Member Representing:

Mark Whitmer – Executive Director Community Action Agency  
Andre Bernard – Local Government  
Morris F. Cranmer – Environmental and Occupational Health  
Brett Curry – Electric Cooperatives  
Keith Fountain – At Large – Banking  
TBD – Weatherization Director – Community Action Agency  
Steve Coop – Federal Housing - HUD  
Denise Jeter – Public Utility – Entergy Arkansas  
Lawrence McCullough – Housing - USDA Rural Development  
Quinyatta Mumford – Health Department  
Wally Nixon – Public Service Commission  
Kirk Pierce – Public Utilities – CenterPoint Energy  
Joe Riddle – At Large (ADFA)  
Ken Smith – At Large (Energy Trade Association)  
Gwen McLarty – Aging/Adult Services  
Roger Smith – Pulaski Technical College  
Shirley Mason – Low Income Home Energy Assistance Program

#### **IV.6 State Plan Hearings and Transcripts**

A public hearing will be held to receive public input on the Program Year 2015 State Plan at 10:00 a.m. Friday, March 20, 2015 at Pulaski Technical College, 3303 East Roosevelt Road, Room 202, Little Rock, Arkansas. Notice of the meeting was published in the statewide daily publication the Arkansas Democrat Gazette and posted on the Arkansas Economic Development Commission website at [www.arkansasenergy.org](http://www.arkansasenergy.org). It is distributed via email to all WAP program managers and agency executive directors.

#### **IV.7 Miscellaneous –**

##### **Recipient Business Officer:**

Mitchell Simpson  
[msimpson@arkansasedc.com](mailto:msimpson@arkansasedc.com)  
501-682-1060

##### **Recipient Principal Investigator:**

Andy Hendricks  
[ahendricks@arkansasedc.com](mailto:ahendricks@arkansasedc.com)  
501-682-7690

### *Other Funding Sources*

Low Income Home Energy Assistance Program (LIHEAP) funds have been directed into the weatherization program since 1982. The amount of LIHEAP funds available for weatherization during the 2015 program year is \$3,619,658.00; which represents 15% of the state's LIHEAP allocation. LIHEAP funds are received October 1 of each year and must be expended by September 30 of the following year. Additional LIHEAP funds will become available to the WAP October 1, 2015. LIHEAP funds are used in accordance with all applicable U.S. DOE and Arkansas State Plan rules and regulations.

### *Subgrantees Involved in the Leveraging and Collaboration Process*

#### **Leveraging Activities**

- (1) The Arkansas subgrantees will utilize the Arkansas Weatherization Program (AWP) a utility Demand-side Management Program approved by the Arkansas Public Service Commission.

With the implementation of the new management software system, the state will begin the first of its kind in the state Residential Carbon Trading Initiative. The National Association for State Community Services Programs (NASCCSP) Residential Carbon Trading Program creates new revenue through the sale of carbon offsets on the voluntary carbon market. The Residential Carbon Trading Initiative will help the WAP measure its environmental impact by quantifying emissions reductions and generate additional revenues to expand weatherization program services to more low income and moderate income households.

- (2) An Inter-Local Agreement with the United States Department of Agriculture Rural Development Program has signed an agreement with WAP to work on blended homes that qualify for both programs. Subgrantees are asked to utilize USDA Rural Development 504 loan and 504 grant funds on health and safety measures. This agreement allows WAP dollars to be better utilized on energy conservations measures.

#### **Collaborative Efforts:**

- (3) The state has entered into a Memorandum of Understanding (MOU) with the United States Department of Agriculture (USDA) Rural Development. This MOU will allow the state to reduce the number of deferrals and assist the Secretary of Agriculture's Poverty Initiative as well as to advance the cause of healthy and sustainable affordable housing in rural communities by enabling both parties to serve more families in more ways and in more rural areas.
- (4) The state is also collaborating with the United States Department of Housing and Urban Development (HUD) and USDA on multifamily weatherization. The state will set aside funding to address multifamily developments in the state's four Congressional Districts.
- (5) Arkansas plans to implement a WAP Pilot called AEO Community Efficiency Project (CEO). The CEO will allow the state to collaborate with the AWP and other utility funding programs, USDA and HUD. The CEO will target a community in an area of the state with high poverty and high energy burden; the state will coordinate with the municipal leadership and target income eligible clients for WAP and USDA funding. Utility funding will be leveraged with WAP and USDA funds to allow the state to complete more units. The state will collaborate with USDA and HUD to address multi-family units in the community.

Once the work is completed the community will be recognized by the state as an ***“Energy Efficient Community”***. The municipal leadership and any participants who would like to attend will be invited to participate in the Annual Weatherization Day activities where they will be formally recognized.

- (6) In addition during the Community Efficiency Project, the state will pilot its Home Energy Labeling Project using the DOE Home Energy Score for residents who are ineligible for the WAP. The Home Energy Scoring Tool will allow homeowners to compare the energy performance of their homes to other homes nationwide. It will also provide homeowners with suggestions for improving their homes efficiency.
- (7) Healthy Homes is a comprehensive approach to combat disease and injury in the home driven by scientific evidence that links substandard housing and poor health. Healthy Homes interventions take a holistic approach to coordinated mitigation of housing-related hazards, rather than addressing a single hazard at a time. This method allows Healthy Homes practitioners to address a wide array of health and safety issues, including lead poisoning, asthma (exacerbated by moisture, mold, and pests), exposure to radon and other toxic chemicals, and injury caused by old or dilapidated housing among myriad others. Healthy Homes funding is provided by several federal agencies including the U.S. Department of Housing and Urban Development (HUD), the Centers for Disease Control and Prevention (CDC), and the U.S. Environmental Protection Agency (EPA).

#### **Weatherization Plus Health: A National Effort for Local Healthy Homes Collaboration**

The U.S. Department of Energy (DOE) Weatherization Plus Health initiative is a national effort to enable the comprehensive, strategic coordination of resources for energy, health, and safety in low-income homes. The National Association of State Community Services Programs (NASCSPP) is implementing the project on behalf of DOE. Weatherization Plus Health will ensure energy efficient and healthy indoor environments by facilitating the establishment of strong, effective partnerships between Grantees of the Weatherization Assistance Program (WAP) and providers of healthy homes services.

Arkansas will work with the Policy Advisory Council (PAC) to establish a Healthy Homes Initiative.

## V. Master File

### V.1 Eligibility

AEO understands that every dwelling weatherized must meet both the client eligibility and the building eligibility requirements.

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

In accordance with 10 CFR 440.16(a), AEO understands that no dwelling unit may be weatherized without documentation that the dwelling unit is an eligible dwelling unit as provided in 440.22.

##### *Income Verification*

- A dwelling unit shall be eligible for weatherization assistance under this part if it is occupied by a family unit:
  - (1) Whose income is at or below 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget, or
  - (2) Which contains a member who has received cash assistance payments have been paid at any time during the preceding twelve months under Titles IV and XVI of the Social Security Act, or
  - (3) Who is eligible for assistance based on energy assistance payments have been paid under the Low Income Home Energy Assistance Program (LIHEAP) at any time during the preceding twelve months.
- AEO will follow DOE's Poverty Income Guidelines and Definition of Income. AEO and our subgrantees will use the revised definition of income to determine how to define income, cash receipts, exclusions, proving eligibility, child support, annualizing income, and re-certification.
- AEO acknowledges that all supporting documentation for applicants that are on a waiting list or for other reasons must have their eligibility documents updated within 30 days prior to weatherization.

##### *Procedures to Determine That Units Weatherized Have Eligibility Documentation (Household Eligibility)*

All dwelling units certified as eligible for services shall be occupied by an income-eligible household family unit with income at or below 200 percent of the poverty level, or

- which contains a member who has received cash assistance payments under Title IV or XVI of the Social Security Act or during the twelve month period preceding the determination of eligibility for weatherization assistance," or
- which contains a member which has received energy assistance payments under the Low Income Home Energy Assistance Program during the twelve month period preceding the determination of eligibility for weatherization assistance.

Such documentation can include: Payroll Stubs, Social Security Administration Award Letter, Income Tax forms, etc. Subgrantees are required to keep documentation in each client file for review during Program Compliance and Onsite Program monitoring visits by state WAP staff.

### ***Qualified Aliens Receiving Weatherization Benefits:***

U.S. DOE directs grantees to guidance provided by Health and Human Services (HHS) under LIHEAP. This guidance can be found by going to: <http://aspe.hhs.gov/hps/immigration/restrictions-sum.shtml> Subgrantees must verify qualified alien status of Weatherization Program applicants. The verification documentation is required as part of the Subgrantee Client Files.

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

### *Procedures to Determine that Units Weatherized Have Eligibility Documentation*

All dwelling units certified as eligible for services shall be occupied by an income-eligible household family unit with income at or below 200 percent of the poverty level, or "which contains a member who has received cash assistance payments under Title IV or XVI of the Social Security Act or applicable State or local law during the twelve month period preceding the determination of eligibility for weatherization assistance," or which contains a member which has received energy assistance payments under the Low Income Home Energy Assistance Program during the twelve month period preceding the determination of eligibility for weatherization assistance. Subgrantees are required to keep documentation in each client file for review during Program Compliance and Onsite Project monitoring visits by the state WAP staff.

### *Reweathering Compliance*

Homes weatherized on or before September 30, 1994 are eligible to be reweatherized. No more than 10% of a subgrantee's DOE completions may be reweatherized without approval from the state. The priority wait list will be followed in addressing reweatherized units.

### *Building Eligibility – Housing Types*

Eligible housing types include owner and renter-occupied single-family homes, manufactured (mobile) homes, and multifamily buildings.

### *State Historic Preservation Officer (SHPO) Compliance*

Prior to the expenditure of federal funds to alter any structure or site, AEO Subgrantees are required to comply with Section 106 of the National Historic Preservation Act (NHPA). Section 106 applies to historic properties or sites that are listed on or eligible for listing on the National Register of Historic Places. In order to fulfill the requirements of Section 106, the Subgrantee must contact the to coordinate the Section 106 review as set forth in 36 CFR Part 800 and consistent with DOE's 2009 Letter of Delegation of Authority.

Subgrantees are required to obtain/verify the year built for all homes prior to weatherization (typically records are located with the county assessor's office) and follow the protocol listed below prior to weatherizing a home that is 50 years old or older.

- Take a picture of the front and rear of the home;
- Draft a cover letter that states the address of the home and includes a ECOS printout, work order and pictures as attachments, request approval to complete weatherization measures.
- Letters should be mailed to: J. Eric Gilliland, Senior Archeologist and Section 106 Review Coordinator, Arkansas Historic Preservation Program, Tower Building, 323 Center Street, Little Rock, AR 72201.

The SHPO has 30 days to review the information and render a decision as to whether or not the measures will change the historic nature of the property.



### *Rental and Multifamily Building Procedures*

Rentals may be weatherized when occupied by an eligible client <sup>3</sup>, and:

<sup>3</sup> See V.1.1 Approach to Client Eligibility

- The subgrantee has written permission from the owner or his agent. Such written permission shall be permanently maintained in the file of the client whose unit is weatherized.
- The benefits of weatherization assistance will accrue primarily to low-income tenants.
- Not less than 66 percent (50 percent for duplexes and four-unit buildings) of the dwelling units in the building are eligible dwelling units or will become eligible dwelling units within 180 days under a Federal, State, or local program for rehabilitating the building or making similar improvements to the building.
- The subgrantee must obtain and place in the client file a signed agreement from the landlord (or authorized agent of the landlord) that states that for a minimum of twelve (12) months after weatherization work has been completed on a dwelling, the tenants in that dwelling will not be subjected to rent increases because of the increased value of dwelling units due solely to weatherization assistance provided under this part.
- No undue or excessive enhancement shall occur to the value of the dwelling units.
- In the event of a dispute between the tenant and property owner regarding the issues listed above, the subgrantee will attempt to resolve the dispute; if that fails, the tenant will be referred to legal aid by the subgrantee.
- In the case of a vacant rental dwelling, weatherization assistance may be provided if there is assurance that a low-income household will inhabit the dwelling within 180 days of the date the weatherization service was completed.
- The Arkansas Weatherization Assistance Program does not seek property owner agreements for placement of liens nor does it use other contractual restriction.
- Subgrantees will provide copies of the signed Landlord Agreements to the tenants and ensure that documentation is placed in the Subgrantee Client File.

### *Multi-family Buildings*

The total amount of funds that can be invested in a multi-family project is determined as follows: Multiply the total number of income-eligible units in the multi-family building by the current statewide average cost per unit. The total is the maximum amount of DOE funding available to weatherize the building. All units in the building can be served and all units should be reported to DOE.

### *Deferral Process*

There are conditions and situations under which a subgrantee must not or may choose not to weatherize an otherwise eligible dwelling unit. Information for making this determination may become evident during either the eligibility process or during the initial inspection process. The Arkansas WAP Deferral policy is part of the Health & Safety plan found in the Arkansas Subgrantee Operations Manual, Chapter 7 Technical Standards and Best Practices, VI. Health & Safety.

### **V.1.3 Definition of Children**

Children are defined as those individuals under the age of 19.

### **V.1.4 Approach to Tribal Organizations**

Low-income members of Indian tribes will receive benefits equivalent to the assistance provided to other low-income persons within Arkansas. Arkansas has no identified Indian Tribes.

## **V.2 Selection of Areas to be served**

Current service areas are predominantly based upon the historic boundaries of the state's community action agencies (CAA's). This was done for two reasons. Traditionally, Arkansas subgrantees have been CAA's and in general, these boundaries were their operational boundaries. Second, this approach enables CAA's to use existing outreach structures to recruit eligible clients. However, the State reserves the right to re-designate weatherization service areas. As a result of the re-bid of the service delivery network, the state has changed the service delivery areas. The state reserves the right to change the service delivery areas during a program year should production of homes or service to eligible clients become deficient in any given service area for the Weatherization Assistance Program. The state reserves the right to operate, on a temporary basis, the Weatherization Program in the territory of any defunded subgrantee. This will be done to ensure continued service to an area during the search for a new subgrantee.

The state reserves the right to issue a Request for Qualifications (RFQ) at any time during the program year.

Generally, eligible entities that wish to become a subgrantee under the Weatherization Assistance Program must notify the state by January 15 of their interest in becoming a subgrantee for the program year beginning July 1 of that year. The state will, upon receiving written notification of intent to apply for subgrantee status, provide to the potential applicant an application package containing, but not limited to requests for: Articles of Incorporation, Mission Statement, key agency personnel, Board of Directors and representation, two most recent Certified Public Accountant audits, organizational chart, and proposed staffing levels. The application must also address:

- The organization's experience, performance and training in weatherization or housing renovation activities;
- The organization's experience in assisting low income persons in the area to be served; and
- The organization's capacity to undertake a timely and effective weatherization program.

The completed application must be returned to the state by February 15 of that year. The state will hold a public hearing for all potential subgrantees prior to April 15 of that year.

## **V.3 Priorities for Service Delivery**

Eligible clients will receive weatherization assistance in Arkansas according to the following priorities:

1. Elderly persons (60 years of age or older)
2. Persons with disabilities
3. Families with children (children under six years of age)
4. High residential energy users, and
5. Households with a high energy burden.

The term "disabled person" means any individual who: has a physical or mental disability which constitutes or results in a substantial handicap to the individual's employment; or has had a record of having, or is regarded as having a physical or mental impairment which substantially limits one or more of the individual's major life activities; or has a disability which would make the individual eligible to receive

disability insurance benefits or Supplemental Security Income from the Social Security Administration or developmentally disabled assistance from the Department of Health and Human Services; or is a veteran or surviving spouse, child, or dependent parent of a veteran receiving compensation from the Veteran’s Administration for a service connected disability or death; or is a veteran or surviving spouse or child of a veteran receiving a pension from the Veteran’s Administration because of a non-service connected disability; or is a veteran receiving a pension from the Veteran’s Administration because of being on a Medal of Honor Roll of one of the military services.

The term “high energy burden” means households with the lowest income and highest home energy costs or who pays more than 15% of their total income of energy bills. Other categories of high energy burden households can include any individual who: (1) has received energy assistance payment from the Low Income Heating Assistance Program within the last twelve months, (2) is considered a “no-heat” households who could not afford to maintain their utilities, (3) are considered “vulnerable” clients, such as clients with asthma or other health concerns, or households with children.

The term “high energy-user” refers to households that are regulated utility users whose energy consumptions are considered over average consumptions.

**Drawing from a Waiting List**

AEO’s first priority will be applicants that fall within the priority categories. Applicants that are within the same priority category will be selected next on the waiting list according to date of application submission (by county). As a rule, within an individual county, a lower priority client should never be served prior to a higher priority client. Applications may also be given service with timing to coordinate services with another funding source.

Subgrantees must document irregularities in the selection of clients. Subgrantees are authorized to develop procedures for addressing applications that have aged for more than twelve (12) months because of lengthy waiting lists in individual counties.

**Prioritization of Single Family Homes and High Energy Users**

Single-family homes remain the primary target of the Arkansas Weatherization Assistance Program. Subgrantees have been authorized to develop procedures to prioritize client households based on their energy burden.

**V.4 Climatic Conditions**

Total heating degree-days in Arkansas range from a high of 5,708 in the northwestern corner of the State to a low of 4,555 in southeastern Arkansas. The average heating degree-days are 30 year averages that have been supplied by the National Oceanic and Atmospheric Administration. In counties without reporting stations and some without complete data for 30 years, data from nearby stations was utilized.

Black River Area Development Council	5,458
Central Arkansas Development Council	4,961
Community Action Program for Central Arkansas	5,276
Crowley’s Ridge Development Council	5,291
Crawford-Sebastian Community Development Council	5,331
Pine Bluff-Jefferson County Economic Opportunities Commission	5,064
TBD	5,182

## V.5 Types of Weatherization Work to be Implemented

Beginning Program Year 2015, Arkansas will use the Energy Conservation Online Software known as ECOS to mandate measures to be installed on all homes, site built, manufactured and multifamily homes. Subgrantees should install all measures that have an individual and cumulative SIR of 1.0 and above to the maximum cost per unit as established by the state.

The primary goal of the weatherization program remains the conservation of energy. Please see Arkansas's Weatherization Priority Measures and Work Standards. Primary emphasis is on insulation, lighting and air sealing.

### FRAME, MASONRY AND MODULAR HOUSING

Health and Safety Measures  
General Heat Loss Measures  
Envelope Insulation Measures  
Electric Baseload Measures  
Window Measures

### MOBILE HOMES

Electric Baseload Measures  
Health and Safety Measures  
General Heat Loss Measures  
Envelope Insulation Measures  
Window Measure

## V.5.1 Technical Guides and Materials

Arkansas has adopted the Standard Work Specifications Field Guide "Deck of Cards" maintained on an on line system by Santa Fe Community College ("SFCC"). The SWS Deck of Cards Field Guide (issued 2014) will replace our existing Arkansas Weatherization Assistance Program Field Guide. The Standard Work Specification Deck of Cards (SWSDC) is considered the Gold Standard by DOE for compliance with the SWS. The SWSDC is comprised of a set of PDF documents ("cards") that incorporate the National Standard Work specifications (SWS), which define performance requirements for a particular task, into the a Department of Energy (DOE) Weatherization Assistance Program (WAP) field guide to be used as a tool for weatherization services training, implementation and inspection. Each "Card" in the "Deck" addresses the elements of an individual Standard Work Specification (SWS), providing both written instructions and photographic illustrations for performance of the SWS.

### o **Providing An Electronic Link**

Prior to the beginning of program year 2015 the SWS Field Guide will be available to subgrantees via Energy Conservation Online System (ECOS). It will also be available to subgrantees and direct hire contractors through a link at the Arkansas Economic Development Commission, Arkansas Energy Office website. A third access option to contractors and subgrantees through the NREL website and they will be able to download them as a complete field guide as a pdf which can be emailed or printed out.

- Arkansas Weatherization Assistance Program has opted to have Center of Excellence Green Building/Energy Efficiency (Santa Fe Community College), the creators of the Deck of Cards, to customize the SWS Deck of Cards to our region. We invited our local stakeholders (WAP employees, subgrantees, and WTC staff) to review the existing cards for state customization. Final review was concluded on March 20, 2015. The goal is for the Center of Excellence to complete the customization by the beginning of the 2015 Program Year.

- **Documenting the Process for Distribution**

The AEO will send each subgrantee one copy of the SWS Deck of Cards via certified mail. Each subgrantee must sign for delivery. The United States Postal Service will send us a copy of the signature cards which will be our written verification that the subgrantees have received a copy. As a reminder, the SWS Deck of Cards will be available throughout the 2015 Program Year and beyond on three (3) different web links. Likewise, subgrantees will have their direct hires sign-off that they have received a copy of the SWS Deck of Cards at the time of their contract signing. Subgrantees will then send to AEO a copy of the sign-offs for each of its direct hires.

**AEO's Statement of Assurances on *Language within all Subgrantee Agreements & Vendor Contracts***

The AEO will ensure that all subgrantee agreements and subgrantee direct hire contractor's contracts will contain language which clearly specifies that all work performed will be of a quality outlined in WPN 15-4, Section 2.

The language clearly documents the following:

- (1) written verification from subgrantees stating they understand that work quality standards must align with the SWS;
- (2) that each subgrantee's direct hire is aware of these standards and
- (3) they all must sign off that they have received a copy of the SWS Deck of Cards.

**AEO's Declaration Statement of Using the Appropriate Audit & Materials to Be Used**

All work will be performed in accordance with our DOE-approved Energy Audit procedures and all materials will be approved materials specified in the 10CFR 440 Appendix A.

- **Language in Subgrantee Agreement**

In 2013, AEO revamped its subgrantee agreements which incorporated clarifying language which stated the expectations for work quality and how the subgrantee's direct hire contracts must specify the same.

See a copy of the Subgrantee Agreement and an example of the Subgrantee's Contractor's contract.

- **Describe Mechanism Used**

The mechanism AEO will utilize to verify that subgrantees understand and agree to expectations of work performed will be via the subgrantee's signature on the contract documents.

## **V.5.2 Energy Audit Procedures**

In accordance with the 10 CFR 440.21 (i), all Grantees must resubmit their audit procedures to DOE for approval every five years. In March 2014, AEO submitted the Energy Conservation Online System (ECOS) for review and approval. The software was submitted to Glen Silas for review. A second submission was submitted on August 11, 2014. Erica Burrin submitted a notification to AEO on final approval of the software on December 22, 2014.

### **Single Family Energy Audit**

Energy Conservation Online Software will be utilized to audit single family homes. Site specific audits must be run on all single family homes weatherized with Arkansas weatherization Assistance Program funds.

## **Manufactured Housing Energy Audit**

Energy Conservation Online Software will be utilized to audit manufactured housing. Site specific audits must be run on all mobile homes weatherized with Arkansas weatherization Assistance Program funds.

## **Multifamily Energy Audit**

AEO will utilize NEAT on its garden-style, single story fourplexes which make up a multifamily complex; the MulTea (once available) will be used on any multifamily complexes that are high rises.

In the event that AEO falls below the 20% threshold in servicing multifamily units and the MulTea is not yet available, AEO will:

- **Multifamily Units Receiving Cost-effective Measures**

The AEO budgeted funds specifically for servicing multifamily complexes. AEO's newest service provider will only service multifamily complexes throughout the entire state. Our goal is to service at least one complex within each of our four congressional districts.

Ten percent (10%) of the total number of units that make up each multi-family complex will have a site specific audit ran. This sampling will create a priority list including health and safety measures for the entire multifamily complex.

In the event that additional ECMs or health and safety measures are needed on non-sampled units, those measures will be itemized and adjustments to the work order for that unit will be noted. The same holds true if measures are listed for a unit and that specific unit does not need the measure, adjustments will be noted and deducted from the total cost of the job.

- **Project Officer Review Prior to Commencing Work**

AEO will submit to our Project Officer all pertinent materials to approve the multifamily project prior to commencing weatherizing the building. AEO will submit Auditor's Input Sheets, Recommended Measures Output Report, etc., for a case-by-case approval.

AEO estimates that the number of multifamily complexes it will weatherize during the 2015 Program Year will not represent more than 20% of AEO's building type.

## **Describing the Approach for Multifamily Service Delivery**

The AEO has signed MOU's with both the local-level HUD Office and the USDA Rural Development Office to develop partnerships with a goal of weatherizing multifamily complexes throughout the state of Arkansas. The AEO will utilize HUD's pre-approved list for multifamily complexes and USDA Rural Development is offering funds for a blended service approach. Pre-audits have already been conducted on three potential complexes. A more detailed analysis must be conducted to determine the site-specific needs.

## **AEO's Verifying Statement for Project Approval**

The AEO understands the approval process for multifamily complexes begins with submitting all pertinent material (Auditor's Input Sheets, Recommended Measures Output Report, etc.) to the Project Officer for approval. The Project Officer will review material and determine approval or denial on a case-by-case basis.

### **V.5.3 Final Inspection –**

#### **Inspection and Monitoring of Work Using Guidelines and Standards**

DOE requires that Quality Control Inspectors working for the WAP possess the knowledge, skills and abilities in the National Renewable Energy Laboratory (NREL) Job Task Analysis for Quality Control Inspectors. This requirement applies to all individuals who perform an evaluation and sign off on work performed in homes including final inspectors and state monitoring staff.

For Program Year 2015, the state will ensure that QCI competency is demonstrated by mandating certification as a Home Energy Professional (HEP) Quality Control Inspector (QCI). The state will require that each Program Monitor become certified as a HEP QCI and/or the state will hire a third-party contractor with the HEP QCI credentials. Each subgrantee will employ or contract with a Certified Home Energy Professional Quality Control Inspector. And because the state is ultimately responsible for ensuring that every unit reported to DOE meets the work quality guidelines required by the WAP, subgrantees must include in their application package the credentials of all staff employed as a QCI and of any third party organizations engaged to conduct QCIs.

#### **AEO's Final Inspection & Assurance Statement**

Beginning in Program Year 2015, the Arkansas Energy Office will require that every DOE WAP unit reported as a "completed unit" must receive a final inspection by a certified QCI ensuring that all work meets the minimum specifications outlined in the SWS in accordance with 10 CFR 440.

- Units will be inspected using criteria found in the specifications outlined in the *Work Quality* section of this plan.
- Every client file will have a form that certifies that the unit had a final inspection and that all work met the required standards. The certification will be by a certified QCI. Signatures will meet the requirement. If a unit has received both a final inspection and has also been monitored by the state, two certification forms will be available in the client file - one for each inspection.
- The Quality Control Inspection will include an assessment of the original audit and confirm that the measures called for on the work order were appropriate and in accordance with the state audit procedures and protocols approved by DOE.

#### **The Use of Quality Control Inspectors**

Arkansas has elected to implement one of the DOE standard options for administering quality control inspections- Independent QCI: the QCI is the individual that has no involvement in the work on the home either as the auditor or as a member of the crew. Each subgrantee must have a certified QCI on staff or must have a third party certified QCI perform final inspections on each unit prior to submitting the unit as a "completed unit" to the state.

The state or a DOE approved representative (third party certified Quality Control Inspector) will perform quality assurance reviews on at least 5 percent of all completed units. If the subgrantee does not have a certified QCI on staff they will be allowed to contract with a state approved certified QCI.

To ensure the individual who is functioning as the quality control inspector is able to consistently perform both tasks, the state has developed a quality assurance plan that requires the individual complete the Quality Control Inspector training at an accredited WAP Training Center and be a certified Quality Control Inspector (QCI).

## **Ensuring Sufficient Quality Control Inspectors (QCI)**

To ensure that there are a sufficient number of certified individuals available to meet the requirements of this section, the state has developed a training and certification plan as described in section V.8.4:

The WAP has been providing Quality Control Inspector Training for its subgrantee network since 2012. During this time there have been numerous tier 1 trainings at our Weatherization Training Centers to prepare our Quality Control Inspectors for certification. The QCI training ensures that all pertinent personnel will possess the Knowledge, Skills and Abilities in the National Renewable Energy Laboratory (NREL) Job Task Analysis (JTA) for Quality Control Inspectors.

We have seven subgrantees and the current breakdown of QCI among these seven subgrantees is as follows: Three agencies have one QCI. One agency has two QCI. Three agencies do not have a certified QCI.

QCI training is on-going for subgrantees: (1) whose staff has not passed the test as of the date of this submission, (2) have not taken the test yet, or (3) subgrantees who wish to have multiple employees certified. If some subgrantee's final inspectors fail to pass the QCI certification by July 1, 2015, they will contract with another agency or independent QCI to complete the final inspections.

## **Policy & Procedures for Inadequate Inspection Practices**

Effective PY 2015, Arkansas will implement policy and procedures to address situations when the QCI is not inspecting units using the standards adopted by the state and consistent with SWS. This policy will include disciplinary action that will result in the disallowance of the unit for reimbursement until the final inspection is conducted by a QCI and additional monitoring to ensure that state protocols are consistently followed. If state protocols are not consistently followed, the subgrantee risks the state reducing their funding allocation and using the funds to hire a third party QCI or having funds reallocated to another subgrantee.

## **Quality Assurance Inspection Form**

A copy of the Quality Assurance form can be found in the attachments.

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

The State of Arkansas is concerned that all entities that participate in the program be qualified and has sufficient ability to effectively deliver a quality product to the citizens of Arkansas. The following evaluation system has been developed to analyze current subgrantee performance and to assess viability for continued participation in the weatherization program.

- **On-site Inspections of Weatherized Units:** State program monitors will inspect between 10% of completed units for each subgrantee.
- **Program Monitoring:** A Program Compliance onsite monitoring visit is conducted for each subgrantee annually. The visit focuses on fiscal and administrative compliance with all applicable federal and state WAP rules and regulations.
- **CPA Audits:** Each subgrantee must submit a satisfactory CPA audit within 13 months of the end of their fiscal year. Audits are reviewed by the state staff.



- **Productivity:** each subgrantee must maintain a rate of production to ensure that all USDOE WAP funds are expended in a timely manner each program year.
- With the implementation of ECOS, the state will be able via a dashboard to view deficiencies/ findings by subgrantee, measure, and by vendor. The software can generate a breakdown on pass or fail data, number of reworks, disallowance, etc.
- This dashboard/bird's eye review will help dictate and develop all future training, including both Tier 1 and Tier 2 based on finding results and priorities.
- AEO contracted with our WTC to conduct a site and field visit with our subgrantees in order to access every technical employee KSA as it relates to the JTA. This baseline assessment dictates a continuous improvement plan for the network on an individual level.
- 
- ECOS allows for the development of comparison to show productivity levels, spending and energy savings between subgrantees.
- AEO is tracking subgrantee performance via field monitoring reports, ECOS software, and WTC training tracker and testing results.
- For improvement plans, please refer to the Quality Management Plan, section 2.
- AEO reviewed the system currently used by Grantee and Subgrantee for technical and financial management. In 2015, AEO will be implementing a new software, ECOS which is a technical and financial system. As well as implementing a new technical field guide, SWS Deck of Cards.
- Grantee staff reviews all bids each program year during our regular procurement process. As a part of this process, subgrantee must seek competitive bids for contracted services. Grantee staff analyzes the data across the network and across services. Whenever possible, contractor-sharing is encouraged.

## **V.7 Health and Safety Plans**

Please see 2014 Arkansas Operations Manual, Chapter 7 Technical Standards and Best Practices for Arkansas's WAP Health and Safety plan. Historically, Arkansas has limited H&S investment of 15 percent of the cost per unit.

## **V.8 Program Management**

Please see a copy of Arkansas' Quality Management Plan for complete details.

### **V.8.1 Overview and Organization**

The weatherization program is administered by the state, an independent state agency. Beginning with Program Year 2015, the state will implement a new program management system called the Energy Conservation Online System or ECOS. ECOS supports the US Department of Energy's state administered Weatherization Program and will allow the state to combine the WAP with other state and regionally financed energy conservation programs. The ECOS application is a comprehensive management

information system that extends from client selection and energy audit to final billing and monitoring of weatherization jobs. The core of ECOS is a U.S. DOE-approved residential energy audit application and integrated job-costing and management system that generates work orders in addition to providing inspection tools to capture test results and track changes as the job proceeds to completion.

ECOS provides the tools to manage all critical business processes of the weatherization program. Additionally, the software application captures and stores all critical health and safety data about a home including moisture issues, mold issues, air quality, CO2 levels and more. It can and will be updated to reflect program changes at the state and federal levels. The application is customizable for any state or local agency.

## **V.8.2 Administrative Expenditure Limits**

The State Energy Efficiency Programs Improvement Act of 1990 permits subgrantees receiving less than \$350,000 in federally appropriated Low Income Weatherization Assistance Program funds to receive up to an additional 5% share of administrative funds. However, due to the federal requirement that limits administration to a maximum of 10%, the state would have to reduce its 5% share in order to allow the subgrantee network an additional amount for administration. To do so, would impact the state's ability to administer the program and therefore, is not an option.

## **V.8.3 Monitoring Activities**

To ensure quality workmanship throughout the State, The state implements a comprehensive project and program compliance monitoring strategy. The WAP Network of subgrantees provides access to weatherization services in each of the state's seventy-five (75) counties based on the relative need of the low-income population residing in each county of their service area.

Monitoring consists of visits to subgrantees to review program administration and compliance functions as well as onsite visits to inspect weatherized homes. The state performs annual Program Compliance Monitoring including a review of fiscal and administrative systems to assure compliance with all applicable rules and regulations. Program Monitors conduct monitoring and technical assistance centered on monthly site visits to work sites and completed weatherized homes during several phases of project implementation.

For complete details see our Quality Management Plan, section 1.

See Grantee staff listed in section 1. Grantee staff is listed by name, title, credentials/educational levels, certifications, etc.

Program Manager is paid out of the Administrative budget.

Financial Manager is paid out of the Administrative budget. The amount estimated for travel for monitoring visits is at \$5,000.

Technical Manager is paid a portion out of the Administrative and T&TA budgets. The amount estimated for travel for monitoring visits is at \$13,590.

Compliance Manager is paid a portion out of the Administrative and T&TA budgets. The amount estimated for travel for monitoring visits is at \$6,830.

## AEO's Final Inspection & Assurance Statement

Beginning in Program Year 2015, the Arkansas Energy Office will require that every DOE WAP unit reported as a “completed unit” must receive a final inspection by a certified QCI ensuring that all work meets the minimum specifications outlined in the SWS in accordance with 10 CFR 440.

Monitoring Activity	Monitoring Goal
Onsite Inspection of Completed Units	5% of all completed units for each subgrantee
Quality Control Inspections	Minimum of 4 per quarter
Onsite File Review	File review for each completed project that receives an onsite inspection during annual Program Compliance Monitoring
Program Compliance Monitoring	Annually - Program compliance monitoring consists of a financial review and a systems monitoring.
Lead Safe Weatherization	Minimum 1 per quarter/per contractor or crew
Desktop Energy Audit Review	10% of units submitted for reimbursement

<b>AEO Program Monitoring and Compliance Strategy</b>				
Type of Monitoring/Review	Purpose	Conducted by:	# of Units	Frequency
Onsite Inspection of Weatherized Homes	Inspection of completed projects that are submitted to the state for reimbursement	WAP Program Monitors	5% of all completed units for each subgrantee	Quarterly or as needed to reach targeted number of units per subgrantee. Monitoring will occur tentatively in Sep., Dec., Mar., early Jun.
Quality Control Monitoring	Accompany subgrantee Quality Control Program Inspector on final diagnostic testing and monitoring of unit prior to submittal for reimbursement to the state	WAP Program Monitors	A minimum of four per subgrantee	Quarterly or as needed to reach targeted number of units. Monitoring will occur tentatively in Sep., Dec., Mar., early Jun.
File Review Monitoring	On-site review of subgrantees reviews	WAP Program Monitors	100% of weatherized homes that receive an onsite inspection	Quarterly or as needed to ensure that file review is completed for every unit inspected by a Program Field Monitor. ECOS is web-based on this monitoring can occur on a monthly basis.
Lead Safe Weatherization	Assure that lead-safe procedures are implemented as required	WAP Program Monitors	At least 1 (one) per quarter, per contractor or crew.	At least once per quarter/per subgrantee and per crew/contractor. Monitoring will occur tentatively in Sep., Dec., Mar., early Jun.
Program Compliance Monitoring	Comprehensive review of subgrantee program administration	Finance Manager	Ensure 5% of all completed units are monitored.	At least once annually beginning in Mar – Jun.
Energy Audit Review	Review energy audits submitted with reimbursement requests to ensure all energy efficiency measures are identified and implemented and SIR's for appropriate measures	JAI Software Management Team	10% of all completed units	Monthly sample from Reimbursement Requests

### *Inspection of Weatherized Homes*

Program monitoring consists of the inspection of recently weatherized houses. Some subgrantees will be monitored each quarter, while others are monitored more frequently or infrequently depending on production and identified needs to address quality and/or health and safety concerns. The goal is to inspect five (5) percent of weatherized homes for each subgrantee; however, the state will monitor additional units in progress to ensure work quality; therefore, if deficiencies are noted, the percentage could increase to ten (10) percent of all homes weatherized.

### *Quality Control Monitoring*

State Program Monitors will accompany subgrantee crews and contractors as they conduct final quality control inspections. This provides the opportunity for the state to provide technical assistance with weatherization techniques such as CAZ (combustion area zoning) and air sealing.

### *File Review Monitoring*

State Program Monitors complete an onsite file review for every weatherized home that is inspected.

### *Lead Safe Weatherization Site Visits*

State Program Monitors will make periodic unannounced site visits to homes that are being weatherized to observe that the required lead-safe work practices are being used by crews and contractors. This is an opportunity to clarify and demonstrate best practices related to lead-safe weatherization.

### *Program Compliance Monitoring*

The state believes monitoring is an extremely important aspect of weatherization program management. A successful monitoring program improves subgrantee operations, identifies problems early enough for corrective action, and promotes quality work. The state considers monitoring to be an assessment of subgrantee performance in fulfilling program objectives.

A Program Compliance monitoring will be conducted annually with each subgrantee. Program compliance monitoring consists of a financial review and an administrative monitoring.

The financial review will include:

1. A check of the contract files against contract procedures
2. Sample journal entries
3. Inventory reconciliation
4. Cost categories
5. Administrative expenses

The program administration review will include:

1. The outreach support level and client application process
2. Reviewing client files for compliance with all federal and state Weatherization Assistance Program rules and regulations regarding mandated documentation of: household income, client certification of eligibility, owner/landlord permission for weatherization, rent declaration, fuel release statement, inspection statement, a complete Building Check & Job Order form, site-specific audit, complete material cost information, funding source designation, final quality control inspection and client release
3. Client certification and prioritization system
4. Inspection/quality control systems
5. Subcontracting system
6. Review of goals for serving elderly, disabled, Native Americans, and renters
7. Review of procurement systems

A minimum of ten percent (10%) of the client files of all DOE and LIHEAP units completed in the twelve (12) months prior to the Program Compliance Monitoring visit will be examined. The state staff will review subgrantee management systems to ensure compliance with rules, regulations, and mandated file documentation. Material records shall be examined and inventory will be inspected to verify the adherence to Federal specifications. The financial review will encompass the examination of all completed programs not previously reviewed.

The state will issue a report to the Agency Executive Director and the Weatherization Program Director detailing the monitoring findings along with recommendations for subgrantee improvement. The subgrantee is required to respond within thirty (30) calendar days with a corrective action plan that includes steps to be taken to address findings identified during the onsite monitoring. The state Program Monitors and staff will follow-up during onsite visits to ensure that the corrective actions are implemented as directed.

#### *Energy Audit Review*

The state will use the JAI ECOS Management Team to review five (5) percent of the energy audits that are submitted for each weatherized home. The audits will be reviewed to ensure that the appropriate audit tool is used and the inputs are correct to maximize the weatherization measures that are implemented in the home.

### **Resolutions Strategies**

Monitoring report list recommendations and/or required actions when deficiencies, issues, and/or concerns are found. Each recommendation and required action is based on policies, procedures and/or regulations which are quoted in the left column of the monitoring letter.

Please see Subgrantee Operations Manual for how agencies receive ratings based on performance on page 91 - 101. Also listed in the Subgrantees Operations Manual are the steps for disciplinary action and/or removal of a subgrantee on page 104.

### **V.8.4 Training and Technical Assistance**

Continuing in Program Year 2015, the state Training Plan will require comprehensive training for all WAP workers that is aligned with National Renewable Energy Lab (NREL) Job Task Analysis (JTA) for the position which the worker is employed.

The Training Plan will address two distinct categories, Tier 1 and Tier 2 Training. The plan reflects feedback from the DOE field visits, Arkansas monitoring visits and contractor analysis.

The Training Plan will address two distinct categories, Tier 1 and Tier 2 Training.

**Project 1.1:** Tier 1 Training: Comprehensive, occupation-specific training which follows a curriculum aligned with the JTA for the occupation. The Tier 1 training will be administered by a IREC for the JTA being taught. All Weatherization staff will receive Tier 1 training.

#### **Tier 1 - Installers**

Site Built- by the end of 2015

Weatherization Health & Safety-2016

Mobile Home-2017

Obtain BPI certification-2017

**Tier 2** (These needs were identified via DOE and State monitoring visits)

Duct sealing  
Crawlspace air sealing and insulation  
Mobile Home Insulation tactics  
OSHA 10 and EPA lead certifications

**Tier 1 - Crew Leaders**

Complete Installer Requirements  
Complete Crew Leader training program  
Obtain BP! Credentials All completed in a three year time frame with training each year

**Tier 2**

Duct sealing  
Crawlspace and air sealing  
Mobile Home Insulation  
OSHA 10 and EPA lead certification

**Tier 1 - Auditors**

Intermediate – Program year 2015  
Auditors must complete training every three years. At least once every three years they must attend a nationally recognized home energy training conference and participate in a complete track of training sessions.. Certificates will prove participation.  
Obtain certification by 2017

**Tier 2**

ASHRAE 62.2 2013  
Zonal Pressure Diagnostics and Air Sealing  
IR Camera and Insulation assessment techniques  
OSHA 10 and EPA lead certification

**Tier 1 – Quality Control Inspector**

Quality Control Inspector by beginning of 2015  
Completion of requirements and QCI certification  
These will be completed every three years

**Tier1**

Intermediate  
Quality Control Inspector  
Field work

**Tier 2**

ASHRAE 62.2 2013  
Zonal Pressure Diagnostics and Air Sealing  
IR camera and Insulation assessment techniques  
OSHA 10 and EPA certification

Quality Control Inspectors will complete the required continuing education units to maintain BPI certification.

## **Weatherization Directors or Financial Managers**

Although there are no Tier 1 or Tier 2 requirements as state in WPN 15-4 for Weatherization Directors or Financial Managers. Arkansas developed training for them to help ensure the workforce is well trained in their specific duties.

## **Weatherization Directors**

Milestone: Complete Tier 1 training designed for Retrofit Installers end of 2015 program year

Training for Crew Leaders by end of 2016 program year

Training for Energy Auditors by the end of program year 2017

At least once every three years attend a NASCSP training Conference and complete a track of sessions.

## **Tier 2**

WAP Administrative Training

OMB Circular training

OSHA 30 and EPA lead certification

JAI software

## **Financial Managers:**

JAI Software 16 hours

Financial Toolkit

OMB Circular Training

The state combines comprehensive field monitoring with an extensive training and technical assistance program to identify areas weakness to improve work quality and delivery of program services and to correct subgrantee administrative and management problems. Field monitoring also provides an opportunity for on-site training and technical assistance and the identification of areas where more extensive training is needed.

## *Subgrantee Monitoring<sup>4</sup>*

4 See V.8.6 for WAP Monitoring Strategy

Two Program Monitors and a Financial Manager are responsible for monitoring and evaluating the operation of the WAP program at the subgrantee level as outlined in the State Plan.

## *Technical Assistance*

Each weatherization subgrantee is assigned a WAP Program Monitor on a rotating basis that is responsible for completion of the inspection and technical assistance activities that are part of the Program Monitoring and Compliance Strategy. Technical assistance provided may include but is not limited to: staff training, policy interpretation, state plan clarification, working with subgrantees to address deficiencies and training subgrantees on new weatherization techniques.

## *State Staff Training*

Training is essential for staff development and is provided on an ongoing basis to upgrade the quality of service delivered by the WAP Program Monitors. Each monitor will be required to complete the QCI training and become a Certified Home Energy Professional. Monitors are also expected to research and attend training opportunities offered through the Arkansas WAP Training Centers, which will enable them to gain additional knowledge and skills in: weatherization technology, furnace technology and diagnostic equipment.

## *Lead Safe Weatherization Training*

Lead safe weatherization training will be offered through the Arkansas WAP Training Centers during the 2014 Program Year. The state will continue to ensure that WAP Network contractors and crew receive training and ongoing technical assistance regarding the RRP and Lead-Safe Weatherization Work

Practices through the WAP Training Centers and through monthly site visits to observe Lead Safe Weatherization Practices of crews and contractors.

#### *State Technical Working Group*

The Weatherization Director from each subgrantee will attend meetings with the state WAP staff to discuss technical issues, specific problems, innovative solutions, and program direction. The Weatherization Training Centers, WAP Directors and Program Monitors will make up the State Technical Working Group which will meet during the 2014 Program Year Annual Grant Guidance and during the Annual WAP Training Conference to discuss training needs, updates on Weatherization Installation Measures and Standards, including Health & Safety.

#### *Arkansas's WAP Training Centers*

The accredited training component of the DOE Guidelines for Home Energy Professionals project guarantees the existence and availability of high quality standardized training programs within the home energy upgrade industry. To ensure that Arkansas is in compliance with these guidelines, the state has contracted with two community colleges to establish a training network strategy that will assure training availability throughout the State using the U.S. DOE curriculum and is supplemented with a series of in-depth topical trainings that are identified during the 2014 Program Year.

North Little Rock Weatherization Training Center is accredited by the Interstate Renewable Energy Council (IREC). The accredited training programs ensure that individuals receive the proper training to become certified Home Energy Professionals and to do the quality work that is defined in the standard work specifications

Both training centers have provided weatherization training classes including Installer Fundamentals, Installer Intermediate, Crew Chief, Energy Auditor, Mobile Home Weatherization, Home Energy Auditing, CAZ, Lead-safe Weatherization, and Renovate Right Protocol (RRP).

Ongoing training and direct technical assistance will be provided on subjects such as combustion area zone (CAZ) testing, air sealing techniques, implementation of ASHRAE 62.2, identification of health and safety conditions such as mold and moisture, the OSHA 10 and 30 hours trainings are among those that will be provided at least once to each subgrantee in the 2014 Program Year.

First priority to attend the trainings is reserved for the Arkansas WAP subgrantee staff and contractors. Training is delivered through a site-based center in North Little Rock, Arkansas and a mobile training center that serve other community college sites across the state. The schedule through June 30, 2015 is not finalized but will include testing for the Home Energy Professional Quality Control Inspector Certification Testing. The delivery of training will also be dependent on the amount of funds allocated for training and technical assistance activities from the USDOE.

#### *Subgrantee Training and Technical Assistance*

Each subgrantee will receive an allocation of funds to help offset the cost of their inspector and crew workers while attending training or to provide training for their weatherization staff and/or contractors.

#### *Consumer Education and Outreach*

The educational component has been designed to enhance program participants' understanding of home energy efficiency improvements, to increase energy savings, and to contribute to the ongoing effectiveness of installed weatherization measures. Educational materials have been prepared by the state (a calendar with tips to save energy) and training has been provided to our subgrantees. The state will continue to require WAP subgrantees to provide client education to each WAP client. Subgrantees will be required to provide (at a minimum) educational materials in verbal format to the client along with the calendar as a leave behind.



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

Arkansas will not use any grant funds for energy crisis relief during the 2015 Program Year.