



**MINUTES AND MEMORANDA OF A MEETING
OF
THE BOARD OF DIRECTORS OF THE
INDIANA HOUSING AND COMMUNITY DEVELOPMENT AUTHORITY**

Held: September 22, 2022

A regular meeting of the Board of Directors of the Indiana Housing and Community Development Authority (“IHCDA” or “Authority”) was held on Thursday, September 22, 2022 at 10:00 a.m. EST at the Indianapolis Marriot Downtown, 350 West Maryland Street, Indianapolis, IN 46204.

The following individuals were present at the meeting: Anne Valentine (Lieutenant Governor designee); Ryan Locke (Indiana Treasurer of State designee); Mark Pascarella (Indiana Public Finance Director designee); Board Member J. June Midkiff; Board Member G. Michael Schopmeyer; J. Jacob Sipe (IHCDA Executive Director); members of the staff of the Lieutenant Governor; members of the staff of the Authority and the general public. Board Member Tom McGowan and Board Member Andy Place Sr. were not in attendance.

Anne Valentine served as Chair of the meeting and upon noting the presence of a quorum, called the meeting to order. Lauren Tillery served as Secretary.

I. Approval of Minutes

A. Meeting Minutes

A motion was made by Mark Pascarella to approve the August 25, 2022, Meeting Minutes, which was seconded by G. Michael Schopmeyer. The motion passed unanimously by voice vote.

RESOLVED, the Minutes of the Board meeting held on August 25, 2022, are hereby approved to be placed in the Minute Book of the Authority.

II. Real Estate Department

A. TCAP Monthly Update

Chairperson Valentine recognized Alan Rakowski who presented the TCAP Monthly Update.

Background

On September 23, 2021, the Board authorized IHCDA’s Deputy Executive Director and Chief Real Estate Development Officer to take all actions necessary to distribute additional allocations of Tax Credit Assistance Program (TCAP) funds to Low Income Housing Tax Credit (LIHTC) developments that have been negatively impacted by cost increases, provided that the Board is informed of all awards made monthly. On March 24, 2022, the Board approved an extension of the delegated authority to the earlier of: (1) September 30, 2022 or (2) such time that all funds have been allocated.

The following awards were made after the finalization of August’s Board Meeting Agenda. This brings the total number of approvals to 24 projects totaling \$9,460,411 in TCAP funding.

Development Name	Location	Developer	Type of Construction	TCAP Amount	Date Awarded	Year of Tax
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				Awarded		Credits
Evansville Townhomes III	Evansville	Advantix Development Corporation	New Construction & Rehabilitation	\$500,000	8/16/22	2022
Historic Gallatin Square	Marion	McKinley Development LLC	Rehabilitation	\$500,000	9/1/22	2020
Woda Cooper 4%	Scattered Site	Woda Cooper Development, Inc.	Rehabilitation	\$118,000	9/6/22	2019
Broadway Lofts	Gary	MVAH Development LLC	New Construction	\$500,000	9/6/22	2019
Bellevue of New Albany	New Albany	Southern Indiana Community Housing Corporation	Rehabilitation	\$500,000	9/8/22	2020

No action is needed as this is an update to the board.

B. TCAP Policy and Delegated Authority Extension

Chairperson Valentine recognized Alan Rakowski, who presented the TCAP Policy and Delegated Authority Extension.

Background

The American Recovery and Reinvestment Act of 2009 (ARRA) created the Tax Credit Assistance Program (TCAP) to enhance the Section 42 Rental Housing Tax Credit program. IHCD administered the distribution of the state's \$38,048,333 in TCAP funding and structured the assistance as loans. Using these loan proceeds, IHCD issued a new TCAP policy in 2014 where it offered short term equity and bridge loans to tax credit developments to enhance development strength and encourage investment from traditional syndicator and investor sources. The 2014 policy has since expired and all TCAP loans have been repaid.

In the beginning of 2021, IHCD began hearing from its development partners that cost increases were impacting the financial feasibility of tax credit developments. To gather further information, IHCD worked with the Indiana Affordable Housing Counsel (IAHC) to host a listening session with IAHC members on June 7, 2021. Key concerns raised were the rising cost of lumber, rising cost of labor and labor shortages, and rising cost of other building materials and appliances. As a result, recently awarded tax credit developments were commonly experiencing funding gaps that were not present at the time of initial underwriting and approval. In response, IHCD committed to continuing to explore possible solutions.

On August 11, 2021, IHCD released a draft policy identifying the use of TCAP to assist deals that are experiencing cost increases by offering gap financing as loans. Public comments on the policy were accepted until August 25, 2021. At the conclusion of the comment period, IHCD reviewed all comments and created a proposed final policy.

At the September 23, 2021, meeting the IHCD Board of Directors approved the use of up to \$20,000,000 of TCAP as gap funding and provided delegated authority to the Deputy Executive Director and Chief Real Estate Development Officer to take all actions necessary to distribute allocations of TCAP to LIHTC projects negatively impacted by cost increases. The TCAP policy was set to expire on March 31, 2022. On March 24, 2022, the Board extended the policy for another six months, setting a new expiration date of September 30, 2022. The TCAP policy including the proposed extension is attached hereto as **Exhibit A**.

To date, IHCD A has awarded \$9,460,411 to 24 applicants. Therefore, \$10,539,589 remains available for commitment.

Following discussion, a motion was made by June Midkiff to approve extending the TCAP Policy to the earlier of (1) March 31, 2023, or (2) such time that all funds have been allocated. The motion was seconded by G. Michael Schopmeyer. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve extending the TCAP Policy to the earlier of (1) March 31, 2023 or (2) such time that all funds have been allocated, as recommended by staff.

Following discussion, a motion was made by G. Michael Schopmeyer to approve that the Board authorizes IHCD A's Deputy Executive Director and Chief Real Estate Development Officer to take all actions necessary to distribute additional allocations of TCAP to LIHTC projects negatively impacted by cost increases in accordance with the policy as extended, provided that the Board is informed of all awards made monthly. The motion was seconded by Ryan Locke. The motion was passed unanimously by voice vote.

RESOLVED, that the Board authorizes IHCD A's Deputy Executive Director and Chief Real Estate Development Officer to take all actions necessary to distribute additional allocations of TCAP to LIHTC projects negatively impacted by cost increases in accordance with the policy as extended, provided that the Board is informed of all awards made monthly, as recommended by staff.

C. Bond Volume/ 4% Tax Credits- Village Premier Apartments

Chairperson Valentine recognized Alan Rakowski, who also presented the Bond Volume/ 4% Tax Credits for the Village Premier Apartments.

Background:

IHCD A is empowered to act as the housing credit agency for the State to administer, operate, and manage the allocation of the Internal Revenue Service Section 42 low-income housing tax credit (LIHTC) program. The purpose of the LIHTC is to provide an incentive for private developers and investors to provide more affordable rental housing. This may be accomplished by new construction and rehabilitation of existing structures.

Process

On January 1, 2022, IHCD A began the 2022A-B bond round for multi-family bond volume. The 17th application received and reviewed represented a total development cost of \$43,300,701 with \$25,000,000 in bond volume and \$2,114,048 in LIHTCs annually for 10 years to create 208 units of affordable housing.

House Investments, LLC is proposing this 208-unit new construction family development in southeast quadrant of Fort Wayne. Comprised of one, two, and three-bedroom units, the development will serve households at the 50% and 60% AMI levels. The development will feature 11 residential buildings surrounded by a neighborhood that features commercial, retail, and residential uses. Units will be equipped with window blinds, porch/patio, built in dishwasher and garbage disposal, and wiring for high-speed internet. The Development Summary Sheets are attached hereto as **Exhibit B**.

During the round, the Real Estate Department staff reviewed the application to ensure it met the criteria set forth in the 2022 Qualified Allocation Plan.

Key Performance Indicators

Development	YTD Application #	Location	New Const or Rehabilitation	# of Units	Family or Age-Restricted	Bond Issuer
Bradford Lake	1/20	Indianapolis	Rehabilitation	357	Family	IHCD A

Nicholas Landing	4/20	Clarksville	New Construction	252	Family	IHCDA
Forty Six Flats	5/20	Indianapolis	New Construction	173	Family	IHCDA
Country View	8/20	Bloomington	Rehabilitation	206	Family	Bloomington
Vita of New Whiteland	6/20	New Whiteland	New Construction	130	Seniors	IHCDA
Vita of Greenfield	7/20	Greenfield	New Construction	130	Seniors	IHCDA
AFR Indiana	10/20	Arcadia, Fowler, Rensselaer	Rehabilitation	186	Family	IHCDA
Hoosier Woods	9/20	Anderson	Rehabilitation	214	Family	IHCDA
The Plaza at Central Greens	3/20	Indianapolis	New Construction	122	Family	IHCDA
The Mill	12/20	Shelbyville	New Construction	168	Family	IHCDA
Tower Multifamily Portfolio	14/20	Petersburg, Princeton, Mount Vernon	Rehabilitation	200	Family	IHCDA
Tower Senior Portfolio	15/20	Haubstadt, Owensville, Petersburg, Princeton	Rehabilitation	112	Seniors	IHCDA
Village Premier	17/20	Fort Wayne	New Construction	208	Family	IHCDA
City Heights Apartment Homes	20/20	Indianapolis	New Construction	200	Family	IHCDA

Following discussion, a motion was made by Mark Pascarella to approve the allocation of \$25,000,000 in bond volume and \$2,114,048 in annual LIHTC to Village Premier I, LP for Village Premier Apartments. The motion was seconded by G. Michael Schopmeyer. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve awarding \$25,000,000 in bond volume and \$2,114,008 in annual LIHTC to Village Premier I, LP for Village Premier Apartments according to the terms of the 2022A-B Application Round, as recommended by staff.

D. Bond Volume/ 4% Tax Credits- Tower Multifamily Portfolio

Chairperson Valentine recognized Alan Rakowski, who presented the Bond Volume/ 4% Tax Credits for Tower Multifamily Portfolio.

Background:

IHCDA is empowered to act as the housing credit agency for the State to administer, operate, and manage the allocation of the Internal Revenue Service Section 42 low-income housing tax credit (LIHTC) program. The purpose of the LIHTC is to provide an incentive for private developers and investors to provide more affordable rental housing. This may be accomplished by new construction and rehabilitation of existing structures.

Process

On January 1, 2022, IHCDA began the 2022A-B bond round for multi-family bond volume. The 14th application received and reviewed represented a total development cost of \$19,830,686 with \$10,900,000 in bond volume and \$688,065 in LIHTCs annually for 10 years to rehabilitate 200 units of affordable housing. The applicant is also requesting a \$750,000 Development Fund loan and a \$500,000 HOME loan.

Liberty Somerset Developer LLC is proposing this 200-unit multifamily scattered site rehabilitation development in Petersburg, Princeton, and Mount Vernon. Comprised of one- and two- bedroom units, the development will serve households at the 30%, 50%, and 60% AMI levels. The development will feature three existing properties: Somerset East I & II is a 68-unit garden style property in Princeton; Liberty Apartments Apartment is a 32 in Petersburg; and Southwind Apartments I & II is a 100-unit garden style property in Mount Vernon. The rehabilitation will completely renew the building systems, including new HVAC, electrical upgrades, appliances, flooring, roofing, siding, and ADA accommodations. The Development Summary Sheet is attached hereto as **Exhibit C**.

During the round, the Real Estate Department staff reviewed the application to ensure it met the criteria set forth in the 2022 Qualified Allocation Plan.

Key Performance Indicators

Development	YTD Application #	Location	New Const or Rehabilitation	# of Units	Family or Age-Restricted	Bond Issuer
Bradford Lake	1/20	Indianapolis	Rehabilitation	357	Family	IHCDA
Nicholas Landing	4/20	Clarksville	New Construction	252	Family	IHCDA
Forty Six Flats	5/20	Indianapolis	New Construction	173	Family	IHCDA
Country View	8/20	Bloomington	Rehabilitation	206	Family	Bloomington
Vita of New Whiteland	6/20	New Whiteland	New Construction	130	Seniors	IHCDA
Vita of Greenfield	7/20	Greenfield	New Construction	130	Seniors	IHCDA
AFR Indiana	10/20	Arcadia, Fowler, Rensselaer	Rehabilitation	186	Family	IHCDA
Hoosier Woods	9/20	Anderson	Rehabilitation	214	Family	IHCDA
The Plaza at Central Greens	3/20	Indianapolis	New Construction	122	Family	IHCDA
The Mill	12/20	Shelbyville	New Construction	168	Family	IHCDA
Tower Multifamily Portfolio	14/20	Petersburg, Princeton, Mount Vernon	Rehabilitation	200	Family	IHCDA
Tower Senior Portfolio	15/20	Haubstadt, Owensville, Petersburg, Princeton	Rehabilitation	112	Seniors	IHCDA
Village Premier	17/20	Fort Wayne	New Construction	208	Family	IHCDA
City Heights Apartment Homes	20/20	Indianapolis	New Construction	200	Family	IHCDA

Following discussion, a motion was made by G. Michael Schopmeyer to approve the allocation of \$10,900,000 in bond volume, \$688,065 in annual LIHTC, \$750,000 in Development Fund, and \$500,000 in HOME to Indiana Applicant LLC for Tower Multifamily Portfolio. The motion was seconded by J. June Midkiff. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve awarding \$10,900,000 in bond volume, \$688,065 in annual LIHTC, \$750,000 in Development Fund, and \$500,000 in HOME to Indiana Applicant LLC for Tower Multifamily Portfolio according to the terms of the 2022A-B Application Round, as recommended by staff.

E. Bond Volume/ 4% Tax Credits- Tower Senior Portfolio

Chairperson Crouch recognized Alan Rakowski, who presented the Bond Volume/ 4% Tax Credits for Tower Senior Portfolio.

Background

IHCDA is empowered to act as the housing credit agency for the State to administer, operate, and manage the allocation of the Internal Revenue Service Section 42 low-income housing tax credit (LIHTC) program. The purpose of the LIHTC is to provide an incentive for private developers and investors to provide more affordable rental housing. This may be accomplished by new construction and rehabilitation of existing structures.

Process

On January 1, 2022, IHCD began the 2022A-B bond round for multi-family bond volume. The 15th application received and reviewed represented a total development cost of \$9,737,375 with \$5,360,000 in bond volume and \$342,688 in LIHTCs annually for 10 years to create 112 units of affordable housing. The applicant is also requesting a \$750,000 Development Fund loan and a \$500,000 HOME loan.

Brooklyn Willsomer Developer LLC is proposing this 112-unit senior scattered site rehabilitation development in Petersburg, Haubstadt, Owensville, and Princeton. Comprised of one- and two- bedroom units, the development will serve households at the 30%, 50%, and 60% AMI levels. The development will feature four residential-only properties: Brookfield Apartments is a 25-unit garden style property; Lynnwood Village Apartments is a 25-unit garden style property with one laundry/community building; Somerset South & West Apartments is a 25-unit garden style property with one laundry/community building; and Williams Apartments is a 37-unit garden style property. The renovation will completely renew the building systems, unit amenities such as new kitchens and bathrooms, and landscaping. The Development Summary Sheet is attached hereto as **Exhibit D.**

During the round, the Real Estate Department staff reviewed the application to ensure it met the criteria set forth in the 2022 Qualified Allocation Plan.

Key Performance Indicators –

Development	YTD Application #	Location	New Const or Rehabilitation	# of Units	Family or Age-Restricted	Bond Issuer
Bradford Lake	1/20	Indianapolis	Rehabilitation	357	Family	IHCDA
Nicholas Landing	4/20	Clarksville	New Construction	252	Family	IHCDA
Forty Six Flats	5/20	Indianapolis	New Construction	173	Family	IHCDA
Country View	8/20	Bloomington	Rehabilitation	206	Family	Bloomington
Vita of New Whiteland	6/20	New Whiteland	New Construction	130	Seniors	IHCDA
Vita of Greenfield	7/20	Greenfield	New Construction	130	Seniors	IHCDA
AFR Indiana	10/20	Arcadia, Fowler, Rensselaer	Rehabilitation	186	Family	IHCDA
Hoosier Woods	9/20	Anderson	Rehabilitation	214	Family	IHCDA
The Plaza at Central Greens	3/20	Indianapolis	New Construction	122	Family	IHCDA
The Mill	12/20	Shelbyville	New Construction	168	Family	IHCDA
Tower Multifamily Portfolio	14/20	Petersburg, Princeton, Mount Vernon	Rehabilitation	200	Family	IHCDA
Tower Senior Portfolio	15/20	Haubstadt, Owensville, Petersburg, Princeton	Rehabilitation	112	Seniors	IHCDA
Village Premier	17/20	Fort Wayne	New Construction	208	Family	IHCDA
City Heights Apartment Homes	20/20	Indianapolis	New Construction	200	Family	IHCDA

Following discussion, a motion was made by G. Michael Schopmeyer to approve the allocation of \$5,360,000 in bond volume, \$342,688 in annual LIHTC, \$750,000 in Development Fund, and \$500,000 in HOME to Brooklyn Willsomer Senior LLC for Tower Senior Portfolio. The motion was seconded by J. June Midkiff. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve awarding \$5,360,000 in bond volume, \$342,688 in annual LIHTC, \$750,000 in Development Fund, and \$500,000 in HOME to Brooklyn Willsomer Senior LLC for Tower Senior Portfolio according to the terms of the 2022A-B Application Round, as recommended by staff.

F. Bond Volume/ 4% Tax Credits- The Mill

Chairperson Crouch recognized Hayden Wiesinger, who presented the Bond Volume/ 4% Tax Credits for The Mill.

Background

IHCDA is empowered to act as the housing credit agency for the State to administer, operate, and manage the allocation of the Internal Revenue Service Section 42 low-income housing tax credit (LIHTC) program. The purpose of the LIHTC is to provide an incentive for private developers and investors to provide more affordable rental housing. This may be accomplished by new construction and rehabilitation of existing structures.

Process

On January 1, 2022, IHCDA began the 2022A-B bond round for multi-family bond volume. The 12th application received and reviewed represented a total development cost of \$35,195,124 with \$22,000,000 in bond volume and \$1,689,717 in LIHTCs annually for 10 years to create 168 units of affordable housing. The applicant is also requesting a \$750,000 Development Fund loan.

BH Affordable, LLC is proposing a 168-unit new construction family development in Shelbyville at 405 N. Harrison Street. Comprised of studio, one- two- and three-bedroom units, the development will serve households at the 40%, 50%, 60% and 80% AMI levels. The development will feature two residential-only buildings with interior corridors and surface parking. The project will also include the repurposing of a 1930's Coca-Cola building that will be rehabilitated into commercial space and amenity space for the residents. The Development Summary Sheet is attached hereto as **Exhibit E**.

During the round, the Real Estate Department staff reviewed the application to ensure it met the criteria set forth in the 2022 Qualified Allocation Plan.

Key Performance Indicators

Development	YTD Application #	Location	New Const or Rehabilitation	# of Units	Family or Age-Restricted	Bond Issuer
Bradford Lake	1/20	Indianapolis	Rehabilitation	357	Family	IHCDA
Nicholas Landing	4/20	Clarksville	New Construction	252	Family	IHCDA
Forty Six Flats	5/20	Indianapolis	New Construction	173	Family	IHCDA
Country View	8/20	Bloomington	Rehabilitation	206	Family	Bloomington
Vita of New Whiteland	6/20	New Whiteland	New Construction	130	Seniors	IHCDA
Vita of Greenfield	7/20	Greenfield	New Construction	130	Seniors	IHCDA
AFR Indiana	10/20	Arcadia, Fowler, Rensselaer	Rehabilitation	186	Family	IHCDA
Hoosier Woods	9/20	Anderson	Rehabilitation	214	Family	IHCDA
The Plaza at Central Greens	3/20	Indianapolis	New Construction	122	Family	IHCDA
The Mill	12/20	Shelbyville	New Construction	168	Family	IHCDA
Tower Multifamily Portfolio	14/20	Petersburg, Princeton, Mount Vernon	Rehabilitation	200	Family	IHCDA
Tower Senior Portfolio	15/20	Haubstadt, Owensville, Petersburg, Princeton	Rehabilitation	112	Seniors	IHCDA
Village Premier	17/20	Fort Wayne	New Construction	208	Family	IHCDA
City Heights Apartment Homes	20/20	Indianapolis	New Construction	200	Family	IHCDA

Following discussion, a motion was made by Ryan Locke to approve the allocation of \$22,000,000 in bond volume, \$1,689,717 in annual LIHTC, and \$750,000 in Development Fund to BH Pool, LP for The Mill. The motion was seconded by J. June Midkiff. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve awarding \$22,000,000 in bond volume, \$1,689,717 in annual LIHTC, and \$750,000 in Development Fund to BH Pool, LP for The Mill according to the terms of the 2022A-B Application Round, as recommended by staff.

G. Bond Volume/ 4% Tax Credits- City Heights Apartment Homes

Chairperson Crouch recognized Hayden Wiesinger, who presented the Bond Volume/ 4% Tax Credits for the City Heights Apartment Homes.

Background

IHCDA is empowered to act as the housing credit agency for the State to administer, operate, and manage the allocation of the Internal Revenue Service Section 42 low-income housing tax credit (LIHTC) program. The purpose of the LIHTC is to provide an incentive for private developers and investors to provide more affordable rental housing. This may be accomplished by new construction and rehabilitation of existing structures.

Process

On January 1, 2022, IHCDA began the 2022A-B bond round for multi-family bond volume. The 20th application received and reviewed represented a total development cost of \$67,729,975 with \$33,000,000 in bond volume and \$3,196,024 in LIHTCs annually for 10 years to create 200 units of affordable housing.

Pedcor Development Associates, LLC. is proposing this 200-unit new construction multifamily development in Indianapolis at 402 & 405 Bixler Rd. The development will be comprised of 10 two-to-three story residential walk-up, garden-style buildings spanning two lots across 18.3 total acres. City Heights will provide a furnished clubhouse with an exercise room, computer center, common gathering room with a TV and a fully equipped kitchen, and on-site management and maintenance. The development will be less than a half-mile from an IndyGo bus stop, providing quick access to numerous services including retail and healthcare. The Development Summary Sheet is attached hereto as **Exhibit F**.

During the round, the Real Estate Department staff reviewed the application to ensure it met the criteria set forth in the 2023-2024 Qualified Allocation Plan.

Key Performance Indicators

Development	YTD Application #	Location	New Const or Rehabilitation	# of Units	Family or Age-Restricted	Bond Issuer
Bradford Lake	1/20	Indianapolis	Rehabilitation	357	Family	IHCDA
Nicholas Landing	4/20	Clarksville	New Construction	252	Family	IHCDA
Forty Six Flats	5/20	Indianapolis	New Construction	173	Family	IHCDA
Country View	8/20	Bloomington	Rehabilitation	206	Family	Bloomington
Vita of New Whiteland	6/20	New Whiteland	New Construction	130	Seniors	IHCDA
Vita of Greenfield	7/20	Greenfield	New Construction	130	Seniors	IHCDA
AFR Indiana	10/20	Arcadia, Fowler, Rensselaer	Rehabilitation	186	Family	IHCDA
Hoosier Woods	9/20	Anderson	Rehabilitation	214	Family	IHCDA
The Plaza at Central Greens	3/20	Indianapolis	New Construction	122	Family	IHCDA
The Mill	12/20	Shelbyville	New Construction	168	Family	IHCDA
Tower Multifamily	14/20	Petersburg,	Rehabilitation	200	Family	IHCDA

Portfolio		Princeton, Mount Vernon				
Tower Senior Portfolio	15/20	Haubstadt, Owensville, Petersburg, Princeton	Rehabilitation	112	Seniors	IHCDA
Village Premier	17/20	Fort Wayne	New Construction	208	Family	IHCDA
City Heights Apartment Homes	20/20	Indianapolis	New Construction	200	Family	IHCDA

Following discussion, a motion was made by Ryan Locke to approve the allocation of \$33,000,000 in bond volume and \$3,196,024 in annual LIHTC, to Pedcor Investments-2021-CLXXXV, L.P. for City Heights Apartment Homes. The motion was seconded by G. Michael Schopmeyer. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve awarding \$33,000,000 in bond volume and \$3,196,024 in annual LIHTC, to Pedcor Investments-2021-CLXXXV, L.P. for City Heights Apartment Homes according to the terms of the 2022A-B Application Round, as recommended by staff.

H. Monthly Update National Housing Trust Fund (HTF) Policy and Delegated Authority

Chairperson Crouch recognized Peter Nelson, who presented the Monthly Update National Housing Trust Fund (HTF) Policy and Delegated Authority.

Background

On November 18, 2021, the Board authorized IHCDA's Deputy Executive Director and Chief Real Estate Development Officer to take all actions necessary to distribute additional allocations of National Housing Trust Fund (HTF) to HTF developments that have been negatively impacted by cost increases, provided that the Board is informed of all awards made monthly. On March 24, 2022, the Board approved an amendment of the policy and an extension of the delegated authority through September 30, 2022.

The following HTF awards were made after the finalization of the August Board Meeting Agenda. This brings the total number of approvals to 5 projects totaling \$2,030,864 in HTF funding.

National Housing Trust Fund						
Development Name	Location	Recipient	Type of Construction	HTF Amount Awarded	Date Awarded	HTF award year
Hope Avenue Homes	South Bend	South Bend Heritage Foundation	New Construction	\$136,846	Sept. 8, 2022	2021

No action is needed as this is an update to the board.

I. National HTF and Development Fund Gap Policies and Delegated Authority Extensions

Chairperson Crouch recognized Peter Nelson, who presented the National HTF and Development Fund Gap Policies and Delegated Authority Extensions.

Background

The National Housing Trust Fund (HTF) is designed to create new housing opportunities for extremely low-income households (at or below 30% of area median income). By regulation, the focus of the HTF program is rental housing. IHCDA allocates HTF funds specifically for supportive housing for persons experiencing homelessness.

HTF awards are made as gap financing in conjunction with applications for Rental Housing Tax Credits (“RHTC”) under the Qualified Allocation Plan (“QAP”) or in conjunction with applications for HOME awards. Requests for HTF awards are made as a supplemental request along with an RHTC or HOME application. In addition to meeting the requirements of IHCD policy, all proposed developments must also meet the threshold requirements within the QAP or HOME Rental Application Policy to be eligible for funding.

The Indiana Affordable Housing and Community Development Fund (Development Fund) was established in 1989 to provide financing for affordable housing and community economic development projects in Indiana. The Development Fund provides loans or grants of up to \$500,000 for eligible activities. Along with meeting Development Fund regulations found in Indiana Code 5-20-4, developments with federal funding such as HOME Investment Partnership Program (HOME), tax-exempt bonds, or Low-Income Housing Tax Credits (LIHTC) must also comply with the requirements of those programs.

On October 14, 2021, IHCD released two draft policies, one identifying the use of HTF as gap financing and the other one describing the use Development Fund as gap financing. The policies were created to provide guidance regarding how these funding sources can be used to assist eligible developments with an existing HTF or HOME awards that are experiencing cost increases by offering gap financing as grants. Public comments on the policies were accepted until October 28, 2021. At the conclusion of the comment period, IHCD reviewed all comments and created final policies.

At the November 18, 2021, meeting, the IHCD Board of Directors approved the HTF and the Development Fund gap policies and provided delegated authority to the Deputy Executive Director and Chief Real Estate Development Officer to take all actions necessary to distribute allocations to projects negatively impacted by cost increases. The HTF and Development Fund policies and delegated authority were set to expire on March 31, 2022. However, on March 24, 2022, the Board extended the policies for six months, setting a new expiration date of September 30, 2022 for the policies and delegated authority.

To date, IHCD has awarded \$2,030,864 in HTF and \$1,879,687 in Development Fund to nine total applicants.

Process

Applications requesting a HTF grant or Development Fund loan. will be reviewed and approved by a committee consisting of IHCD’s Deputy Executive Director and Chief Real Estate Development Officer, Director of Real Estate Allocation, Director of Real Estate Lending, HOME & HTF Manager, and Real Estate Investment Underwriter. IHCD staff will provide a monthly status update to the Board on any awards approved that month.

The delegated authority granted only extends to allocating HTF or Development Fund funding to eligible developments in accordance with the applicable policies. This delegated authority will expire at the conclusion of the review of all applications submitted under these policies. The policies including the proposed extension are attached. The HTF policy is attached hereto as **Exhibit G**, the Development Fund policy is attached hereto as **Exhibit H**.

Following discussion, a motion was made by Mark Pascarella to approve extending both the HTF and the Development Fund gap funding policies to the earlier of (1) March 31, 2023 or (2) such time that all funds have been allocated. The motion was seconded by J. June Midkiff. The motion was passed unanimously by vote.

RESOLVED, that the Board approve extending both the HTF and the Development Fund gap funding policies to the earlier of (1) March 31, 2023 or (2) such time that all funds have been allocated, as recommended by staff.

Following discussion, a motion was made by J. June Midkiff to authorize IHCD’s Deputy Executive Director and Chief Real Estate Development Officer to take all actions necessary to distribute additional allocations of HTF and Development Fund to existing projects negatively impacted by cost increases in accordance with the policies as extended, provided that the Board is informed of all awards made monthly. The motion was seconded by G. Michael Schopmeyer. The motion was passed unanimously by voice vote.

RESOLVED, that the Board authorize IHCD's Deputy Executive Director and Chief Real Estate Development Officer to take all actions necessary to distribute additional allocations of HTF and Development Fund to existing projects negatively impacted by cost increases in accordance with the policies as extended, provided that the Board is informed of all awards made monthly, as recommended by staff.

J. County of Marshall Stellar Owner-Occupied Rehabilitation Program

Chairperson Crouch recognized Peter Nelson, who presented the County of Marshall Stellar Owner-Occupied Rehabilitation Program.

Background

The Stellar Communities Designation Program was launched in 2011 as a multi-agency partnership designed to recognize Indiana's smaller communities that have identified comprehensive community and economic development projects and activities as well as next steps and key partnerships. Through annual designation the Stellar Communities Designation Program provides resources for transformative quality of place community improvements by:

- Utilizing previous planning efforts
- Leveraging existing assets
- Fostering regional investments
- Stimulating continued growth for long-term relevance

Since 2010, over 60 communities have expressed interest in the program and 35 strategic investment plans have been created.

Marshall County Crossroads was designated as a Stellar Region in 2019 and identified Owner-Occupied Rehabilitation as a priority in its Strategic Investment Plan.

IHCDA has set aside \$500,000 of Community Development Block Grant ("CDBG") funds for the 2019 Stellar Region to use for Owner-Occupied Rehabilitation programs.

Key Performance Indicators

IHCDA will track the following Key Performance Indicators in relation to this CDBG funding request:

1. The total number of households assisted with CDBG funds. IHCDA currently anticipates serving 16 households.
2. The total number of assisted households served containing targeted populations (individuals with disabilities, families with children ages six and under, aging in place households, veterans, and single parent households).

Project Summary

The County of Marshall is requesting \$500,000 to assist 16 homeowners with an owner-occupied rehabilitation project, targeting households within 10 townships that include the six (6) incorporated communities of: Argos, Bourbon, Bremen, Culver, La Paz and Plymouth, within Marshall County. The Project Summary Sheet is attached hereto as **Exhibit I**.

Applications will be prioritized according to health and safety concerns, structural stabilization, aging in place, and energy efficiency. All beneficiaries will be at or below 80% of area median income.

Applicant Name:

County of Marshall

Project Name:

Marshall County Housing Rehabilitation

	Project
CDBG Amount Recommended:	\$500,000
IHCDA Per Unit Subsidy (Rehabilitation, Relocation, Program Delivery):	\$31,250
Total Project Costs:	\$500,000
Location:	Marshall County
Administrator:	Priority Project Resources, Inc.
Activity:	Owner-Occupied Rehabilitation
Award Type:	CDBG grant

Following discussion, a motion was made by G. Michael Schopmeyer to approve the allocation of CDBG funding, in an amount not to exceed \$500,000, to the County of Marshall for the Marshall County Housing Rehabilitation Project. The motion was seconded by Mark Pascarella. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve the allocation of CDBG funding, in an amount not to exceed \$500,000, to the County of Marshall for the Marshall County Housing Rehabilitation Project, as recommended by staff.

K. HOME Homebuyer Award Recommendation- Brown County Habitat for Humanity

Chairperson Crouch recognized Samantha Spergel, who presented the HOME Homebuyer Award Recommendation- Brown County Habitat for Humanity.

Background

The HOME Investment Partnerships Program (HOME) provides funding to develop affordable housing for low to moderate income households, including the new construction or rehabilitation of units to support homeownership.

Process

IHCDA opened the HOME Homebuyer Funding Round on April 1, 2019. The application and policy included changes to align with the U.S. Department of Housing and Urban Development's ("HUD") updated guidance on Homebuyer activities, including new requirements regarding underwriting standards, lending practices, and housing counseling. IHCDA held two technical assistance webinars to discuss the new HUD regulations regarding the homebuyer program, to provide an overview of the application forms, policy, and underwriting workbooks, and to answer any additional questions for entities interested in applying.

IHCDA's HOME Homebuyer Funding is available to non-profits and local units of government with applications being accepted on a rolling basis. Applicants may request up to \$500,000 per application.

On May 20, 2022, IHCDA received an application for the new construction of one unit in Nashville, Indiana from Brown County Indiana Habitat for Humanity, Inc. IHCDA staff checked the application for completeness, determined whether all threshold requirements were met, and scored the application based on requirements outlined in the HOME 2021 Homebuyer Policy. The application met threshold requirements and scored above the minimum points required to be considered eligible to receive funding. The Applicant Summary Sheet is attached hereto as **Exhibit J**.

Key Performance Indicators

IHCDA will track the following Key Performance Indicators in relation to its HOME Homebuyer Program:

1. The total number of Homebuyer units produced with HOME funds. To date, IHCD A has funded 36 HOME Homebuyer units since April 1, 2019.
2. The number of certified Community Housing and Development Organizations (CHDOs) applying through this program. To date, IHCD A has certified four CHDOs through this program.
3. Development benchmark tracking including release of funds, start and completion of construction, funds drawn, inspections, and the final closing.

Following discussion, a motion was made by J. June Midkiff to approve awarding HOME funding in the form of a grant in an amount not to exceed \$69,853 to Brown County Indiana Habitat for Humanity, Inc. The motion was seconded by Mark Pascarella. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve awarding HOME funding in the form of a grant in an amount not to exceed \$69,853 to Brown County Indiana Habitat for Humanity, Inc, Inc. as recommended by staff.

L. Housing Choice Voucher Annual Plan and Administrative Plan Submission

Chairperson Crouch recognized Jeff Zongolowicz, who presented the Housing Choice Voucher Annual Plan and Administrative Plan Submission.

Background

IHCD A administers the Section 8 Housing Choice Voucher Program (“HCV”) in areas of Indiana not served by other metropolitan and county public housing authorities (each a “PHA”). As a PHA, IHCD A must maintain a plan that governs public housing agency policies, programs, operations, and strategies for meeting the housing needs and goals of its jurisdiction (the “PHA Plan”). The Annual Plan is submitted to HUD every year. Since some of the information required by the Annual Plan is contained in the Administrative Plan, the Administrative Plan must also be submitted to HUD annually. The Administrative Plan must conform with HUD regulations and state the PHA’s policy in those areas where the PHA has discretion to establish local policy.

Process

The PHA Plan process was established by Section 5A of the United States Housing Act of 1937 (42 U.S.C. 1437 et seq.). The PHA Annual Plan describes the agency’s policies and procedures and must be reviewed each year.

IHCD A has prepared its Annual Plan for submission. The submission includes:

- **Exhibit K** - Summary of Proposed Changes to HCV Administrative Plan
- **Exhibit L** - Summary of New Activities
- **Exhibit M** - PHA Certifications
- **Exhibit N** - Local Subcontracting Agencies
- **Exhibit O** – HCV Program Metrics

Following discussion, a motion was made by Ryan Locke to approve the 2023 HCV Annual Plan, 2023 Administrative Plan and all of the required attachments in preparation for submission to HUD. The motion was seconded by J. June Midkiff. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve the HCV 2023 Annual Plan and 2023 Administrative Plan, as recommended by staff.

III. Community Programs

A. Weatherization Assistance Program BIL State Plan

Chairperson Crouch recognized Greg Glassley, who presented the Weatherization Assistance Program BIL State Plan.

Background

On March 30, 2022, the Department of Energy (DOE) released funding allocations and guidance for the Weatherization Assistance Program (WAP) under Section 40551 of the Infrastructure Investment and Jobs Act (IIJA or BIL), which directed DOE to make available approximately \$3.5 billion to states, District of Columbia, U.S. Territories, and tribal governments. Indiana's allocation is \$90,475,386, which is in addition to the regular annual DOE formula year allocation. IHCD received 15% of the allocation in July; an additional 35% of the allocation will be available upon DOE's approval of the BIL grantee plan (BIL State Plan); the remaining 50% of the allocation will be available once 30% of the estimated number of weatherized units are completed.

On April 28, 2022, IHCD submitted an initial Budget to DOE via [page.energy.gov](https://www.energy.gov) detailing how it would spend this funding allocation. For the past several months, IHCD has worked closely with INCAA (its Training and Technical Assistance -T&TA – provider), the CAP network, and its Policy Advisory Council to develop the BIL State Plan. IHCD will continue the revision process until final submission on October 1, 2022. IHCD is preparing to request the full funding allocation from DOE.

The rules of BIL are generally the same as regular program year funding from DOE for Weatherization. As BIL funding and regular program year funding are run as two separate programs, the following sections highlight the differences between the two programs.

BIL State Plan Master File

IHCD makes the following proposals in the Master File:

1. Set aside 10% of the BIL Production budget to fund Multi-Family projects. Funding from this set-aside will be available via competitive application for weatherization providers (both current subgrantees and others) who apply to complete specific projects. All approved projects will be expected to follow WAP and BIL regulations, DOE approval requirements, including utilizing Davis-Bacon wage rate requirements.
2. Weatherize 30% of the total estimated units by Year 4, ensuring Indiana receives the remaining 50% allocation. IHCD proposes to spend the full allotment of funding as part of a 10-year plan.
3. Increase the allowable Health & Safety percentage from 20% to 25% of Base Operations.
4. Increase the Average Cost Per Unit (ACPU) limit from \$7,700.00 to \$8,000.00.

BIL State Plan Training & Technical Assistance (T&TA) Plan

IHCD makes the following proposals in the T&TA Plan:

1. Hire additional state employees to provide capacity building support to increase subgrantee production.
2. Specifically target Sub-grantees working below the current contract requirements and provide dedicated weatherization T&TA to aid them in increasing capacity.
3. Increase production by 27% in 2023, utilizing T&TA, marketing, and collaboration with trade schools and local area career centers.
4. Start a QCI mentorship program in 2023 to increase workforce capacity beginning in 2024.

BIL State Plan Corrective Action & Removal Procedures

IHCD makes the following proposals in the Corrective Action & Removal Procedures:

1. All agencies will have access to funds to ensure coverage of all 92 counties. Reallocation of funds may be necessary to achieve production goals. These decisions will be based on performance, including:
 - a. Current level of expenditures for all active weatherization related programs
 - b. Timely and accurate submission of claims
 - c. Achieved quarterly benchmarks
 - d. Financial and program management capacity

2. Sub-grantees on a QIP will not be eligible to participate in the Multi-Family fund while they remain on the QIP. Once the Sub-grantee qualifies for removal from QIP, it may be eligible to participate.

Attachments

The following documents are attachments that are required to be included in the BIL State Plan:

1. **Exhibit P:** Master File
2. **Exhibit Q:** T&TA Plan
3. **Exhibit R:** Corrective Action & Removal Procedures

Following discussion, a motion was made by G. Michael Schopmeyer to approve the plans being proposed for the BIL State Plan and any amendments to these plans made by IHCD based on feedback received from the Department of Energy, during its approval process. The motion was seconded by Mark Pascarella. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve the plans being proposed for the BIL State Plan and any amendments to these plans made by IHCD based on feedback received from the Department of Energy, during its approval process, as recommended by staff.

B. CSBG Impact Awards Renewal

Chairperson Crouch recognized Emily Krauser, who presented the CSBG Impact Awards Renewal.

Background

The Community Service Block Grant (CSBG) is an annual federal grant funded through the U.S. Department of Health and Human Services. In May 2022, IHCD received \$10.8M for FY2022. These funds must be spent by September 30, 2023.

CSBG is designed to focus on the underlying causes and root issues of poverty for families and individuals, with a special focus on families with incomes at or below the 125% of the federal poverty level. CSBG funds have been previously used for initiatives like rental assistance, utility assistance, childcare funding, and remote learning and technology assistance. The allocation of CSBG funds is meant to benefit low-income Hoosiers.

The federal government stipulates that 90% of CSBG funds must be directly allocated towards Community Action Agencies (CAAs). The remaining 10% may be split between a) up to 5% in state administration, and b) discretionary funding (CSBG-D) for trainings for CAAs or other innovative projects.

Staff is recommending utilizing \$150,000 of the allowable discretionary portion (23%) of the FY2022 CSBG funds to renew six Impact Grant Awards. These awards were previously funded with CSBG CARES Act funding in 2021; unfortunately, this funding has been exhausted and is no longer available. The initial award required grantees to ramp up the number of individuals and families served during the pandemic; this renewal will allow the six agencies to either slowly wind down the services offered as clients need fewer supports or build sustainability so that programs can continue operating at the same rate into the future.

Review of Initial Grant Review Process

The six grantees, five community-based non-profits and one community action agency, were originally chosen through an application process that consisted of 21 proposals. Applications were reviewed by IHCD staff using a rubric outlining six key topics that needed to be addressed because of the COVID-19 pandemic: an organizational summary, a proposed project description, intended outcomes, project timeline, budget template, and access to limited English populations. The committee included five members of IHCD Community Programs staff.

Applicants were evaluated on program implementation details, their ability to achieve intended outcomes, and the potential impact of the proposed program. Applicants had to provide a clear description of their program and compelling data to explain the increased need of the program due to the negative effects of COVID-19. Brief

overviews of the top six applicants' projects, their award amounts, and their intended outcomes and actual results, are provided below:

Hoosier Uplands Economic Development Corporation, \$100,000

Service Region: Lawrence, Martin, Orange, and Washington Counties

Hoosier Upland's Transportation Assistance Program: allowed individuals to maintain/increase their access to necessary community assets such as work or education.

- Status: Goal was to serve 125 people with \$460-\$760 in assistance. Because of rising costs, average funds provided per individual was \$840. By the end of the program, 95 participants were served, with 99% of participants reporting increased access to healthcare and community services, and increased ability to afford transportation services.

NeighborLink Indianapolis Foundation, Inc. - \$100,000

Service Region: Indianapolis and Marion County

NeighborLink's COVID Recovery Initiative addressed the impact of COVID-19 on low-income seniors and homeowners with disabilities in Indianapolis by responding to the backlog of home repair requests that accumulated due to the pandemic.

- Status: Goal was to address 125 projects in backlog. By the end of the program 138 projects were completed for 108 low-income seniors and homeowners with disabilities, with 96% of homeowners remaining in their homes.

Foster Success - \$98,809.40

Service Region: Statewide

Foster Success's financial literacy program is aimed at providing young adults in foster care with financial resources that will set them up for independence and success. The program provides a matched savings account and Credit Build, an initiative aimed at increasing credit scores.

- Status: Goal was to serve 50 new young adults during the grant period. By the end of the program there were 61 new enrollments, with an average of \$4,165 distributed to participants upon completion of the online education course.

Prosperity Indiana (Indiana Association for Community Economic Development Corp.) - \$100,000

Service Region: Statewide

Prosperity Indiana's initiative focuses on offering individuals throughout served regions an alternative to predatory pay-day lending, and provided individuals served with a higher chance at achieving financial success by not falling into extreme debt.

- Status: Goal was for participants to save \$1500 in fees by increasing the number of assets and programs offering alternatives to predatory lending. By the end of the program, Indiana counties served by community loan centers (which offer alternatives to predatory lending) grew from 30 to all 92 counties in the state.

Fathers and Families Resource and Research Center, Inc. - \$100,000

Service Region: Marion County

Fathers and Families' Strong Father curriculum provides low-income fathers with workforce development and self-sufficiency resources, including career counseling opportunities and educational courses where they can obtain a G.E.D. or other professional certifications.

- Status: With a primary goal of increasing/improving employment and job readiness, 66 fathers or father figures were served, 40 obtained good and/or promising jobs, 15 were employed, 35 earned at least one Job Ready Indy badge, and 29 completed vocational training.

YWCA of Northeast Indiana, Inc. - \$100,000

Service Region: Allen, Dekalb, Huntington, Noble, Wells, and Whitley Counties

The YWCA's Hope & Harriet program is an intensive, residential treatment program in a sub-acute medical facility tailored to treat adult women living with substance abuse disorders. The program focuses on treatment, as well as self-sufficiency for individuals in recovery.

- Status: With a primary goal of increasing and maintaining access to mental health services for women enrolled in the Hope & Harriet program, by the end of this funding cycle, 85 clients were served. 92% of those who received treatment were clean at 60 days; 88% reported an increase in hopefulness; and 65% reported improvements with anxiety levels.

As the projects wind down, IHCDCA would like to enable a “soft landing” for the funded organizations, i.e., use the next program year to transition them away from successful project implementation into sustainability, and also allow for a deeper dive into data analysis with their contracted evaluators. This transition will ultimately enable them to leverage the success of their awards into longer-term, more sustainable, funding sources. This will also provide additional time for data collection and analysis to show the impact of the programs on Indiana’s citizens. Best practices and lessons learned will be shared with IHCDCA and utilized to inform future CSBG funding decisions.

The recommended amount for each organization’s Impact Grant Award is set forth in **Table A**, below.

Table A	
Applicant	Requested Amount
Hoosier Uplands	\$25,000
NeighborLink	\$25,000
Foster Success	\$25,000
Prosperity Indiana	\$25,000
Fathers and Families	\$25,000
YWCA of Northeast Indiana	\$25,000
Total	\$150,000

Following discussion, a motion was made by J. June Midkiff to approve awarding 2022 CSBG Funds in an aggregate amount not to exceed \$150,000 to the applicants, as set forth in Table A to administer Impact Grant Award projects. The motion was seconded by Ryan Locke. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve awarding 2022 CSBG Funds in an aggregate amount not to exceed \$150,000 to the applicants, as set forth in Table A to administer Impact Grant Award projects, as recommended by staff.

IV. Community Services

A. Balance of Care Continuum of Care Allocations and Methodology

Chairperson Valentine recognized Rachael Sample, who presented the Balance of Care Continuum of Care Allocations and Methodology.

Background

The Continuum of Care (“CoC”) funding for Permanent Supportive Housing and Rapid Rehousing projects is awarded through a competitive funding process by the U.S. Department of Housing and Urban Development (“HUD”). The Indiana Balance of State (“IN-BoS”) is comprised of 91 of the 92 counties in Indiana, excluding Marion County. To apply for the funding through the Collaborative Application process, the BoS Continuum of Care (“IN-BoS-CoC”) Board of Directors conduct an internal application process administered by IHCDCA that encourages eligible housing service providers within the IN-BoS CoC to apply for CoC funding. Through the internal application competition, the applicants are scored and ranked. Afterwards, IHCDCA submits a formal application to HUD. HUD will make the final decision on whether an entity will receive funding and the amount of funding each entity will receive.

The IN-BoS-CoC Board designated IHCDCA as the Collaborative Applicant, which means IHCDCA is eligible to apply for Continuum of Care planning funds on behalf of the IN-BoS-CoC. A letter from the IN-BoS-CoC Board describing its participation in the Notice of Funding Opportunity for the CoC funding and the internal application process/competition is attached hereto as **Exhibit S**.

Process

In March 2022, HUD opened the registration for the FY2022 Notice of Funding Opportunity (“NOFO”) for CoC funding. Current project funding recipients were required to submit documentation for review during the Internal

Renewal Competition by June 22, 2022. On August 1, 2022, HUD released the final FY 2022 NOFO for CoC funding, which allowed for 95% current projects to be ranked in Tier 1 of the funding allocation. The IN-BoS-CoC Board then requested that both renewal and new project applications be submitted by August 29, 2022, in order to be included in the Collaborative Application that will be submitted on behalf of the Indiana Balance of State. New projects were scored by non-conflicted reviewers and added to the list of current projects, which were previously scored. The final project ranking was reviewed by the Funding and Resource Committee on September 8, 2022 and was approved by the IN-BoS-CoC Board of Directors on September 15, 2022.

The IN BoS CoC portfolio of potential awards consists of both renewal applications and new and/or expansion applications, that consists of Permanent Supportive Housing, CoC Rapid Re-Housing, HMIS, Coordinated Entry (CE) and domestic violence-specific projects. The amount of 2022 funding being requested by IHCD is summarized accordingly:

Table A		
Type	Applications Received	Requested Amount
Renewal Applications	64	\$17,196,859.15
New Applications	5	\$2,907,357.85
HMIS Funding	2	\$683,912
CE Funding	4	\$924,950
DV Bonus Funding	3	\$206,193
Planning Grant	1	\$851,114
	TOTAL	\$22,770,386

A list that contains the housing providers that are being proposed for funding is set forth in **Exhibit T**, attached hereto and incorporated herein. A map that depicts the Indiana Balance of State regions is set forth in **Exhibit U**. Final funding decisions will be made by HUD after the Collaborative Application is submitted. We anticipate receiving the funding announcement in the first quarter of 2023.

Key Performance Indicators

Organizations that receive CoC funding are evaluated on several key performance indicators (“KPIs”) that are reviewed and scored annually during the internal application process/competition. These KPIs include, but are not limited to, the following: adherence to Housing First principles, HMIS data quality, coordinated entry participation, exits to permanent housing, increases in household total and earned incomes, utilization rate and expenditure of CoC grant funds, number of individuals served, and the project’s cost effectiveness. In addition, bonus categories such as participation in training opportunities, agreement compliance, CoC collaboration, COVID-19 were awarded. New projects were evaluated on their organizational management and financial operations, commitment to Housing First principles, engagement with individuals with lived experience, their capacity to measure performance and any existing program performance outcomes under the KPIs listed above.

Following discussion, a motion was made by Mark Pascarella to approve the use of the current methodology for scoring and ranking that was created by IHCD staff and the Indiana Balance of State Continuum of Care Board of Directors for scoring and ranking of the FY 2022 CoC applicants set forth in **Exhibit T**, attached hereto. The motion was seconded by J. June Midkiff. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve the use of the current methodology for scoring and ranking that was created by IHCD staff and the Indiana Balance of State Continuum of Care Board of Directors for scoring and ranking of the FY 2022 CoC applicants set forth in **Exhibit T**, attached hereto, as recommended by staff.

Following discussion, a motion was made by J. June Midkiff to approve allocating BoS CoC Grant funds in an aggregate amount not to exceed \$22,770,386 for the FY 2022 Continuum of Care annual funding application for the organizations listed in **Exhibit T**, as directed by HUD. The motion was seconded by Ryan Locke. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve allocating BoS CoC Grant funds in an aggregate amount not to exceed \$22,770,386 for the FY 2022 Continuum of Care annual funding application for the organizations listed in **Exhibit T**, as directed by HUD, as recommended by staff.

B. Continuum of Care Supplemental Notice of Funding Opportunity (NOFO) for Unsheltered and Rural Set Aside Methodology and Allocations

Chairperson Valentine recognized Rachael Sample, who presented the Continuum of Care Supplemental Notice of Funding Opportunity (NOFO) for Unsheltered and Rural Set Aside Methodology and Allocations.

Background

The Continuum of Care (“CoC”) funding for Permanent Supportive Housing and Rapid Rehousing projects is awarded through a competitive funding process by the U.S. Department of Housing and Urban Development (“HUD”). This year, in addition to the annual CoC funding competition, HUD released a “Supplemental NOFO for Unsheltered and Rural Set Aside” (Supplemental NOFO). This funding was announced in June 2022 and made available \$322,000,000 in funding to address unsheltered and rural homelessness. \$54,500,000 of that amount is designated for rural counties. Indiana Balance of State (BoS) CoC is eligible to apply for \$28,370,415 in unsheltered homelessness set-aside and \$8,691,900 in rural homelessness set-aside. The grants funded through these NOFOs will be three-year terms, and they are eligible for renewal with CoC Program funding.

The Indiana Balance of State (“IN-BoS”) is comprised of 91 of the 92 counties in Indiana, excluding Marion County. To apply for the funding through the Collaborative Application process, the IN-BoS Continuum of Care (“IN-BoS-CoC”) Board of Directors approved a new project funding competition framework that encourages eligible providers within the BoS CoC to apply for this special funding. Through the application competition the applicants are scored and ranked. Afterwards, IHCD submits a formal application to HUD. HUD will make the final decision on whether an entity will receive funding and the amount of funding each entity will receive.

The IN-BoS-CoC Board designated IHCD as the Collaborative Applicant, which means IHCD is eligible to apply for Continuum of Care funds on behalf of the IN-BoS-CoC. A letter from the IN-BoS-CoC Board describing its participation in the Notice of Funding Opportunity for the CoC funding and the application process is attached hereto as **Exhibit V**.

Process

After the release of the Supplemental NOFO, IHCD staff began reviewing the Notice and developing a framework for the IN-BOS-CoC Board and new project application. IHCD registered for the funding opportunity with HUD and hosted informational sessions for potential applicants. The new project application was released August 12, 2022 and applications were due September 19, 2022. A task force of non-conflicted members was established in accordance with the framework approved by the IN-BoS-CoC, and these individuals established the project selection policies and assisted in review and scoring of new projects. The process results in two project rankings for unsheltered set-aside and rural set-aside. The rankings will be approved by the IN-BoS-CoC Board of Directors on or before September 21, 2022.

The new projects in this funding competition will be ranked in order of their performance in the application. We anticipate funding projects in both the unsheltered and rural set-aside opportunities:

Table A		
Unsheltered Set Aside	Applications Received	Requested Amount
New Applications	TBD	TBD
Maximum Funding Awarded		\$28,370,415

Table B		
Rural Set Aside	Applications Received	Requested Amount
New Applications	TBD	TBD
Maximum Funding Awarded		\$8,691,900

A list that contains the housing providers that are being proposed for funding is set forth in **Exhibit W**, attached hereto and incorporated herein. A map that depicts the Indiana Balance of State regions is set forth in **Exhibit X**. Final funding decisions will be made by HUD after the Collaborative Application is submitted. We anticipate this funding to be announced in spring 2023.

Key Performance Indicators

New projects were evaluated on their experience with federal funding, organizational management and financial operations, commitment to Housing First principles, engagement with individuals with lived experience, and their capacity to measure performance and any existing program performance outcomes on several key performance indicators (“KPIs”). These KPIs include, but are not limited to, the following: decreasing length of time individuals experience homelessness, exits to permanent housing, increases in household total and earned incomes, cost effectiveness. In addition, projects were asked to demonstrate how they are assessing and addressing the needs of underserved parts of the state, and how they plan to address regional disparities in housing outcomes through their project.

Following discussion, a motion was made by Ryan Locke to approve the use of the methodology that was created by IHCD staff and the Indiana Balance of State Continuum of Care Board of Directors for scoring and ranking of the FY 2022 Supplemental NOFO applicants as noted in **Exhibit V**. The motion was seconded by Mark Pascarella. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve the use of the methodology that was created by IHCD staff and the Indiana Balance of State Continuum of Care Board of Directors for scoring and ranking of the FY 2022 Supplemental NOFO applicants as noted in **Exhibit V**, attached hereto, as recommended by staff.

Following discussion, a motion was made by J. June Midkiff to approve allocating funds in an aggregate amount not to exceed \$2,209,830.00 for the funding application Supplemental NOFO Unsheltered Set Aside for the organizations listed in **Exhibit W**, as directed by HUD. The motion was seconded by G. Michael Schopmeyer. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve allocating funds in an aggregate amount not to exceed \$2,209,830 for the funding application Supplemental NOFO Unsheltered Set Aside for the organizations listed in **Exhibit W**, as directed by HUD.

Following discussion, a motion was made by G. Michael Schopmeyer to approve allocating funds in an aggregate amount not to exceed \$8,691,947.00 for the funding application Supplemental NOFO Rural Set Aside for the organizations listed in **Exhibit W**. The motion was seconded by J. June Midkiff. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve allocating funds in an aggregate amount not to exceed \$8,691,900 for the funding application Supplemental NOFO Rural Set Aside for the organizations listed in **Exhibit W**, as directed by HUD.

V. Finance

A. Bradford Lake Apartments Project Bond Recommendation

Chairperson Valentine recognized Richard Harcourt, who presented the Bradford Lake Apartments Project Bond Recommendation.

Background

The purpose of this memo and the attached resolution is to request the approval for the issuance of the Series 2022 Multifamily Housing Revenue Bonds (Bradford Lake Apartments Project) in the principal amount not to exceed \$25,000,000 to be issued in two series (collectively, the “Bonds”).

Process

The Bonds will be issued on behalf of Bradford Lake Apartments, LP (the “Borrower”). The Indiana Housing and Community Development Authority (the “Authority”) will serve as a conduit issuer for the Bonds; thereby, loaning the proceeds to the Borrower to finance the acquisition and rehabilitation of its multifamily housing complex. **The Bonds are backed solely by the revenues derived from the development and will not constitute a debt, liability, or obligation of the Authority or the State of Indiana.**

The Borrower is proposing the rehabilitation of 357 units of affordable housing in Indianapolis. With the Authority serving as the issuer of the Bonds, an additional approval by the Board, in addition to the approval of the allocation of tax credits and bond volume is necessary.

Following discussion, a motion was made by G. Michael Schopmeyer to approve the Series 2022 Multifamily Housing Revenue Bonds (Bradford Lake Apartments Project), pursuant to the Resolution attached hereto as **Exhibit X**. The motion was seconded by Mark Pascarella. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve the Series 2022 Multifamily Housing Revenue Bonds (Bradford Lake Apartments Project), pursuant to the Resolution attached hereto as **Exhibit X**, as recommended by staff.

B. Village Premier Apartments Project Bond recommendation

Chairperson Valentine recognized Richard Harcourt, who presented the Village Premier Apartments Bond Recommendation.

Background

The purpose of this memo and the attached resolution is to request the approval for the issuance of the Series 2022 Multifamily Housing Revenue Notes (Village Premier Apartments Project) in the principal amount not to exceed \$25,000,000 (the “Notes”).

Process

The Notes will be issued on behalf of Village Premier I, LP (the “Borrower”). The Indiana Housing and Community Development Authority (the “Authority”) will serve as a conduit issuer for the Notes; thereby, loaning the proceeds to the Borrower to finance the acquisition and rehabilitation of its multifamily housing complex. **The Notes are backed solely by the revenues derived from the development and will not constitute a debt, liability, or obligation of the Authority or the State of Indiana.**

The Borrower is proposing the new construction of 208 units of affordable housing in Fort Wayne. With the Authority serving as the issuer of the Notes, an additional approval by the Board, in addition to the approval of the allocation of tax credits and bond volume is necessary.

Following discussion, a motion was made by G. Michael Schopmeyer to approve the Series 2022 Multifamily Housing Revenue Notes (Village Premier Apartments Project), pursuant to the Resolution attached hereto as **Exhibit Y**. The motion was seconded by Mark Pascarella. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve the Series 2022 Multifamily Housing Revenue Notes (Village Premier Apartments Project), pursuant to the Resolution attached hereto as **Exhibit Y**, as recommended by staff.

C. AFR Indiana Project Bond Recommendation

Chairperson Valentine recognized Richard Harcourt, who presented the AFR Indiana Project Bond Recommendation.

Background

The purpose of this memo and the attached resolution is to request the approval for the issuance of the Series 2022 Multifamily Housing Revenue Bonds (AFR Indiana, LLC Project) in the principal amount not to exceed \$16,246,349 (the “Bonds”).

Process

The Bonds will be issued on behalf of AFR Indiana, LLC (the “Borrower”). The Indiana Housing and Community Development Authority (the “Authority”) will serve as a conduit issuer for the Bonds; thereby, loaning the proceeds to the Borrower to finance the acquisition and rehabilitation of its multifamily housing complex. **The Bonds are backed solely by the revenues derived from the development and will not constitute a debt, liability, or obligation of the Authority or the State of Indiana.**

The Borrower is proposing the rehabilitation of three separate properties as “AFR Indiana” in Arcadia (54 units), Fowler (61 units), and Rensselaer (71 units) for a total of 186 units to be rehabilitated and preserved as affordable housing. With the Authority serving as the issuer of the Bonds, an additional approval by the Board, in addition to the approval of the allocation of tax credits and bond volume is necessary.

Following discussion, a motion was made by Mark Pascarella to approve the Series 2022 Multifamily Housing Revenue Bonds (AFR Indiana, LLC Project), pursuant to the Resolution attached hereto as **Exhibit Z**. The motion was seconded by J. June Midkiff. The motion was passed unanimously by voice vote.

RESOLVED, that the Board approve the Series 2022 Multifamily Housing Revenue Bonds (AFR Indiana, LLC Project), pursuant to the Resolution attached hereto as **Exhibit Z**, as recommended by staff.

VI. Executive Update

Chairperson Valentine recognized J. Jacob Sipe, who presented the Executive Update and discussed the following topics:

1. 2022 Indiana Housing Conference

Jacob stated how excited IHCD was about the 2022 Indiana Housing Conference. He mentioned that there were over 550 registered attendees for the conference. The awards luncheon with the Lieutenant Governor was to commence, following the end of the board meeting. Jacob gave a special shout out to Brian Philps and Dylan Miller for their help with the glass awards that would be given out at the luncheon and for the video that they made showing the local glass company who was responsible for assisting them with this special project. Jacob concluded by stating that he is very proud of everyone who was responsible for making the Housing Conference a big success.

2. Carmen Files Departure

General Counsel David Stewart announced that Deputy General Counsel Carmen Files would be leaving IHCD on October 14th. Carmen Files will be joining the Indiana Supreme Court after working for IHCD for 13 years. IHCD staff thanks Carmen for her hard work and dedicated service to the agency and wishes her well on her new journey!

There being no further business, the meeting was adjourned by Chairperson Valentine at 11:24 a.m.

Respectfully submitted,

Lieutenant Governor, Suzanne Crouch, or her designee

ATTEST:

J. Jacob Sipe
Executive Director for IHCDA

Exhibit A TCAP Policy

On September 23, 2021, IHCD released the policy for TCAP Funding as Gap Financing via RED Notice 21-44 and extended and amended via RED Notice 22-16. Effective today, IHCD is extending the policy until the earlier of: (1) March 31, 2023 or (2) such time that all funds have been allocated.

The extended policy is described below.

Tax Credit Assistance Program (TCAP) Program Income as Gap Financing – Amended & Extended

IHCD has dedicated up to \$20,000,000 in TCAP Program Income to offer loans of up to \$500,000 per development to serve as gap financing. \$10,539,589 of the \$20,000,000 remains available as of the date this policy is approved and released.

Eligible Applicants

- Developments with a 9% RHTC award from allocation year 2020, 2021, or 2022 that have either:
 - 1) Closed on all financing and are under construction but continue to experience a funding gap due to increased costs; or
 - 2) Have not closed on financing and are experiencing a funding gap due to increased costs.
- Developments with a 4% RHTC award and tax-exempt bond financing that have either:
 - 1) Closed on all financing and are under construction but continue to experience a funding gap due to increased costs. A development is ineligible if it has already been placed-in-service; or
 - 2) Have not closed on financing and are experiencing a funding gap due to increased costs.

Any bond applications approved for funding after the date of this notice are ineligible to request TCAP.

Eligibility Requirements

- For developments that have not closed on all financing, the closing must occur within 60 days of securing a commitment of TCAP from IHCD. No exceptions or extensions will be granted.
- Applicant must have a commitment from an equity investor.
- Cost increases must be due to occurrences that coincided with the onset of COVID-19.
- Applicants must show deferred developer fee as a source at an amount no less than 40%.
- Applicants must commit to extra years of affordability based on the amount of TCAP that is loaned to the project. This extension of the Extended Use Period will be enforced through a recorded TCAP Lien and Extended Use Agreement.
 - Less than \$100,000 of TCAP = 1 additional year of affordability (31 years)
 - \$100,000-\$199,999.99 of TCAP = 2 additional years of affordability (32 years)

(00043528-1)



ADDRESS 30 South Meridian Street, Suite 900, Indianapolis, IN 46204
PHONE 317 232 7777 **TOLL FREE** 800 872 0371 **WEB** www.ihcda.IN.gov

EQUAL OPPORTUNITY EMPLOYER AND HOUSING AGENCY

State of Indiana
Lieutenant Governor
Suzanne Crouch



- \$200,000-\$299,999.99 of TCAP = 3 additional years of affordability (33 years)
- \$300,000-\$399,999.99 of TCAP = 4 additional years of affordability (34 years)
- \$400,000-\$500,000 of TCAP = 5 additional years of affordability (35 years)
- Except for the additional year(s) of affordability referenced above, TCAP funding does not impose any additional regulatory/compliance requirements beyond that of RHTC.

Loan Terms

TCAP will be offered with a 0% interest rate with up to a 15-year term and a 30-year amortization period. IHCD A will consider a request for the loan to be cash flow contingent on a case-by-case basis. All TCAP loans will be secured by a mortgage. Borrower must execute a TCAP loan agreement, mortgage, and note. IHCD A will accept a subordinate lien position.

Submission Requirements and Instructions

Applicants must submit the following:

- Updated Form A with documentation of all sources.
- A commitment letter from the equity investor.
- A narrative describing the need for additional funding and other steps already taken to fill the gap, including any applicable supporting documentation.

Application materials must be submitted electronically using a OneDrive folder. Applicants should contact Meghann Bowman at mbowman@ihcda.in.gov to request access to a folder.

Application Process

Effective the date of this notice, applications will be accepted and approved by IHCD A on a first come, first-served basis. Once submitted to IHCD A, IHCD A anticipates providing a response within 30-60 days.

Applications will be accepted until the earlier of: (1) March 31, 2023 or (2) such time that all funds have been allocated. IHCD A will post an application and award list on the RHTC webpage.

Exhibit B



INDIANA HOUSING & COMMUNITY DEVELOPMENT AUTHORITY
RENTAL HOUSING TAX CREDIT (RHTC) PROGRAM
PROPOSED DEVELOPMENT SUMMARY
2022A-B Bond Round



PROJECT NAME: Village Premier Apartments

SITE LOCATION: 4209 Plaza Drive
Fort Wayne, IN 46806

PROJECT TYPE: New Construction

PROJECT DESIGNATION: Family

APPLICANT: House Investments, LLP

PRINCIPALS: Matthew Gadus, Michael Emke, Timothy Shafer

OF UNITS AT EACH SET ASIDE

60% of AMI:	205
50% of AMI:	3
40% of AMI:	0
30% of AMI:	0
Market Rate:	0

UNIT MIX

Efficiency:	0
One bedroom:	68
Two bedroom:	96
Three bedroom:	44
Four bedroom:	0
Total units:	208

TOTAL PROJECTED COSTS:	\$43,300,701
TAX CREDITS PER UNIT:	\$10,164

CREDIT REQUESTED:	\$2,114,048
CREDIT RECOMMENDED:	\$2,114,048
BOND VOLUME REQUESTED:	\$25,000,000
BOND VOLUME RECOMMENDED:	\$25,000,000

APPLICANT NUMBER:	2022A-B-017
BIN NUMBER:	IN-22-04000

SELF SCORE:	55
IHCDA SCORE:	52.5

Exhibit C



INDIANA HOUSING & COMMUNITY DEVELOPMENT AUTHORITY
RENTAL HOUSING TAX CREDIT (RHTC) PROGRAM
PROPOSED DEVELOPMENT SUMMARY
2022A-B Bond Round



PROJECT NAME:	Tower Multifamily Portfolio
SITE LOCATION:	Liberty Apartments 800 Liberty St. Petersburg, IN 47567 Somerset East I & II 701 E. Monroe St./702 E. Mulberry St. Princeton, IN 47670 Southwind 465 W. 9 th St. Mount Vernon, IN 47620 315 N West St
PROJECT TYPE:	Rehabilitation
PROJECT DESIGNATION:	Multifamily
APPLICANT:	Indiana Applicant LLC
PRINCIPALS:	Access Group Wellness Project Corporation
<u># OF UNITS AT EACH SET ASIDE</u>	<u>UNIT MIX</u>
60% of AMI: 80	Efficiency: 0
50% of AMI: 70	One bedroom: 120
40% of AMI: 0	Two bedroom: 72
30% of AMI: 50	Three bedroom: 8
Market Rate: 0	Four bedroom: 0
	Total units: 200
TOTAL PROJECTED COSTS:	\$19,830,686
TAX CREDITS PER UNIT:	\$3,440
CREDIT REQUESTED:	\$688,065
CREDIT RECOMMENDED:	\$688,065

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BOND VOLUME REQUESTED:	\$10,900,000
BOND VOLUME RECOMMENDED:	\$10,900,000
DEVELOPMENT FUND REQUESTED:	\$750,000
DEVELOPMENT FUND RECOMMENDED:	\$750,000
HOME REQUESTED:	\$500,000
HOME RECOMMENDED:	\$500,000

APPLICANT NUMBER:	2022A-B-014
BIN NUMBER:	IN-22-03800
DEVELOPMENT FUND LOAN NUMBER:	DFL-022-021
HOME LOAN NUMBER:	HM-021-007
SELF SCORE:	49.73
IHCDA SCORE:	53



INDIANA HOUSING & COMMUNITY DEVELOPMENT AUTHORITY
RENTAL HOUSING TAX CREDIT (RHTC) PROGRAM
PROPOSED DEVELOPMENT SUMMARY
2022A-B Bond Round



PROJECT NAME:	Tower Senior Portfolio		
SITE LOCATION:	Brookfield Apartments 200 Pike Avenue Petersburg, IN 47567 Lynwood Village Apartments 315 N West St Haubstadt, IN 47639 Williams Apartments 120 W Short St Owensville, IN 47665 Somerset South & West Apartments 323 S Main St and 1501 W Brumfield Princeton, IN 47670		
PROJECT TYPE:	Rehabilitation		
PROJECT DESIGNATION:	Senior		
APPLICANT:	Brooklyn Willsomer Senior LLC		
PRINCIPALS:	Access Group Wellness Project Corporation		
<u># OF UNITS AT EACH SET ASIDE</u>		<u>UNIT MIX</u>	
60% of AMI:	44	Efficiency:	0
50% of AMI:	40	One bedroom:	99
40% of AMI:	0	Two bedroom:	13
30% of AMI:	28	Three bedroom:	8
Market Rate:	0	Four bedroom:	0
		Total units:	112

{00043544-4}

TOTAL PROJECTED COSTS:	\$9,737,375
TAX CREDITS PER UNIT:	\$3,060
CREDIT REQUESTED:	\$342,688
CREDIT RECOMMENDED:	\$342,688
BOND VOLUME REQUESTED:	\$5,360,000
BOND VOLUME RECOMMENDED:	\$5,360,000
DEVELOPMENT FUND REQUESTED:	\$750,000
DEVELOPMENT FUND RECOMMENDED:	\$750,000
HOME REQUESTED:	\$500,000
HOME RECOMMENDED:	\$500,000
APPLICANT NUMBER:	2022A-B-015
BIN NUMBER:	IN-22-03900
DEVELOPMENT FUND LOAN NUMBER:	DFL-022-022
HOME LOAN NUMBER:	HM-021-008
SELF SCORE:	47.22
IHCDA SCORE:	50.99



INDIANA HOUSING & COMMUNITY DEVELOPMENT AUTHORITY
RENTAL HOUSING TAX CREDIT (RHTC) PROGRAM
PROPOSED DEVELOPMENT SUMMARY
2022A-B Bond Round



PROJECT NAME:	The Mill
SITE LOCATION:	405 N. Harrison Street Shelbyville, IN 46176
PROJECT TYPE:	New Construction
PROJECT DESIGNATION:	Family
APPLICANT:	BH Affordable LLC
PRINCIPALS:	BH Pool GP, LLC

OF UNITS AT EACH SET ASIDE

80% of AMI:	25
60% of AMI:	74
50% of AMI:	39
40% of AMI:	30
30% of AMI:	0
Market Rate:	0

UNIT MIX

Efficiency:	32
One bedroom:	104
Two bedroom	24
Three bedroom:	8
Four bedroom:	0
Total units:	168

TOTAL PROJECTED COSTS:	\$35,195,124
TAX CREDITS PER UNIT:	\$10,058

CREDIT REQUESTED:	\$1,689,717
CREDIT RECOMMENDED:	\$1,689,717
BOND VOLUME REQUESTED:	\$22,000,000
BOND VOLUME RECOMMENDED:	\$22,000,000
DEVELOPMENT FUND REQUESTED:	\$750,000
DEVELOPMENT FUND RECOMMENDED:	\$750,000

APPLICANT NUMBER:	2022A-B-012
BIN NUMBER:	IN-22-03700
DEVELOPMENT FUND LOAN NUMBER:	DFL-022-020
SELF SCORE:	76.5
IHCDA SCORE:	72.0

Exhibit F



INDIANA HOUSING & COMMUNITY DEVELOPMENT AUTHORITY
RENTAL HOUSING TAX CREDIT (RHTC) PROGRAM
PROPOSED DEVELOPMENT SUMMARY
2022A-B Bond Round



PROJECT NAME: City Heights Apartment Homes

SITE LOCATION: 402 & 405 Bixler Rd.
Indianapolis, IN 46227

PROJECT TYPE: New Construction

PROJECT DESIGNATION: Family

APPLICANT: Pedcor Investments-2021-CLXXXV, LP.

PRINCIPALS: Pedcor Investments-2021-CLXXXV, LP.

OF UNITS AT EACH SET ASIDE

60% of AMI:	195
50% of AMI:	5
40% of AMI:	0
30% of AMI:	0
Market Rate:	0

UNIT MIX

Efficiency:	0
One bedroom:	52
Two bedroom:	124
Three bedroom:	24
Four bedroom:	0
Total units:	200

TOTAL PROJECTED COSTS:	\$67,729,975
TAX CREDITS PER UNIT:	\$15,980

CREDIT REQUESTED:	\$3,196,024
CREDIT RECOMMENDED:	\$3,196,024
BOND VOLUME REQUESTED:	\$33,000,000
BOND VOLUME RECOMMENDED:	\$33,000,000

APPLICANT NUMBER:	2022A-B-020
BIN NUMBER:	IN-22-04100
SELF SCORE:	42.5
IHCDA SCORE:	42.5

Exhibit G

IHCDA is aware that cost increases are impacting the financial feasibility of National Housing Trust Fund (“HTF”) funded developments. In order to respond to these cost increases in a manner that serves our developer partners, IHCDA has issued the following final policy.

Note: Developments funded with Low Income Housing Tax Credits are not eligible to follow the policy outlined in this notice. LIHTC developments may request additional gap financing through the TCAP program, as described in [RED Notice 21-44](#).

NATIONAL HOUSING TRUST FUND GRANTS AS GAP FINANCING

IHCDA will offer increases of up to \$500,000 in additional HTF for developments with already approved National Housing Trust Fund (“HTF”) grants as defined below. Only developments that have already received HTF are eligible to request additional HTF through this policy.

Eligible Applicants

Developments with a combination of HOME and HTF awards or developments solely funded with HTF that either:

- 1) Have closed on all financing and are under construction but continue to experience a funding gap due to increased costs; or
- 2) Have not closed on financing and are experiencing a funding gap due to increased costs.

Ineligible Applicants

LIHTC developments are ineligible to request additional funding through this policy.

Eligibility Requirements

- For developments that have not closed on all financing, the closing must occur within 60 days of securing a commitment of additional HTF from IHCDA. No exceptions or extensions will be granted.
- Cost increases must be due to unforeseen occurrences that coincided with the onset of COVID-19.
- The development must continue to meet all HUD and IHCDA HTF policies, including per unit HTF subsidy limitations.

Award Terms

HTF awards will be made as grants. The existing HTF award agreement and HTF lien and restrictive covenant agreement will be modified to reflect the additional HTF funds.

HTF-funded developments are subject to a 30-year affordability period.

Submission Requirements and Instructions

Applicants must submit the following:

- Updated Application Form with documentation of all sources.
- A narrative describing the need for additional funding and other steps already taken to fill the gap, including any applicable supporting documentation.

Application materials must be submitted electronically using a OneDrive folder. Applicants should contact Peter Nelson at PNelson@ihcda.in.gov to request access to a folder

Application Process

Effective the date of this notice, applications will be accepted and approved by IHCDA on a first come, first-served basis. Once submitted to IHCDA, IHCDA anticipates providing a response within 30-60 days.

Applications will be accepted until the earlier of: (1) March 31, 2023 or (2) such time that all funds have been allocated. IHCDA will post an application and award list on the HTF webpage.

Exhibit H

IHCDA is aware that cost increases are impacting the financial feasibility of HOME funded rental housing developments. In order to respond to these cost increases in a manner that serves our developer partners, IHCDA has issued the following final policy.

Note: Developments funded with Low Income Housing Tax Credits are not eligible to follow the policy outlined in this notice. LIHTC developments may request additional gap financing through the TCAP program, as described in [RED Notice 21-44](#).

DEVELOPMENT FUND LOANS AS GAP FINANCING

IHCDA will offer Development Fund ("DF") loans of up to \$500,000 per development to serve as gap financing. Additional DF is available even if the development has already received a DF award.

Eligible Applicants

Developments with a Fiscal Year 2018, 2019, or 2020 HOME rental award that either:

- 1) Have closed on all financing and are under construction but continue to experience a funding gap due to increased costs; or
- 2) Have not closed on financing and are experiencing a funding gap due to increased costs.

Ineligible Applicants

The following development types are ineligible to request additional funding through this policy:

- Applications funded in summer 2022 with Fiscal Year 2021 HOME rental funds.
- Any LIHTC development.

Eligibility Requirements

- For developments that have not closed on all financing, the closing must occur within 60 days of securing a commitment of DF from IHCDA. No exceptions or extensions will be granted.
- Cost increases must be due to unforeseen occurrences that coincided with the onset of COVID-19.
- Per DF policy, IHCDA will determine that a certain number of units are considered "DF-assisted units" based on the percentage of total development costs covered by the DF award. At least 50% of the DF-assisted units must be designated at or below 50% AMI income and rent limits.

Loan Terms

DF loans will be offered with a 0% interest rate with up to a 15-year term and a 30-year amortization period. IHCDA will consider a request for the loan to be cash flow contingent on a case-by-case basis. All loans will be secured by a mortgage. Borrower must execute a DF loan agreement, mortgage, note, and lien. IHCDA will accept a subordinate lien position.

If the development already includes a previously awarded DF loan, the terms for that initial loan remain in effect including the applicable interest rate. The terms above apply only to the additional funding.

Submission Requirements and Instructions

Applicants must submit the following:

- Updated HOME Application Form with documentation of all sources and the DF supplemental application completed.
- A narrative describing the need for additional funding and other steps already taken to fill the gap, including any applicable supporting documentation.

Application materials must be submitted electronically using a OneDrive folder. Applicants should contact Peter Nelson at PNelson@ihcda.in.gov to request access to a folder.

Application Process

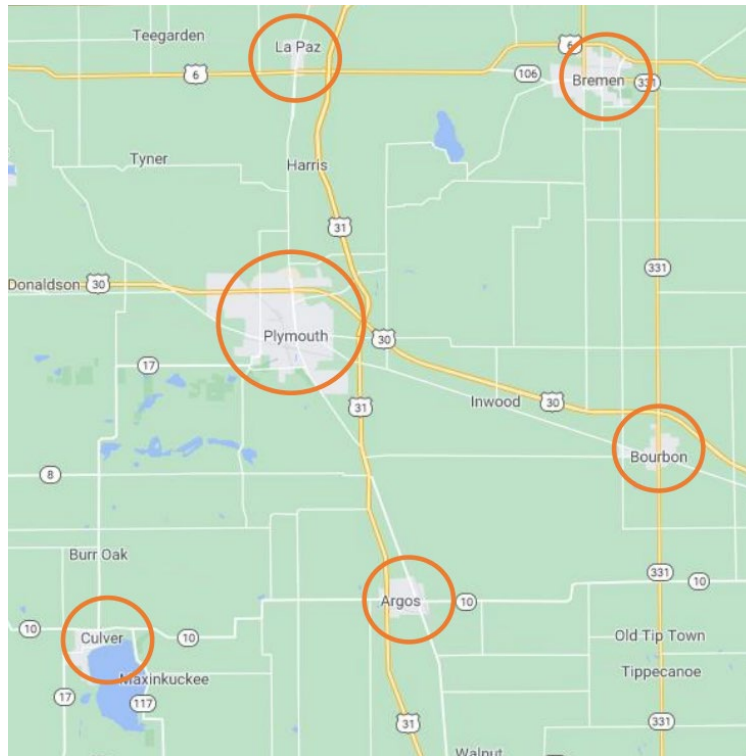
Effective the date of this notice, applications will be accepted and approved by IHCDA on a first come, first-served basis. Once submitted to IHCDA, IHCDA anticipates providing a response within 30-60 days.

Applications will be accepted until the earlier of: (1) March 31, 2023 or (2) such time that all available funds have been allocated. IHCDA will post an application and award list on the HOME webpage.

Exhibit I



PROJECT FUNDING SUMMARY SHEET



**County of Marshall Stellar OOR Program
Board of Commissioners of the County of Marshall
Marshall County**

PROJECT SUMMARY: The rehabilitation of sixteen owner-occupied homes in Marshall County which was designated a Stellar Region in 2019. The County of Marshall will seek to serve targeted populations of individuals with disabilities, families with children ages six and under, aging in place households, veterans, and single parent households

PRESENTER: Peter Nelson, HOME & HTF Manager

**AMOUNT OF
FUNDING
REQUESTED:**

\$500,000
CDBG grant

**AMOUNT &
SOURCE OF
FUNDING
RECOMMENDED:**

\$500,000
CDBG grant

EXHIBIT J
APPLICANT SUMMARY SHEET

2021 HOME AWARD RECOMMENDATION

**Brown County Indiana Habitat for Humanity Inc. –
2410 W. Main Street, Nashville, IN 47448**

HM-021-006

HOME Homebuyer Amount Requested:	\$69,853.00
HOME Homebuyer Amount Awarded:	\$69,853.00
Total Project Costs:	\$208,475.00
Project Type:	Family
City/Town:	Nashville
County:	Brown
Activity:	Homebuyer New Construction
Anticipated # of HOME Units:	1
Anticipated # of Total Units:	1

EXHIBIT K
Summary of Proposed Policy Changes to HCV Administrative Plan

The 2023 Admin plan includes minor updates from the 2022 Admin plan as described below.

Chapter:	Chapter 4
Purpose:	Alignment with IHCD's Housing First program
Summary:	Language was added to the Moving On limited preference to allow participants in IHCD's Housing First program to be referred to the HCV program

Chapter:	Chapter 4
Purpose:	Update policies to align with changes made due to HUD waivers during Covid
Summary:	Increase use of technology to manage waitlists including providing participant notification via postal mail or e-mail.

Chapter:	Chapter 4
Purpose:	Update policies for managing Mainstream waitlist
Summary:	In the future Mainstream applications will only be taken via referral from partners identified by IHCD.

Chapter:	Chapter 5
Purpose:	Update policies to align with changes made due to HUD waivers during Covid
Summary:	Initial briefings may take place virtually if requested by the participant

Chapter:	Chapter 6/7
Purpose:	Reduce participant burden
Summary:	Income verification requirements reduced as allowable by HUD to limit amount of documentation needed from participant.

Chapter:	Chapter 17
Purpose:	Alignment with other IHCD initiative
Summary:	Added IHCD HOME Innovative round as previous competition eligible for non-competitive selection for Project Based Vouchers

Page:	Throughout
Summary:	Minor changes to correct grammar/spelling and increase clarity

EXHIBIT L
Summary of New Activities

IHCDA (IN901) received an award of 25 additional Mainstream Vouchers to serve households with at least one Non-Elderly Disabled individual.

IHCDA (IN901) submitted a request for additional VASH vouchers.

IHCDA (IN901) anticipates submitting a request for Stability Vouchers in October.

IHCDA (IN901) anticipates making additional awards of Project Based Vouchers to support the development of Permanent Supportive Housing units throughout Indiana.

EXHIBIT M
PHA Certifications

The following HUD forms are attached:

- HUD Form 50077 PHA Certifications of Compliance with the PHA Plans and Related Regulations
- HUD Form 50077-SL Certification by State or Local Official of PHA Plans Consistency with the Consolidated Plan
- HUD Form 50077-CR Civil Rights Certification
- HUD Form 50075-HCV Annual Plan

EXHIBIT N
Local Subcontracting Agencies

Local Subcontracting Agency	Counties Served
Area IV Agency on Aging and Community Action Programs, Inc.	White, Carroll, Tippecanoe, Clinton
Community Action of Greater Indianapolis, Inc.	Hendricks, Boone, Hamilton, Tipton
Community Action of Northeast Indiana Inc DBA Brightpoint	Elkhart, Lagrange, Steuben, Noble, De Kalb, Whitley, Allen
Community Action of Southern Indiana, Inc.	Harrison, Floyd, Clark
Community and Family Services, Inc.	Wabash, Huntington, Wells, Adams, Blackford, Jay, Randolph
Community Action Program Inc of Western Indiana	Benton, Warren, Fountain, Vermillion
Hoosier Uplands Economic Development Corporation	Greene, Daviess, Martin, Lawrence, Orange, Washington ,Pike, Dubois
Human Services, Inc.	Johnson, Shelby, Bartholomew, Decatur, Jackson
Interlocal Community Action Program Inc.	Madison, Hancock, Henry, Wayne, Rush
Lincoln Hills Development Corporation	Gibson, Vanderburgh, Warrick, Spencer, Crawford
Northwest Indiana Community Action Corporation	Lake, Porter, LaPorte, Newton, Jasper, Pulaski, Starke
Ohio Valley Opportunities, Inc.	Jennings, Scott, Jefferson
South Central Community Action Program Inc.	Clary, Owen, Morgan, Monroe, Brown
Southeastern Indiana Economic Opportunity Corporation	Union, Franklin, Ripley, Dearborn, Ohio, Switzerland

Exhibit O

Housing Choice Voucher – Metrics (As of 9/12/2022)

Households Currently Being Served

Households with at least one Individual with a Disability	Veterans (VASH Program only)	Homeless at Admission	Families with Children
3327	278	1036	1455
Total Households Served 5278			Total Individuals Served 9342

Voucher Program Type Utilization

Tenant-Based	4082 Traditional Housing Choice Vouchers for Low-Income Households
Project-Based	517 vouchers for Permanent Supportive Housing for Persons Experiencing Chronically Homeless and a Disability
Veterans Affairs Supportive Housing	278 Vouchers for Veterans Experiencing Homelessness Receiving Veterans Affairs Supportive Services
Non-Elderly Disabled Mainstream	256 Vouchers for Persons Under the Age of 62 with a Disability with a Preference for De-Institutionalization

Funds Utilized

Housing Assistance Payments	Budget Authority Utilization	Average Voucher Rental Subsidy	Average Tenant Paid Rent
\$21,736,551	100%	\$497	\$305

HUD Benchmarks

Voucher Report Success Rate	Management Assessment Score
IHCDA Rating: 99.95% HUD Benchmark: 95.00%	IHCDA Rating: 100% HUD Designation: High Performing

Exhibit P

2022 WAP BIL Master File

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

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

2.1 Income Eligibility and Documentation

The Weatherization sub-grantee staff or its subcontractor is obligated to review and determine WAP eligibility status for anyone requesting an application. No unit will be weatherized without documentation that the unit is eligible. [10 CFR 440.22](#). The local sub-grantees verify applicant's income during the application process.

The Weatherization sub-grantee's staff or its subcontractor are obligated to review and determine WAP eligibility status for anyone requesting an application. Clients may not be denied the right to submit a WAP application by the Weatherization sub-grantee or its subcontractors.

Per [10 CFR 440.22](#), a unit shall be eligible for Weatherization assistance if it is occupied by a family unit:

- Whose income is at or below 200 percent of the poverty level determined in accordance with criteria established by the Director of Office of Management and Budget. [Poverty Guidelines](#).
- Which contains a member who has received cash assistance payments during the twelve-month period under Title IV and Title XVI of the Social Security Act.
- Is eligible for assistance under the Low-Income Home Energy Assistance Act of 1981, provided that such basis is at least 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget.

At the beginning of each calendar year, newly approved poverty guidelines for the grant cycle are issued. To be consistent with the Energy Assistance Program (EAP) intake, Weatherization and EAP will both update their income eligibility guidelines annually.

Child Support, Foster Care, and Adoption Assistance

Child Support, Foster Care, and Adoption Assistance payments, whether received by the Payee or paid by the Payor, are not considered Sources of Income to be added to the Payee income or deducted from the Payor income for the purposes of determining applicant eligibility.

- Payee: Where an applicant receives Child Support from any state program or individual during an applicable tax year, such assistance is not considered income for the purposes of determining eligibility (i.e., where an applicant receives Child Support, he or she does not add that amount to his or her calculation of income for purposes of determining eligibility). This is in line with Indiana's EAP income guidelines.
- Payor: Where an applicant pays Child Support through a state program and/or to an individual, such assistance is not considered a deduction to Income for the purposes of determining eligibility (i.e., where an applicant pays Child Support, he or she may not deduct said assistance from his or her calculation of income for the purposes of determining eligibility). Indiana's EAP income guidelines are not consistent with this guidance. **Income will need to be re-calculated for clients with this scenario.**

Sub-grantee must clearly document which households receive payment for foster care and/or pay or receive child support. These notes and income recalculation documents must be included in the Weatherization client file. If minor errors are found in the EAP file, the Weatherization sub-grantee should notify the EAP Local Service Provider. Major errors or issues should be brought to the attention of IHCD. [WPN 21-3](#).

Client Eligibility Documentation

IHCD requires all sub-grantees ensure client eligibility during the period in which services are delivered. Clients which are deemed categorically eligible as a result of their LIHEAP and/or HUD eligibility will have their most recent application date transferred into their IWAP record. Sub-grantees must ensure services

are delivered within one year of the most current application date or the client income must be reverified. Files of clients not categorically eligible through EAP and/or HUD must contain a copy of the application and income documentation. Guidelines for household income calculation are found in the most current version of the *Indiana Energy Assistance Program Operations Manual* at MyIHCD's [EAP](#) or [WPN 21-3](#).

Households that are categorically eligible have several of the required items in their EAP file. A client's Energy Programs Application (EAP) must be active at the time the weatherization services are provided and at the time of QC inspection. Information, such as income verification, does not need to be duplicated. During monitoring, IHCD or any contracted monitoring entity reserves the right to inspect the EAP client income verification to ensure client eligibility.

Subgrantees may certify that applicants have met the income requirements of HUD means-tested programs through mechanisms including, but not limited to, applicant documentation, interagency lists of recipients, shared system databases, etc. Method of verification of eligibility must be included in the client file.

Approach to Determining Eligibility

If Weatherization work cannot be completed before the application expires a new application is required to be completed. It is considered best practice in this case to complete work before the application expires. Recertification of eligibility must occur every 12 months. If a job is not completed, i.e. it has not passed QC inspection, and the application has expired, and the client is no longer income eligible, contact IHCD.

3.2 Required Forms

Required Forms

A client's **Energy Assistance Program (EAP) application** must be active at the time weatherization services are provided and at the time of QC inspection. An application is considered active for a twelve-month period starting from the date of the initial approved application when the client income verification was completed. Before work is started, be sure the income verification on the application is within the allowable twelve-month period. If the version in the EAP database is the most current, no paper copy is required. If a client has an expired application in the EAP database and recently reapplied, a current paper copy is required in the client file. A paper copy may be requested by IHCD program monitors when reviewing client files. Sub-grantees must utilize the most recent or current approved application.

A client's **HUD Section 8 Voucher** and proof of HUD housing. HUD housing does not expire, and the client will be categorically eligible by their residence.

Income documentation verifying total household income for the 3 months prior to application should be available. If categorically eligible under EAP, income information does not need to be copied for the weatherization file. For the purposes of monitoring, EAP files must be made available. Sub-grantees must use a form or method of income calculation that is consistent with guidelines as written in the most current version of the *Indiana Low Income Energy Assistance Program Operations Manual* at MyIHCD's [EAP](#). Because files are subject to review, both by state and Federal agencies, it is imperative that case files accurately reflect the computation of household income.

The **Zero Income Affidavit** must be used to verify zero income for **each** household member, age 18 and over, who claim no income for the 3 months prior to the application date. In addition to a completed form, each zero-income claimant must have an attached **wage inquiry** or **income summary from the local Workforce Development Office**. This is no longer completed during the EAP application process but is a DOE requirement that must be completed by the Weatherization sub-grantee. *Appendix S – Zero Income Affidavit*. According to the U.S. Department of Energy [WPN 21-3](#) under Section D Proof of Eligibility #3 Self Certification, zero income claimants must have a **notarized** affidavit claiming zero income for Low Income Weatherization Assistance. IHCD requires a notarized Zero Income Claimant Form to be in each client's file who claims zero income. All sub-grantees must use this form for all WAP applications. The form must be notarized in compliance with [WPN 21-3](#). The form must be signed by the Zero Income

Claimant **or** the person who completes the application on behalf of the household. If the signatory is not the zero-income claimant, the person must be listed as a household member on the EAP application.

Describe what household eligibility basis will be used in the Program

2.1 Income Eligibility and Documentation

Per [10 CFR 440.22](#), a unit shall be eligible for Weatherization assistance if it is occupied by a family unit:

- Whose income is at or below 200% of the poverty level determined in accordance with criteria established by the Director of Office of Management and Budget. [Poverty Guidelines](#).
- Which contains a member who has received cash assistance payments during the twelve-month period under Title IV and Title XVI of the Social Security Act.
- Is eligible for assistance under the Low-Income Home Energy Assistance Act of 1981, provided that such basis is at least 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget.

Client Eligibility Documentation

IHCDA requires all sub-grantees ensure client eligibility during the period in which services are delivered. Clients which are deemed categorically eligible as a result of their LIHEAP eligibility will have their most recent application date transferred into their IWAP record. Sub-grantees must ensure services are delivered within one year of the most current application date or the client income must be reverified. Files of clients not categorically eligible through EAP must contain a copy of the application and income documentation. Guidelines for household income calculation are found in the most current version of the *Indiana Energy Assistance Program Operations Manual* at MyIHCDA's [EAP](#) or [WPN 21-3](#).

Households that are categorically eligible have several of the required items in their EAP file. A client's Energy Programs Application (EAP) must be active at the time the weatherization services are provided and at the time of QC inspection. Information, such as income verification, does not need to be duplicated. During monitoring, IHCDA or any contracted monitoring entity reserves the right to inspect the EAP client income verification to ensure client eligibility.

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

Indiana's Weatherization Assistance Program will follow the same procedures outlined within Indiana's [LIHEAP EAP Program Operations Manual](#). Indiana's approach to ensuring qualified aliens are eligible for weatherization benefits is as follows:

Eligible household members must be United States (U.S.) citizens, U.S. Nationals or qualified non-US citizens (aliens) as defined by [8 USC 1641\(b\)](#). Applicants submitting Social Security Cards (SSNs) will not have to submit any other kind of proof of citizenship or qualified non-US Citizen Status. Persons who are not citizens or qualified non-US citizens are considered to be ineligible household members. Ineligible household members living with eligible household members do not disqualify the family from receiving assistance.

V.1.2 Approach to Determining Building Eligibility

2.3 Building Eligibility and Documentation

Prior to any weatherization activity, a unit must be evaluated to determine whether previous weatherization services have been provided. Units weatherized (including units partially weatherized) with DOE funds, or under other Federal programs (including LIHEAP/ARPA) may not receive further financial assistance for weatherization utilizing DOE funds within 15 years of the completion of the previous weatherization. A home utilizing DOE funds may not be re-weatherized within 15 years of any federally funded weatherization services. [WAP Memorandum 075](#).

Units that have previously received weatherization may receive non-weatherization assistance and services under other Federal programs, or may receive weatherization assistance from non-Federal sources. For LIHEAP funded weatherization, a unit may be re-weatherized five years after the end of the grant performance period utilized on the unit.

A building may be determined ineligible for weatherization if its structure would prohibit it from ever being weatherized. Any building that **could be** weatherized after health and safety or other repairs must **not** be considered ineligible. To be eligible for weatherization a building must provide complete independent living facilities for one or more persons including permanent provisions for living, sleeping, eating, cooking and sanitation. If you cannot make a clear determination based on the information provided in this document, please refer to the *2020 Indiana Residential Code* and/or contact INCAA Wx training to assist you in your determination. Please include meaningful photographs of the structure and overall property when determination assistance is requested.

Land Contracts: If a land contract is in place, then it must be recorded with the assessor's office to be considered valid. If valid, then the land contract can be treated as if the client has a mortgage on the home. The client would be considered a homeowner.

In the following circumstances, **exceptions** to the required documentation policy will be permitted:

- **Shelters:** a unit or units whose principal purpose is to house on a **temporary** basis individuals who may or may not be related to one another and who are not living in nursing homes, prisons, or similar institutional care facilities.
 - An application and eligibility determination is not required for shelters
 - Sub-grantees may weatherize shelters. For the purpose of determining how many units exist in a shelter, a grantee may count each 800 square feet of living space within the shelter as a unit or it may count each floor of the shelter as a unit.
 - An individual file must be kept for the shelter project. This file must contain:
 - Shelter's mission statement
 - Occupancy type
 - NEAT/MHEA/MulTEA form
 - All other applicable documents
 - For IWAP reporting purposes, each completion should be counted as "Data Unavailable" when reporting income categories and demographics. The box "Demographics Not Available" must be checked at the bottom of the IWAP application page.
 - IHCD does not require prior approval to weatherize a shelter
- **Multi-Family Buildings:** Buildings with 5 or more units. In the weatherization of multi-family buildings, DOE regulations require that 66% (50% for duplexes and quadplexes) of units in the building must be eligible households or will become eligible within 180 days. [10 CFR 440.22\(b\)](#)
 - Small multi-family buildings are comprised of 5-24 units
 - Large multi-family buildings are comprised of 25+ units
 - For more information pertaining to weatherizing multi-family buildings refer to the Multi-family section.

Procedures to determine that units weatherized have eligibility documentation

2.3 Building Eligibility and Documentation

A building may be determined ineligible for weatherization if its structure would prohibit it from ever being weatherized. Any building that **could be** weatherized after health and safety or other repairs must **not** be considered ineligible. To be eligible for weatherization a building must provide complete independent living facilities for one or more persons including permanent provisions for living, sleeping, eating, cooking and sanitation. If you cannot make a clear determination based on the information provided in this document, please refer to the *2020 Indiana Residential Code* and/or contact INCAA Wx training to assist you in your determination. Please include meaningful photographs of the structure and overall property when determination assistance is requested.

Land Contracts: If a land contract is in place, then it must be recorded with the assessor's office to be considered valid. If valid, then the land contract can be treated as if the client has a mortgage on the home. The client would be considered a homeowner.

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 - An application and eligibility determination is not required for shelters
 - Sub-grantees may weatherize shelters. For the purpose of determining how many units exist in a shelter, a grantee may count each 800 square feet of living space within the shelter as a unit or it may count each floor of the shelter as a unit.
 - An individual file must be kept for the shelter project. This file must contain:
 - Shelter's mission statement
 - Occupancy type
 - NEAT/MHEA/MulTEA form
 - All other applicable documents
 - For IWAP reporting purposes, each completion should be counted as "Data Unavailable" when reporting income categories and demographics. The box "Demographics Not Available" must be checked at the bottom of the IWAP application page.
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 - Small multi-family buildings are comprised of 5-24 units
 - Large multi-family buildings are comprised of 25+ units
 - For more information pertaining to weatherizing multi-family buildings refer to the Multi-family section.

4.2 Overview of Weatherization Activities

Previously Weatherized

Prior to any weatherization activity, a unit must be evaluated to determine whether previous weatherization services have been provided. A determination must be made if the building has been previously weatherized in order to be considered eligible. Find eligibility requirements in Section 2.3.

DOE: The following actions must be taken on each DOE unit prior to weatherization services to ensure that homes that have received weatherization services within **15 years** are not re-weatherized:

- Each client's address must be checked in IWAP for previous weatherization within 15 years
- Each client must be asked whether their home has been weatherized within 15 years
- A visual inspection of each home must be performed by an energy auditor to identify if previous weatherization measures have been performed

LIHEAP/ARPA: For units utilizing LIHEAP/ARPA funds, sub-grantees may provide weatherization services to a unit previously weatherized provided that it was at least **5 years** prior to the beginning of the current LIHEAP/ARPA program year. The following actions must be taken on each LIHEAP/ARPA unit prior to weatherization services to ensure that units that have received weatherization services within **5 years** are not reweatherized:

- Each client's address must be entered into IWAP to identify whether the client's unit has been previously weatherized and determine what the date is
- Each client must be asked whether their unit has been weatherized previously and when the weatherization took place
- A visual inspection of each unit must be performed by an auditor to identify whether previous weatherization measures have been performed.

If there are no documented, verbal, visual, or physical evidence of previous weatherization services, the sub-grantee may proceed with weatherization services on the unit. If any of the above actions indicate or suspect that weatherization services have previously been rendered in a unit, the sub-grantee must check with the local agency that has historically provided weatherization services in the area to inquire about any records pertaining to the address. "Rework" is different from a "re-weatherized unit". See Section 4.7.

Indiana's policy for the weatherization of rental units complies with [10 CFR 440.16\(i\)](#), and all other pertinent regulations. Sub-grantees must have written permission of the building owner or his agent before commencing, and are required to have and abide by their written policies detailing the terms of the landlord/tenant agreement and any landlord contribution policy the sub-grantee has adopted.

Landlord agreement forms must be included in the files of all weatherized rental units. At a minimum, landlord agreements must state that:

For a one-year period after the weatherization work on the unit is completed, rent cannot be increased, unless the increase is not related to weatherization services performed. [10 CFR 440.22\(b\)\(3\)\(ii\)](#).

Landlord and/or other contributions shall be expended in accordance with the agreement between the landlord and the weatherization sub-grantee, as noted in [10 CFR 440.22\(d\)](#). Written permission of the landlord, or the landlord's agent, must be obtained prior to the weatherization of the unit.

Sub-grantees may choose to develop a Weatherization application to collect information from potential clients that do not wish to apply for the EAP program, or to collect additional information that the EAP application does not gather. The use of such an application is not required, and any Weatherization application would use the same income eligibility determination as the EAP program.

Describe Reweathering compliance

4.2 Overview of Weatherization Activities

Previously Weatherized

Prior to any weatherization activity, a unit must be evaluated to determine whether previous weatherization services have been provided. A determination must be made if the building has been previously weatherized in order to be considered eligible. Find eligibility requirements in Section 2.3.

DOE: The following actions must be taken on each DOE unit prior to weatherization services to ensure that homes that have received weatherization services within **15 years** are not re-weatherized:

- Each client's address must be checked in IWAP for previous weatherization within 15 years
- Each client must be asked whether their home has been weatherized within 15 years
- A visual inspection of each home must be performed by an energy auditor to identify if previous weatherization measures have been performed

LIHEAP/ARPA: For units utilizing LIHEAP/ARPA funds, sub-grantees may provide weatherization services to a unit previously weatherized provided that it was at least **5 years** prior to the beginning of the current LIHEAP/ARPA program year. The following actions must be taken on each LIHEAP/ARPA unit prior to weatherization services to ensure that units that have received weatherization services within **5 years** are not reweatherized:

- Each client's address must be entered into IWAP to identify whether the client's unit has been previously weatherized and determine what the date is
- Each client must be asked whether their unit has been weatherized previously and when the weatherization took place
- A visual inspection of each unit must be performed by an auditor to identify whether previous weatherization measures have been performed.

If there are no documented, verbal, visual, or physical evidence of previous weatherization services, the sub-grantee may proceed with weatherization services on the unit. If any of the above actions indicate or suspect that weatherization services have previously been rendered in a unit, the sub-grantee must check with the local agency that has historically provided weatherization services in the area to inquire about any records pertaining to the address. "Rework" is different from a "re-weatherized unit". See Section 4.7.

Describe what structures are eligible for weatherization

Indiana's sub-grantees may weatherize single site built homes, mobile homes (manufactured housing), shelters and multi-family buildings. Indiana's sub-grantees may also Weatherize units for both

homeowners and renters. The selection process is based upon client eligibility, established priority guidelines, and information gathered during the initial audit.

Once a unit is determined to qualify for services, it is up to the Energy Auditor to determine if the unit is a candidate to receive weatherization services or if the unit should be deferred.

IHCDA holds a programmatic agreement with the Indiana State Historic Preservation Office Regarding EECBG, SEP & WAP undertakings. The original agreement was signed June 2012 but pursuant [78 FR 16138](#), dated March 14, 2013 the agreement was extended through Dec 31, 2030. The agreement and extension notification can be found as an attachment to the SF-424.

Please reference V.1.1 Approach to Determining Client Eligibility, V.1.2 Approach to Determining Building Eligibility, V.3 Priorities, and V.5.2 Energy Audit Procedures descriptions within this Master File.

Describe how Rental Units will be addressed

2.2 Rental Eligibility

Indiana's policy for the weatherization of rental units complies with [10 CFR 440.16\(i\)](#), and all other pertinent regulations. Sub-grantees must have written permission from the building owner or his agent before commencing and are required to have and abide by their written policies detailing the terms of the landlord/tenant agreement and any landlord contribution policy the sub-grantee has adopted. Landlord contribution is not required by IHCDA or DOE.

Landlord agreement forms must be included in the files of all weatherized rental units. At a minimum, landlord agreements must state that:

- For a one-year period after the weatherization work on the unit is completed, rent cannot be increased, unless the increase is not related to weatherization services performed. [10 CFR 440.22\(b\)\(3\)\(ii\)](#)
- Landlord and/or other contributions shall be expended in accordance with the agreement between the landlord and the weatherization sub-grantee. [10 CFR 440.22\(d\)](#)
- Written permission of the landlord, or the landlord's agent, must be obtained prior to the weatherization of the unit

11.1 Multi-Family Policy

The following multi-family policy applies to both DOE and LIHEAP funded weatherization buildings containing five or more units. Multi-family buildings less than five units do not require prior IHCDA approval and are not subject to this policy.

IHCDA will retain 10% of BIL production funding to develop, implement, and execute a supplemental multi-family fund. Sub-grantees may not perform multi-family projects with their BIL allocation. Sub-grantees are not prohibited from participating in this multi-family program, though other entities will also be able to participate.

Sub-grantees or their contractors are responsible for performing an audit using the multi-family tool MulTEA for buildings containing five or more units. Sub-grantees must contact IHCDA to request access to MulTEA. A NEAT/MHEA audit must only be performed on buildings that's units are individually heated or cooled. Sub-grantees are responsible for all costs associated with performing this audit.

If the sub-grantee is proposing to weatherize a HUD building, the sub-grantee must refer to [WPN 22-5](#).

Sub-grantees on QIP will not be eligible to participate in the Multi-Family fund. Once placed off QIP, they may be eligible to participate.

11.2 Multi-Family Requirements

Requirements per Number of Units

Number of Units	Percent of Required Eligible Clients 10 CFR 440.22(b)(2)	State Plan WPN 16-5 FAQ	Heating WPN 19-4 & WPN 16-4	Audit Runs WPN 19-4	Units That Need an Audit WPN 16-6 FAQ	Indiana Auditor Requirement	Number of Units that Require Quality Control Inspection WPN 22-4 & 10 CFR 440.21
2-4	50%	Pre-Approved by IHCD	Separate per unit	NEAT	All	IN or BPI	All
5-10	66%	DOE approval required	Separate per unit with IHCD approval	NEAT/MULTEA		Multi-BPI	All*
11-24							
25+			Separate per unit	MULTEA			

*WPN 15-4 QCIs working in multi-family buildings attend and receive a successful evaluation from a training program delivering a curriculum based on the *NREL Multi-family Quality Control Inspector JTA*.

Note: All common areas of the building within the thermal envelop must receive weatherization and be inspected for health and safety.

Reading Requirements

All Executive Directors, Fiscal Directors, Weatherization Managers, Energy Auditors, and QCIs are required to read the following documents and complete the Multi-family Required Readings Form, MF Attachment 3.

- [WPN 16-5](#) & FAQ
- [WPN 16-6](#) & FAQ
- [WPN 19-4](#)
- [WPN 22-1](#)
- [WPN 22-4](#)
- [WPN 22-5](#)
- [WAP Memorandum 035](#)
- WAP Policy & Procedure Manual Section 2.3

11.3 Project Planning & Requirements

Audit Requirements

All units in two to four-unit buildings must be assessed. All units with a combustion appliance present must receive pre- and post- health and safety diagnostics testing.

Buy Downs

Upon agreement between the sub-grantee and building owner, building owners may buy down measures typically prioritized as needs, such as furnace or boiler replacements, that do save energy but don't achieve an SIR of 1 or greater as a stand-alone measure. A measure can be bought down only when the overall SIR of the package of measures, including the full cost of the measure that will be bought down, is 1.0 or greater. See Examples below for Case 1 and 2:

Energy Saving Economics Case 1 – Buy down allowed in WAP		
Measure	Measure SIR	Cumulative SIR
Infiltration Reduction	1.3	1.3

Lighting Retrofits	7.4	1.7
Ceiling Insulation	2.4	1.9
Replacement Windows (pre-buy down)	0.8	1.1 (≥ 1.0)

The replacement windows **would** be eligible for a buy-down in WAP; the replacement windows with a full-cost measure SIR = 0.8 could be bought down so the after-buy-down DOE *measure* cost would have an SIR of at least 1.0 (and of course the post-buy-down DOE package SIR would increase).

Energy Saving Economics Case 2 – Buy down not allowed in WAP		
Measure	Measure SIR	Cumulative SIR
Infiltration Reduction	1.3	1.3
Lighting Retrofits	7.4	1.7
Ceiling Insulation	2.4	1.9
Replacement Windows (pre-buy down)	0.6	0.9 (< 1.0)

In the second case the replacement windows **would not** be eligible for a buy-down in WAP because the pre-buy-down *package* SIR is below 1.0. [WPN 16-5](#)

Note: Please consult with IHCD before buying down measures

Owner Contribution/Landlord Participation

Per [WPN 16-5](#), every sub-grantee is required to have an Owner Contribution/Landlord Participation policy in place. Prior to commencing a multi-family project. Sub-grantees are not required to take contributions from landlords. IHCD has provided an optional Multi-family Owner Contribution Form as part of the Multi-family Project Development Form (MF Attachment 1) for sub-grantee convenience.

Owner Contribution/Landlord Participation are separate from the monies used to buy down measures.

Utilities Included in Rent

When performing Weatherization services of any rental property, including multi-family, when tenants do not directly pay for their own utilities, i.e. utilities included in rent, the sub-grantee administering the program must demonstrate the benefits to the low-income tenants. [10 CFR 440.22\(b\)\(3\)\(i\)](#). Sub-grantees must have a policy or procedure in place to properly document this. [WPN 16-5](#) Table 2.

Describe the deferral process

4.4 Deferral Standards

Although a client may meet eligibility requirements for weatherization, the sub-grantee may defer the unit for weatherization services as a result of the home not being suitable for weatherization services. A deferral may occur due to problems that are beyond the scope of weatherization such as condition of the structure, area is slated for redevelopment or health and safety reasons. Deferrals can take place during any phase of the weatherization process. This includes, but is not limited to the following:

- Pre-audit inspection
- During the energy audit
- During HVAC work
- During SHELL work
- During the quality control inspection
- Any other time during the course of Weatherization

A pre-audit inspector, energy auditor, HVAC professional, Crew Leader, Quality Control Inspector have the authority to recommend deferral to the Program Manager. All deferral initiations must be reported to the Program Manager. Any time a home visit is conducted that results in a deferral, a formal written deferral letter, as described below, must be submitted to the client. All Weatherization work must be postponed until the deferral issues have been remedied by the client and/or by an alternate funding source. Below is a non-comprehensive list of possible justification for deferral:

- Client refuses a Health and Safety Measure
- Client refuses a Major Measure, as described in Attachment 8 of [WPN 19-4](#) Client or client family/friends in the home are uncooperative, abusive, threatening, engaged in illegal activities

- Signs of illegal activities in the home, i.e., hypodermic needles, drug paraphernalia, unsecured firearms and/or weapons, etc.
- Moisture issues
- Raw sewage or other sanitary issues
- Pests, insects, vermin, and/or rodents
- Unit is for sale, foreclosed, and/or owner will not be residing in the home throughout the weatherization process
- Applicant is deceased
- Lead based paint conditions that could endanger the health of the occupants or workers
- Unit has been condemned
- Unit has structures issues that could endanger the occupants or workers
- Unit is under construction or being remodeled
- Application parameters do not reflect current household
- All other conditions that could endanger or compromise the well-being of the occupants and/or Weatherization professionals

At any point when a unit is deferred, the client must be provided with written notification of the deferral. The written notice must be in compliance with [WPN 22-7](#) and IHCD State Plan. A copy of the written notification of deferral to the client must be placed in the client file. The client must also be given a copy of the signed and dated Moisture Assessment form. A copy of this form must also be in the client file. For each deferral issue within the home, there must be a meaningful corresponding photograph of the issue(s) in the client file. The deferral notification to the client must include the instructions for pursuing an appeal to the deferral. This appeal must follow established protocol outlined in the Appeals Procedure section of this manual. The deferral notification must be sent to the client in writing and must include the following:

- A signed Moisture and Home Assessment Form
- Reason(s) for deferral
- Actions and timeline required by client to receive Weatherization services
- Appeal process

When a deferral occurs once the weatherization process has commenced, all work is required to be completed and pass a QC inspection by a QCI within 12 months of the application date in order to be counted as a completion. If this is not possible, the sub-grantee must submit the following documentation to IHCD with the following information for a Provisional Closeout, which may be approved by IHCD, but will not count as a completion:

- Meaningful photographs of the cause(s) for deferral
- Moisture Assessment Form
- Documentation of client education as required per [WPN 22-7](#)
- Client Health Screening, when applicable
- Concise timeline beginning with approved application date, date of pre-audit (when applicable) date of audit, date of HVAC, date of SHELL, date all deferrals
- Justification stating the reason work could not be completed in a timely manner
- All other documentation as requested by IHCD

The cost associated with deferred units are an allowable charge under Base Program Operations. Sub-grantees must document on the deferred invoice that the charge was for a deferred home and it not attributed to any particular completion. All costs must be reported to IHCD on IWAP and to the tracking spreadsheet on SharePoint.

All agencies will pursue alternative funding resources to reduce the occurrence of deferral. Agencies should establish lines of communication with other funding sources so that referrals can occur in an efficient manner. The following is a list of potential non-exhaustive funding sources to help remedy situations in a home:

- U.S. Department of Housing and Urban Development (HUD) - HOME Program

- HUD - Community Development Block Grant
- U.S. Department of Health and Human Services - Community Services Block Grant
- U.S. Department of Agriculture - Rural Economic Community Development
- State-funded housing and rehabilitation programs
- Low-income program funds provided by local utilities
- City-funded housing and rehabilitation programs
- Donations or financial participation from landlords
- Donations from local churches or community groups

The costs associated with deferred audits are an allowable charge under Base Program Operations. Those agencies using contractors must be able to document on the deferral invoice that the charge was for a deferred home and is not attributable to any particular completion. Pictures documenting the conditions leading to deferral must be placed in the client file.

When possible, IHCD monitoring staff reviews at least two deferred client files during monitoring.

2.4 Appeals Procedure

When a Weatherization sub-grantee determines that a household is ineligible, the sub-grantee, within 10 business days, must provide a written denial to the client detailing the reason(s) for the denial and advising them of their right to appeal the decision. Weatherization sub-grantees must retain in the client file a copy of the denial letter with the appeal procedure that was sent to the client.

Pictures must be taken to document the conditions leading to deferral and must be placed in the client file.

IHCD strongly recommends that the **Applicant Notification Form** found in *Appendix R* be the basis of any form created by the Weatherization sub-grantee to notify weatherization clients of their denial of services.

Applicants may appeal a denial. Allowing a client to appeal a sub-grantee's decision is mandatory for the Weatherization Assistance Program. The appeals procedure must be communicated to households whose assistance has been denied. When the sub-grantee provides written notification of denial to an applicant, the notification must include the household's right to appeal that determination.

The "right to appeal" information provided to any denied household must contain the following two processes:

- **Local Review:** The client must send their written appeal to the local sub-grantee's Weatherization Manager or Executive Director within 30 days of receipt of the denial. The sub-grantee's Executive Director or Weatherization Manager determines the applicant's eligibility on review within 10 business days of receipt of the applicant's written appeal. All appeal documentation must be saved in the client file and IHCD's Community Programs Manager - Weatherization must be notified of denied appeals. The final determination for the appeal must be sent to the client in writing by the sub-grantee's Executive Director.
- **State Review:** If the client is not satisfied with the sub-grantee's determination, they may request formal review by the State, but it must be submitted in writing. This request is made by submitting the appeal to IHCD's Director of Community Programs. The sub-grantee may submit this appeal on behalf of the client or the client may submit it directly to IHCD. This request for formal review must be made within 30 days of receipt of the sub-grantee's appeal determination. The appeal must include the stated reasons for the Client's objection to the decision; reasons must be based solely upon evidence supporting one of the following circumstances:
 - Clear and substantial error or misstated facts which were relied on in making the decision being challenged/appealed
 - Unfair competition or conflict of interest in the decision-making process
 - An illegal, unethical or improper act; or
 - Other legal basis that may substantially alter the decision

The appeal must be made in writing and received by the Indiana Housing and Community Development Authority (IHCDA) within 30 days of receipt of the sub-grantee's final decision. The appeal is to be sent to the IHCDA's Director of Energy and Utility Programs who will make the final determination. The client will receive written acknowledgement of receipt of the appeal by the Director of Energy and Utility Programs within 5 business days, noting the day the appeal was received. All pertinent material from the case will be requested from the Weatherization sub-grantee by IHCDA in order to make a determination. The applicant, as deemed appropriate, shall have the opportunity to review all documentation submitted to IHCDA. The Director of Energy and Utility Programs will have 30 days from IHCDA's receipt of the written request for appeal to review the file and make a determination. The decision of the Director of Energy and Utility Programs is final.

This appeals policy also applies to clients who may be dissatisfied with the weatherization work after it occurs, within the one-year warranty period. The client must send their written appeal to the local sub-grantees Weatherization Manager or Executive Director within 30 days of receipt of the denial. The sub-grantee must then follow the right to appeal process detailed above.

V.1.3 Definition of Children

Definition of children (below age):

18

V.1.4 Approach to Tribal Organizations

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

Native Americans are served in the general population and will be eligible to receive benefits equivalent to the assistance provided to other low-income persons living in Indiana.

V.2 Selection of Areas to Be Served

Selection of sub-grantees to implement the Weatherization Assistance Program is made in accordance with [10 CFR 440.15\(a\)](#). Preference is given to any sub-grantee that has administered, or is currently administering, an effective program, with program effectiveness evaluated by consideration of factors including, but not limited to:

- Demonstrated ability to achieve projected goals and objectives,
- Quality of weatherization work as demonstrated by past program performance,
- Ability to staff program with qualified, trained, and experienced employees,
- Previous program experience, both in weatherization and other low-income program, and
- Ability to fulfill procedures for fiscal record keeping under Indiana and Federal codes.

IHCDA contracts with twenty (20) sub-grantees to cover Indiana's 92 counties. Of the 20 sub-grantees, 19 are Community Action Agencies, and JobSource (DBA Central Indiana Community Action Program) is a unit of local government.

If one of the current sub-grantees is unable to administer the Weatherization Program in their respective county or counties, or if their program is cited for non-compliance, corrective actions will be taken. With support from IHCDA and the awarded technical assistance provider, the Subgrantee in question will:

- Be placed on a Quality Improvement Plan (QIP). A QIP is prescribed to sub-grantees with a significant number of technical findings and/or program deficiencies. The QIP process includes drafting a remediation plan, assigning responsibilities for resolving findings, and fully participating in monthly monitoring visits.
- IHCDA also may implement a modified QIP. A modified QIP is prescribed to sub-grantees with less dire, but still numerous, findings and concerns. The modified QIP process includes drafting a remediation plan, assigning responsibilities for resolving findings, and quarterly monitoring visits.

If the QIP does not result in the correction of all issues in question, IHCDA has the option to either extend the QIP period or remove the Weatherization Assistance Program from the sub-grantee. If the State

chooses to remove the weatherization program from the sub-grantee, IHCDCA will go through the following actions to ensure continued service in the sub-grantee's service area:

- Removal of the program from the sub-grantee will typically not be done until a suitable organization can be found to administer the program, either on a temporary or permanent basis. Under certain circumstances, it may be necessary to remove the Weatherization Assistance Program (WAP) from a sub-grantee immediately if the territory is not being serviced by the sub-grantee, or if a sub-grantee is not operating under an active Weatherization Assistance Program (WAP) contract. Under these conditions, IHCDCA will follow the Request for Qualifications (RFQ) and Request for Proposals (RFP) processes outlined below immediately following this process.
- If funding is removed in part from a particular sub-grantee, IHCDCA will exercise discretion in either redistributing that funding to existing sub-grantees or new sub-grantee(s) using the RFP method identified below, or awarding funding to those sub-grantees meeting qualifications under [10 CFR 440.15](#) and are capable of handling additional funds, as evidenced by their grant spending in conjunction with production benchmarks.

6.2 Allocations

Federal Allocation

DOE and LIHEAP allocations are distributed using the census-based allocation formula.

- 95% or more of the prior grant cycle contract total must have been expended.
- Final Closeout Reports must be submitted and approved within **45 days** after the grant cycle ends. IHCDCA DMS, IWAP Quarterly, Job Expense and sub-grantee Closeout Report must match exactly when final claims are processed including all line items and averages.
- When available, a 15% average energy savings as determined by realized energy analysis of local sub-grantee production.
- Sub-grantee must meet the 45-day requirement for vendor and subcontractor payments.

Reallocation of Funds

Sub-grantees failing to meet quarterly as detailed on their most recent budget form may be subject to funding allocation reduction or redistribution at IHCDCA's discretion. Any reallocation will be to ensure proper utilization of Weatherization funds throughout the grant cycle.

Sub-grantees eligible for redistributed funds will be determined based on, but not limited to, the following criteria:

- Current level of expenditures for all active weatherization related programs
- Timely and accurate submission of claims
- QIP, MQIP, or Tiered funding status
- Achieved quarterly benchmarks
- Financial and program management capacity

IHCDCA will desktop monitor sub-grantee production, expenditure rates, and average cost per unit throughout the life of each DOE and LIHEAP funds. This desktop monitoring will occur in accordance with the funding benchmarks as established by the sub-grantee on the appropriate DOE or LIHEAP budget form. In cooperation with meeting production and expenditure benchmarks, sub-grantees must maintain the appropriate ACPU of each DOE and LIHEAP funds.

This will include a comparison of production as recorded in IWAP and the amount of grant funds claimed through IHCDCAOnline. This will be used to track whether or not sub-grantees are maintaining the proper ACPU for DOE and LIHEAP. Please refer to the IHCDCA grant agreements, Appendices of Budget Definitions for additional guidance regarding the average cost per unit and for the administration of Weatherization grant funds.

Request for Additional Funds

Sub-grantees may request additional funding. In the case that a request is made, the sub-grantee must send in the request via letterhead to wx@ihcda.in.gov.

Tiered Allocation

Sub-grantees which have failed to meet program expenditure benchmarks, are experiencing financial difficulty, or appear to have a lack of proper programmatic oversight may be placed on a tiered allocation. While on a tiered allocation, sub-grantees must expend funds according to a structured schedule. The performance benchmarks or expenditure percentages, when possible, are based on the sub-grantee's performance in prior years. Failure to meet expenditure benchmarks may result in a reduction of funding. Tiered allocation may be included as part of the sub-grantee grant agreement, when applicable. Sub-grantees placed on a tiered allocation may be subject to an increased level of claim review.

Reduction of Funds

A reduction in funding may occur if IHCDCA deems it necessary, or if a sub-grantee:

- Voluntarily returns one or more counties within its service territory
- Returns substantial amounts of allocated funds
- Fails to complete a QIP or MQIP within two consecutive program years
- Fails to meet the expenditure and/or benchmarks
- Experiences financial or programmatic challenges

Request for Qualifications and Request for Proposals

IHCDCA may post a Request for Qualifications (RFQ) or Request for Proposals (RFP) to identify organizations suitable to provide services within a particular service territory. The RFQ/RFP is designed to increase the service capacity of that territory and to provide additional service opportunities for program beneficiaries. A sub-grantee will be notified if an RFQ/RFP is posted within its service territory. The goal is to find the most qualified service provider within a territory. It is important to note that RFQ/RFP are open to the general public, as well as current sub-grantees. Eligible applicants will be determined based on the Federal regulations for the WAP. IHCDCA will make a reasonable effort to assess if there is an adjacent, existing sub-grantee to support service delivery. Sub-grantees are encouraged to seek assistance from other sub-grantees who have the capacity to provide support. This step could result in avoiding the need for the RFQ/RFP process. RFQ/RFP will be issued as IHCDCA deems necessary. The RFQ/RFP may also be posted for the following reasons including, but not limited to:

- The sub-grantee has been on a QIP/MQIP for more than two consecutive program years
- Failure to meet expenditure benchmarks for more than two consecutive program years
- Sub-grantee continues to demonstrate program deficiencies found during monitoring
- Sub-grantee voluntarily forfeits one or more counties within its service territory
- IHCDCA has removed one or more counties from a sub-grantee due to performance issues
- Sub-grantee is involuntarily removed from a particular area due to fraudulent or major misappropriation of funds; legal action has been taken against the sub-grantee, or the sub-grantee dissolves
- The territory is not being serviced by the sub-grantee
- Sub-grantee is not currently operating under an active WAP contract

Like RFQs, the goal of the RFP is to find the most qualified service provider within a prescribed service territory. Therefore, it is important to note that RFPs are open to the general public as well as the community action network. Eligible applicants will be determined based upon the federal regulations for the program. IHCDCA will make a reasonable effort to assess if there is an adjacent, existing sub-grantee to support service delivery. Using an adjacent sub-grantee will be determined on a case by case basis.

V.3 Priorities

4.1 Client Priorities

All weatherization work must follow Department of Energy rules and regulations unless exceptions are specifically stated in the Policy and Procedures Manual, grant agreement and/or program guidance. Several exceptions are listed in Section 6. Any deviation from DOE guidelines, Indiana Policy and Procedures Manual or the Indiana Weatherization Field Guide SWS-Aligned Edition must have written approval from IHCDCA prior to working on a unit. This approval only applies to the unit the request was made for and must be printed and placed in the client file.

Once eligibility has been determined, the sub-grantee must follow its client priority policy. Each sub-grantee will develop written procedures by which it assigns priority eligible households. The written procedure must be reviewed and approved by IHCD and the approval will be verified during monitoring. In accordance with [10 CFR 440.16](#), priority must be given in identifying and providing weatherization assistance to households where one or more of the following exist:

- High energy usage
- High energy burden
- Elderly household member(s) (60 years or over)
- Disabled household member(s)
- Household member(s) under the age of 18

Households that do not meet at least one of the priority categories may only be served if all eligible priority households in the Service Provider's territory have been served. Within the above listed priority, sub-grantees may choose the order in which households are served. Priority systems must be applied equally to both renter and owner-occupied units and applied equitably to all areas of the sub-grantee's territory. As defined by the Department of Energy, DOE, in [10 CFR 440.3](#), Definitions, a household with a high energy burden means a low-income household whose residential energy burden (residential expenditures divided by the annual income of that household) exceeds the median level of energy burden for all low-income households in the State.

As defined by DOE's [WIP Energy Burden](#), the Low-Income Energy Burden (% of income) for Indiana, ranges from 8%-10%, therefore High Energy Burden can be defined as an Energy Burden more than 10%.

Agencies that choose to develop their own methods for prioritizing clients must still adhere to federal regulation [10 CFR 440.16\(b\)](#), develop written procedures, and seek approval of the methodology from IHCD. Each sub-grantee must develop a client-facing priority policy so that clients are able to understand the selection process. This policy will be reviewed during monitoring

V.4 Climatic Conditions

The climate of Indiana is humid and continental. Summers are typically hot and humid throughout the state, while winters generally range from cool to cold. Precipitation in Indiana is moderate year-round.

Severe weather is common in the state, although there are typically fewer tornado reports in Indiana than in states located in what is known as "Tornado Alley". Lake effect snowstorms also are common on the southeast shore of Lake Michigan, which is located in an area designated as "the Snowbelt" (source: Indiana Department of Natural Resources). Indiana sub grantees use the following weather stations when completing energy audits:

Indiana Heating and Cooling Degree Days

Station Name	State	City	HDD	CDD
CHICAGIL.WX	IL	Chicago	5408	1306
EVANVLIN.WX	IN	Evansville	4076	1612
FTWAYNIN.WX	IN	Fort Wayne	5519	1041
INDNAPIN.WX	IN	Indianapolis	4914	1320
SOBENDIN.WX	IN	South Bend	5568	1144
LOUIVKY.WX	KY	Louisville	3759	1886
CINCINOH.WX	OH	Cincinnati	4529	1306

Source: NOAA

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

IHCDA will ensure maximum energy savings by making certain that homes weatherized in Indiana receive the highest quality of work. The Indiana Weatherization Program accomplishes this by maintaining highly qualified monitors and a progressive training facility. To ensure that procedures are being properly applied, sub-grantees receive specific technical training along with field visits and enhanced training at the field site.

To meet requirements within [WPN 22-4](#) IHCDA added the following language to their sub-grantee contracts:

Sub-grantees shall perform weatherization services during the Term in accordance with the U.S. Department of Energy Weatherization Assistance Program State Plan for the State of Indiana, the Indiana Weatherization Field Guide, the Indiana Weatherization Policy and Procedures Manual, other State Weatherization directives as applicable, and any amendments thereto (collectively "State Weatherization Plan and Directives"). Upon completion of the document aligning Indiana's Weatherization Field Guide and DOE's Standard Work Specifications (SWS), sub-grantees shall abide by and perform all work in accordance with said document. The sub-grantee's signature on this agreement signifies its responsibility to follow all work standards as outlined in the documents referenced in this paragraph.

Additional language was added as follows:

Sub-grantees shall ensure that all Weatherization staff and sub-contractors who perform or provide Weatherization services to client homes receive and adhere to all standards as outlined in Indiana's Weatherization Field Guide, Indiana's Weatherization Policy and Procedures Manual, the Department of Energy Weatherization Assistance Program State Plan for Indiana and other State Weatherization directives as applicable. Upon completion of the document aligning Indiana's Weatherization Field Guide and DOE's Standard Work Specifications (SWS), sub-grantees shall abide by and perform all work in accordance with said document. The sub-grantees's signature on this agreement signifies its responsibility to follow all work standards as outlined in the documents referenced in this paragraph as well as its responsibility to ensure that its Weatherization staff and sub-contractors receive and review these documents and use them to guide the Weatherization work performed in client homes by them.

IHCDA utilizes the Indiana Weatherization Policy and Procedures Manual and the Indiana Weatherization Field Guide aligned with DOE's Standard Work Specifications to regulate the Weatherization services provided throughout the State of Indiana.

All WAP services provided by Indiana's Weatherization sub-grantees must be performed in compliance with a properly completed NEAT/MHEA/MuTEA run. Additionally, IHCDA will allow use of the new DOE Priority List upon sub-grantees discretion as an alternative to existing auditing procedures. All WAP services must also meet or exceed the expectations of Indiana's field guide/SWS and the requirements of [10 CFR 440, Appendix A](#).

The most recent field guide and variances were approved by the DOE in August 2021. A 5-year renewal will be required by August 2026. The Field Guide also includes information and forms specific to Indiana's WAP.

To help prepare Indiana's Weatherization Network for the implementation of the updated field guide and SWS alignment, INCAA, in conjunction with IHCDA, will utilize Semi-Annual Technical Trainings and Semi-Annual Manager's Meetings to expose the network to the guides and remind them of implementation timelines. In addition to this training, INCAA will also perform T&TA visits to individual sub-grantees to assist them with understanding and using the aligned document.

IHCDA has received DOE approval for Indiana's SWS/Field Guide, IHCDA has made the document available to Indiana's Weatherization Network. Indiana's sub-grantees are required to implement and adhere to the aligned document. The links are also available on IHCDA's website and on the training center's website and identified within the IHCDA Weatherization Policy and Procedures Manual.

Indiana's Weatherization Policy and Procedures Manual and Program Notices contain requirements that sub-grantees follow, among other regulations, Indiana's aligned Field Guide and SWS.

Indiana's Weatherization Policy and Procedures Manual is updated annually at the start of the DOE funding cycle. The major goal in updating the policy manual is to ensure that Indiana's sub-grantees have up-to-date guidance for properly managing Indiana's WAP. IHCD ensures that the information in the policy manual is consistent with Indiana's aligned Field Guide and SWS as well as DOE, HHS, EPA and HUD guidelines where applicable. The policy manual also contains all required forms utilized within Indiana's WAP. The most recent update of Indiana's Policy and Procedures Manual was completed in January 2022. This updated manual was supplied to Indiana's Weatherization sub-grantees and INCAA as well as being posted on IHCD's website. IHCD will highlight the updates to the 2022 manual during two Semi-Annual Manager Meetings (SAMMs) conducted in the spring and fall of 2022.

In addition to the above information, IHCD regularly encourages their sub-grantees to reference the wealth of Weatherization related knowledge contained on the NASCSP and DOE websites.

IHCD also considers the training staff at INCAA and the contracted monitor(s) as technical guides and resources. These individuals are available by phone, email, and when possible, local visits. The combined years of Weatherization experience of these individuals make them a valuable resource to Indiana's WAP network.

Field guide types approval dates

Single-Family: August 4, 2021

Manufactured Housing: August 4, 2021

Multi-Family:

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure	Single-Family
Audit Name	NEAT
Approval Date	12/08/2021

Audit Procedure	Manufactured Housing
Audit Name	MHEA
Approval Date	12/08/2021

Audit Procedure	Multi-Family
Audit Name	MuTEA
Approval Date	12/08/2021

Comments

DOE Priority List

Prior to any weatherization activities, each eligible dwelling must undergo a whole-home energy audit by a trained energy auditor. The Auditor will evaluate the health & safety of a home and conduct field measurements and diagnostic testing to identify areas for energy savings and enhancements.

The data collected may be used to follow the optional DOE-Sponsored Priority List (PL) for a Single-Family Site-Built Home or Manufactured Home for region 3 (cold) or by performing a NEAT/MHEA audit. Links to PLs:

- [WPN 22-8 Attachment 1: DOE-Sponsored Priority List for Single-Family Site-Built Homes](#)
- [WPN 22-8 Attachment 2: DOE-Sponsored Priority List for Manufactured Homes](#)

The optional PL is not exhaustive and does not include every measure that may be cost effective on a site-specific basis. NEAT/MHEA must be utilized if the home does not meet the basic requirements of the PL. NEAT/MHEA must be utilized:

1. When there is a need of the dwelling unit that is not included within the PL.
2. When there are more than 3 stories in height above grade.
3. When the primary heating system is:
 - a. a sealed-combustion natural gas furnace originally rated for >90% AFUE.
 - b. a heat pump manufactured after 2006.
4. When the Job will exceed \$500 in incidental repairs meeting the definition outlined in WAP WPN 19-5.
5. When an auditor is unsure how to prioritize measures needed in a home based upon budget constraints.

When utilizing the PL subgrantees are required to perform all applicable measures noted as mandatory on the PL.

Whether a sub-grantee is using NEAT/MHEA or the PL, all forms listed in section 3.2 Required Forms are required to be complete when applicable and in the file for every unit. This includes the Quality Control Inspection Form. All units are required to receive a quality control inspection by a BPI Quality Control Inspector, as outlined in the Section 7 and WPN 22-4. All quality control inspections must be performed in accordance with 10 CFR 440.16(g) and WAP Memorandum 010. See 4.2 Overview of Weatherization Activities-Quality Control Inspections for minimum requirements.

Indiana's Audit Procedures

Subgrantee auditors conduct a whole-home audit and work is completed based on what the results of the audit specify is required to make the home more energy efficient. All homes being weatherized are treated with the whole-home system approach, with the goal of aligning thermal and pressure boundaries on every home. Additionally, as part of the whole home audit, extensive testing of combustion appliances is conducted to ensure client and worker health and safety. After the initial audit is completed, Subgrantee crews or contractors may then complete the weatherization work based on a site specific audit using NEAT/MHEA/MulTEA.

The use of a NEAT/MHEA/MulTEA audit ensures that all completed work meets DOE and IHCD expectations for quality and effectiveness. Beginning April 1, 2021, sub-grantees must complete NEAT/MHEA/MulTEA audits on 100% of units, except when using DOE's Priority List.

Incidental Repairs

In NEAT/MHEA/MulTEA, (following DOE guidance) an Incidental Repair Measure (IRM) needs to be associated legitimately with an Energy Conservation Measure (ECM). The cost for the IRM is not tied to the Savings to Investment Ratio (SIR) for that ECM but is included in the calculation for the overall job SIR. An IRM or multiple IRMs may be performed as long as the overall job SIR is 1 or greater.

The energy audit approval dated 12/08/2021 applies specifically to small multi-family buildings (between 5 & 25 units) which have individually heated, cooled domestic hot water (DHW) systems using NEAT. Buildings beyond that scope are handled on a case-by-case basis and require MulTEA to be used to perform the audit.

Pursuant to [5 USC 552\(b\)\(6\)](#) of the Freedom of Information Act, Subgrantees eligible to participate in utility programs, or participate in a state or regional-level study, are required to keep confidential any specifically identifying information related to an individual's eligibility application for WAP, or the individual's participation in WAP, such as their name, address, or income information. IHCD and Subgrantee States may release information about recipients in the aggregate and which does not identify specific individuals (For example, information on the number of recipients in a county, city or a zip code does not compromise the privacy of the recipients). Subgrantees interested in participating in utility programs or studies must submit requests to IHCD for approval before entering into any third-party agreements.

Timeline

4/19: Grantee required all sub-grantees must utilized NEAT/MHEA/MuTEA on at least 25% of all energy audits; Grantee contracted INCAA Training Center to create 2-day NEAT/MHEA/MuTEA course with a test to verify successful completion of the training

4/20: Grantee required all sub-grantees must utilized NEAT/MHEA/MuTEA on at least 50% of all energy audits; Grantee added to Wx Policy that all Energy Auditors and Quality Control Inspectors are required to complete the 2-day NEAT/MHEA/MuTEA training at INCAA; Grantee monitoring includes supplemental T&TA as necessary during monitoring process; Grantee monitoring includes monitoring of accurate inputs/reports in NEAT/MHEA/MuTEA; Grantee monitoring and INCAA provided Indiana specific NEAT/MHEA/MuTEA manual(approved by DOE); Grantee supported NEAT/MHEA/MuTEA training through INCAA for Wx Program Manager NEAT/MHEA/MuTEA training

3/2020: INCAA training team leader connected with Oakridge National Laboratory energy modeling software team regarding training for the online platform.

4/1/21: Grantee will require all sub-grantee utilized NEAT/MHEA/MuTEA on 100% of all energy audits. INCAA training center will continue to provide 2-day NEAT/MHEA/MuTEA course as well as needed TTA per request of sub-grantees and as recommended as a result of IHCDAs recommended monitoring recommendations/requirement.

3/2021: IHCDAs and INCAA staff will continue to monitor releases from DOE, NASCSP, ORNL or other sources for the Conversion Curriculum Release. Once the release is made, the team will meet to review and discuss the Conversion Curriculum. Input will be compiled and prepared for Solicitation for Input in 4/2021

4/2021: INCAA training center will respond to Solicitation for Input upon announcement from DOE, NASCPS, or ORNL.

7/2021: IHCDAs and INCAA staff will meet to review the Initial Preview post Conversion and Solicitation.

9/2021: INCAA training will review Core Release and await scheduling for Train-the-Trainer events

11/2021: IHCDAs and INCAA staff will attend Train-the-Trainer event; IHCDAs will release memorandum to sub-grantees stating requirement for all energy auditors, quality control inspectors, and Wx Program Managers to attend online platform training prior to 4/1/2022.

1/2022: INCAA training team will update existing curriculum to reflect changes as a result of the migration to web based NEAT/MHEA/MuTEA energy modeling.

2/2022-3/2022: INCAA training team will add 2-8 (or more as necessary) events for sub-grantees required web-based training migration.

4/2022: INCAA training will continue to offer periodic 2 day NEAT/MHEA/MuTEA course as needed and as requested, indefinitely. INCAA training and IHCDAs monitoring will continue to provide one-on-one TTA as recommended, requested, or required, indefinitely.

4/2022: IHCDAs 2022 State Plan and Policy Manual will require all sub-grantees to utilize the web based version of the energy modeling software starting 4/1/2022. IHCDAs monitoring will add a monitoring inspection point to the 4/2022 monitoring checklist to ensure compliance by all sub-grantees. INCAA training center will continue to maintain relationship and contact with ORNL as needed. These dates are subject to change based on actual timeline vs proposed timeline as outlined in [WAP Memorandum 091](#).

V.5.3 Final Inspection

Each sub-grantee, or its authorized representative, is required to complete a pre- and post-inspection of each unit weatherized.

4.2 Overview of Weatherization Activities

Initial Audits

Prior to any weatherization activities, each eligible unit must undergo a whole-home audit by a trained energy auditor (as defined in Section 7). Audits are conducted according to the DOE-approved NEAT/MHEA/MulTEA audit.

Interim Inspections

An Interim Inspection is required on all units, except 100% electric without fireplaces. The purpose is to evaluate work performed on the mechanical systems to evaluate all health and safety issues that could be created or made worse by Weatherization measures. Interim inspections must be performed by an Energy Auditor, Quality Control Inspector, Retrofit Installer Mechanical, or HVAC Professional. IHCD prohibits anyone inspecting their own work that results in payment from the sub-grantee. Interim inspector must complete, sign, and date the appropriate form(s). Additionally, the interim inspector must include applicable notes and notate if the inspection passes or fails. If work cannot be inspected within 45 days of invoice, an interim inspection must be performed to verify that the heating work is done correctly ensuring payment can meet per the required 45-day deadline.

Quality Control Inspections

All units are required to receive a quality control inspection by a BPI Quality Control Inspector, as outlined in the Section 7 and [WPN 22-4](#). All quality control inspections must be performed in accordance with [10 CFR 440.16\(g\)](#) and [WAP Memorandum 010](#). The minimum requirements are:

- All applicable forms signed by QC inspector (with name printed also).
- Date the QC inspection was completed
- Sign off by the QC inspector verifying the scope of work and it is in the file.
- Identify corrections necessary (and full cycle of verification).
- Review/verify all appropriate measures were on work order
- Identify/verify documentation and justification for any measures not installed are in the file
- Diagnostics at Inspection
- Sign off by the QC inspector verifying bid(s) against invoices; audit cost inputs against invoice actuals and make note of any areas where there is deviation from bid/audit input
- Client Signature – sign off the work was accomplished
- All materials have been properly installed

If a unit cannot be entered for QC inspection, the client file must contain documentation clearly stating the reason the QC inspection could not be completed. A Provisional Closeout may be approved by IHCD. In order to receive a Provisional Closeout, the following must be documented in the client file:

- Three verifiable attempts must be made to schedule a QC inspection (one attempt must be a certified letter). Certified Letter to client should include:
 - Documentation of missed scheduled appointments by the client and/or the client refusal to allow entry to complete final work or perform an inspection.
 - Language stating that the client will have a minimum of seven working days to contact the sub-grantee to allow re-entry to complete work and/or the QC Inspection
 - Consequence of not responding within the 7-day period: all warranty and liability associated with materials installed and work performed will be forfeited whereas the client releases the State of Indiana, the Indiana Housing and Community Development Authority, and the Weatherization Administrator its agents and employees from any and all liability for losses, damages, costs, personal injury, death, or other claims because of or in relation to the installation, location, or malfunction of measures performed
 - Client's right to appeal the consequence in writing to IHCD within ten (10) business days of receipt of letter. A letter or email must be sent to IHCD, attention of the Director of Community Programs, 30 South Meridian Street, Suite 900, Indianapolis IN, 46204

- The request should detail the specific circumstances related to the issue and why access to the unit has been denied or is unavailable
- All appropriate documentation, including communication with the client, should be included with the request

Units approved for a Provisional Closeout will not be allowed to be counted as a completion. However, costs can be spread across grant completions and claimed to IHCD. IHCD will respond in writing to approve or deny the request for a Provisional Closeout or to request additional information. Until the written approval from IHCD is received, final claims cannot be submitted for the unit.

Client Refusal to Sign

Units that have had a QCI conducted but the client refuses to sign off on the work, the unit can be counted as a completion upon approval by IHCD. In order for IHCD to consider the unit a completion, sub-grantees must send the entire client file with personal identifying information (PII) redacted and a detailed explanation regarding client refusal to sign to iwx@ihcd.in.gov. It is recommended that Weatherization sub-grantees, whenever possible, complete the QC inspection process on the last day that contractors or crews will be in the unit, as this eliminates the need to gain access to the unit after services have been rendered.

Failed Quality Control Inspection

If a QC Inspector and a sub-grantee cannot come to a mutual agreement regarding a failed QC inspection, a neutral third party QCI must be utilized to make the determination. A neutral third party QCI cannot be an employee of the sub-grantee. The QCI could be from another subgrantee or subcontractor.

8.5 Monitoring Reporting Process

Monitoring Appeals Process

If the sub-grantee informally appeals (disagrees with) any item on the WAP Monitoring Report, the sub-grantee must send an informal appeal via email to IHCD's Program Monitor within 10 days of the receipt of the monitoring report.

- IHCD will respond within 10 days of receipt of sub-grantee's Informal Appeal to the Monitoring Report.
 - If IHCD **agrees** with all items identified in the sub-grantee's **Informal Appeal**, the sub-grantee will receive a revised monitoring report that will be used to ensure all actionable items are completed.
 - If IHCD **does not agree** (in-full or in-part) with the sub-grantee's **Informal Appeal**, the sub-grantee will receive an **IHCD Informal Appeal reply**.
- The sub-grantee will provide a **second response** within 10 days. (If applicable)
 - If the sub-grantee **agrees** with the reasons described for not changing items identified in the informal appeal, the sub-grantee's second response is to be sent to the IHCD.
 - If the sub-grantee **disagrees** (in-full or in-part) with IHCD's **Informal Appeal** response, the sub-grantee may submit a **Formal Appeal** in writing to the Director of Energy and Utility Programs. The Director of Energy and Utility Programs will review the formal appeal and provide a written decision within 30 days. This decision will be final.

Following [WPN 22-4](#), every completed home in Indiana must be inspected by a BPI Certified Quality Control Inspector.

IHCD ensures compliance with [10 CFR 440.16\(g\)](#) and [WPN 22-4](#) by monitoring at least 10% of client files and at least 5% of homes completed by each Subgrantee to adjust for QCI/auditor combo. IHCD will allow two options for meeting the Quality Control Inspection requirement. Sub-grantees must apply to IHCD in order to be able to utilize the Energy Auditor as the QCI option, and must indicate their intended method to IHCD for consideration. Sub-grantees that are unable to meet the deadline, or do not submit a plan to IHCD will be required to utilize an Independent QCI.

Independent QCI

The QCI is an individual that has no involvement in the prior work on the home, either as the auditor or as a member of the crew. If this method is utilized, IHCDCA will monitor a minimum of 5% of DOE completions.

Energy Auditor/QCI

- A. The auditor performs the audit, creates the work order, and performs the final quality control inspection. The auditor is not involved in any of the actual work on the home. Because this model does not allow for an independent review of the audit on every home, IHCDCA is required to increase the percentage of quality assurance reviews to ensure that audits are being performed consistently and correctly. IHCDCA will monitor a minimum of 10% of DOE completions.
- B. Inspectors shall not participate in professional activities involving a conflict of interest. A conflict of interest occurs when an inspector is inappropriately motivated by any financial, personal, or professional incentive other than the production of a professional report that clearly, completely, and usefully reflects the conditions observed during the audit. Inspectors shall avoid, whenever possible, even the appearance of a conflict of interest and shall disclose all potentially questionable associations and relationships in advance to IHCDCA.
- C. Inspectors shall not inspect work performed by organizations under arrangements whereby any compensation or future referrals to the inspector depend on or are influenced by the findings of the report. Compensation includes direct and indirect remuneration as well as substantial gifts and favors. Inspectors shall not accept any form of compensation for recommending products or services to clients or other parties having an interest in the inspected work.
- D. Additional documentation may be required by IHCDCA if necessary, including:
 - Documentation of the independent status of the Quality Control Inspector
 - Documentation outlining any involvement of the QCI in the audit process
- E. Quality control inspections are subject to IHCDCA assessment of effectiveness and compliance with program inspection policies and monitoring will include documentation of any findings related to the quality of the inspection and impartiality of the inspection process.
- F. IHCDCA will maintain tracking of all sub-grantee QCI activities to include all aspects of the sub-grantee-developed QCI process, subsequent corrective actions, and final outcomes. The QCI auditor cannot be the manager.
- G. If QCIs are found to be out of compliance, remedial training may be required for the QCI, the installation contractor, and/or sub-grantee staff. Limited remedial training may be provided by IHCDCA staff on-site at the time of the monitoring, or more extensively through the training facility at INCAA if necessary. Alternatively, IHCDCA staff may provide more comprehensive training at a later date. Repeated non-compliance issues after remedial training may result in the agency being placed on QIP, or a reduction in funding. All compliance issues found with QCIs are subject to IHCDCA review, and may result in the QCI not allowed to perform inspections for Indiana WAP.
- H. Sub-grantees may not be considered if one or more of the following program deficiencies are identified:
 - General Administrative Deficiencies that include late interim or closeout reports, late completion reporting (data entry), lack of procurement policies, outdated cost allocation plans.
 - Fiscal Reporting issues that include failure to claim expenses on a monthly basis, repeated occurrences where expenses are submitted more than 45 days after the invoice or purchase order date, contractors paid beyond the 45 day requirement.
 - Staff or contractors fail to receive proper certifications.
 - Average cost per unit exceeds cost guidelines set forth by DOE or HHS (LIHEAP) funding.
 - At least 25 percent of client files reviewed are deemed ineligible.
 - High risk outcome on the Risk Assessment.

Sub-grantees are required to ensure that each weatherization completion receives an appropriate and properly executed final inspection. This inspection must be performed by a BPI-certified Quality Control Inspector (QCI). IHCDCA, as part of their regular monitoring procedures, will review final inspection forms,

sub-grantee inspection processes and completed homes to ensure the inspections are being performed correctly and in a manner that meets DOE expectations as outlined in [WPN 22-4](#). Failure by the sub-grantee to utilize the QCI process correctly may result in the associated completion(s) being considered unallowable, and all associated cost being returned to IHCD. Should multiple instances of poorly performed inspections be found, IHCD will, at the very minimum, place the sub-grantee on a Quality Improvement Plan (QIP). Should the QIP fail to correct the issues, IHCD will pursue further remedies for noncompliance as allowed in their Weatherization Policy and Procedures Manual and the sub-grantee grant agreement (contract).

Homes that have had a QCI conducted but the client has not signed off on the work, as long as three verifiable attempts have been made and recorded, that home can be counted as a completion, upon approval by IHCD.

Terms and Conditions for Return of Funds in Monitoring

A return of funds transaction is initiated when paid grant funds need to be returned due to a monitoring or financial audit issue. A return of funds must be paid out of private agency funds. These funds will show on the claim summary but will not be returned to the sub-grantee's available budget. The state will reuse these funds in future allocations.

Some examples of disallowed costs might include, but are not limited to:

- Exceeding 25% of total expended funds on Health & Safety measures.
- Exceeding the current average cost per unit.
- Interest expenses paid with DOE funds.
- Rework expenses except when specifically authorized by IHCD.
- Disallowed equipment and vehicle purchases with DOE funds.
- Any measure not cost-justified.
- Any repair that exceeds the incidental repair measure limit for materials and labor.
- Expenditures incurred for the installation of measures on a completed unit outside of the client's eligibility period.
- Expenditures incurred for the installation of measures on a completed unit outside the contract period.
- If IHCD cannot determine an expenditure is allowable because of inadequate records or documentation, IHCD will request documentation. If documentation cannot be produced, the costs will be disallowed.

Sub-grantees are required to correct any deficient work identified by the Quality Control Inspector before the work is submitted for reimbursement. As a result of technical monitoring inspections, sub-grantees with incomplete work and workmanship issues will be allowed to rectify the problem before disallowances are levied. Sub-grantees will be asked to reverse or repay costs that are determined to be unallowable. If questioned costs are significant, an investigation may be performed, and the sub-grantee may be subject to additional review.

When deficiencies are identified, sub-grantees may be required to submit a corrective action plan within 30 days of receipt of the Technical Monitoring Report. The submission must include a description of the corrective actions to be taken as well as a timeline for implementation of those actions. The Corrective Action Plan will be submitted to IHCD's Program Manager for review and approval.

When deficiencies persist, IHCD may take any of the following actions: place the agency on a Quality Improvement Plan, designate the sub-grantee as high-risk, place the sub-grantee on a watch list, or suspend the sub-grantee's weatherization program in response to recurring major findings or persistent noncompliance with IHCD and/or DOE WAP policy.

A sub-grantee may appeal a return of funds or repayment following the monitoring appeals policy. Until further notice, all return of funds and repayments will be considered by the Director of Community Programs before being issued to sub-grantees.

IHCDA, in cooperation with INCAA developed a standardized final inspection form to be used by Indiana's sub-grantees and technical monitor. IHCDA has attached a copy of this QCI form to the SF-424. To meet the Quality Control Inspector (QCI) requirement as outlined in [WPN 22-4](#), Indiana's current certified QCIs are tracked through the training center INCAA. All of Indiana's sub-grantees either have a certified QCI on staff, or have made contractual arrangements to meet the requirements outlined in [WPN 22-4](#). IHCDA will continue to provide testing opportunities within INCAA's Technical and Training Assistance contract to provide an ongoing opportunity for ongoing QCI testing. IHCDA hopes to continue adding QCI certified individuals throughout the Grant Cycle.

In addition to the QCIs mentioned above, three trainers from INCAA have achieved the QCI certification.

Currently, IHCDA only pays for the first QCI testing attempt. If the candidate fails the first attempt the subsequent attempts are paid for either by the sub-grantee or the contractor. To facilitate the additional testing, INCAA incorporates test dates within their training schedule.

IHCDA's Weatherization sub-grantees are required to track and document all training and certifications of both Weatherization staff and sub-contractors. IHCDA reviews this information during monitoring to ensure that all requirements are being met. Tracking the QCI certifications and qualifications at each sub-grantee is a part of this monitoring process.

Indiana, in cooperation with INCAA, provides the opportunity for individuals to test for DOE's national Energy Auditor Certification through BPI. IHCDA is encouraging their network to test for this certification. Indiana currently has thirty-four (34) individuals who have successfully obtained the DOE/BPI Energy Auditor Certification.

V.6 Weatherization Analysis of Effectiveness

Sub-grantees are encouraged to use energy analysis and evaluations in program decisions. IHCDA will hold back a certain percentage that can be given out on request to sub-grantees who have spent out their allocation.

Indiana may opt to utilize an increased allocation process in conjunction with issuing funding allocations that promotes energy savings and sound program management. BIL allocations are distributed using the census-based allocation formula for 50% of Weatherization sub-grantees contracted funds. IHCDA will review benchmarks yearly and allocate as necessary. The remaining 50% of the allocation is distributed out to those Weatherization sub-grantees who meet all of the following criteria:

1. 90% or more of the prior reporting cycle contract total must have been expended.
2. Annual Closeout Reports must be submitted and approved on time (within 45 days after the annual reporting cycle ends). IHCDA DMS, IWAP Quarterly, Job Expense and sub-grantee annual closeout report must match exactly when final claims are processed, with all line items and averages being within allowable limits.
3. No Weatherization sub-grantee operating under a 120-day or modified Quality Improvement Plan (QIP) will be included in the increased allocation process.
4. Weatherization sub-grantees must demonstrate regular use of the XRF for lead based paint testing.
5. Sub-grantee must meet the 45 day requirement for vendor and sub-contractor payments.

Sub-grantee Effectiveness:

To assess sub-grantees' procedural effectiveness, IHCDA monitors use a combination of monitoring and T&TA. Sub-grantees with deficiencies may be required to attend training specific to the sub-grantee's needs. Sub-grantee deficiencies and subsequent training include but are not limited to: lack of managerial oversight, inadequate technical, fiscal and database management, and client education procedures. In addition, IHCDA and sub-grantee personnel continuously evaluate the effectiveness of training provided through IHCDA and the technical assistance provider's (INCAA) training program. This is done

through a combination of monitoring of sub-grantees, feedback at Semi-Annual Managers Meetings, and meetings with Indiana's Weatherization Training Center (INCAA).

IHCDA reviews all reports prepared by the monitor(s) and IHCDA's contracted monitoring team prior to monitoring reports being sent to the sub-grantees. This review allows IHCDA to stay current on the issues being faced by each sub-grantee and work toward resolution of problem or weak areas. IHCDA performs risk assessments on each sub-grantee in alignment with [2 CFR 200](#) in order to improve areas of weakness.

V.7 Health & Safety

Please see the attachment 2022 Indiana Health and Safety Plan Draft, which is in the Optional Template format. Guidance from [WPN 22-7](#) is addressed therein. The Health and Safety expenditures are limited to 25% of Indiana's average cost per unit (ACPU) of Base Operations.

V.8 Program Management

V.8.1 Overview and Organization

The Indiana Weatherization Assistance Program is administered by the Indiana Housing and Community Development Authority (IHCDA). IHCDA is a quasi-governmental agency that administers numerous programs including the Low-Income Housing Tax Credit program, First-Time Home Buyer Assistance, Community Development Block Grant, HOME Investment Partnership funds, Emergency Shelter Grant, Low-Income Household Energy Assistance Program, Community Services Block Grant, and Neighborhood Stabilization Program, among others. IHCDA is located within the Family of Business of the Indiana Lieutenant Governor's Office. IHCDA is located in Indianapolis, IN.

IHCDA staff responsible for the oversight of the Weatherization Assistance Program in Indiana

- Kyleen Welling – Chief of Staff and Chief Operating Officer
- Emily Krauser – Chief Deputy of Programs
- Greg Glassley – Director of Energy & Utility Programs
- Carlos Bogue – Weatherization Manager
- Josh Pearson – Weatherization Technical & Policy Analyst
- Joely – Energy & Utility Programs Special Projects Manager

The primary point of contact for Indiana's WAP is Greg Glassley.

IHCDA utilizes the Indiana Community Action Association (INCAA) as the Weatherization Training Center for Indiana. INCAA is IREC accredited in all four of DOE's Job Task Analyses and has three IREC Certified Master Trainers. INCAA is located in Indianapolis, IN.

Colleen Hutson, of Hutson Homes, has provided programmatic monitoring for all twenty 20 Weatherization Subgrantees in the grant cycle. Colleen Hutson will continue to perform the programmatic monitoring in grant cycle. IHCDA will review reports before they are distributed to Subgrantees.

Rob Durham, of The Inspector Inc. has provided technical monitoring for all twenty (20) Weatherization Subgrantees in grant cycle. Rob Durham will continue to perform the technical monitoring in grant cycle. IHCDA will review reports before they are distributed to Subgrantees.

Indiana utilizes twenty-one (20) sub-grantees to administer the Weatherization Assistance Program (WAP). Nineteen (19) sub-grantees are Community Action Agencies; one (1), JobSource, (DBA CICAP) is a unit of local government.

IHCDA will exhaust BIL funds in a 10-year period, completing 30% of estimated production in Year 4.

Indiana plans to develop incentives to encourage minority and women owned businesses to be involved with the Weatherization program.

V.8.2 Administrative Expenditure Limits

Indiana's Weatherization Policy and Procedures Manual addresses the administrative limits for DOE funds as follows:

Administration – Actual costs, associated with administration include *fiscal, executive, support operations, rent and utilities, supplies, copying, etc.* This applies to staff engaged in program administration.

Indiana's sub-grantees may spend up to 10% of their total non-TTA award on administrative costs for PY 2022-2023. IHCD will retain 4.5% for Grantee use.

V.8.3 Monitoring Activities

DOE Priority List

When A subgrantee utilizes the PL, monitoring will confirm the unit meets the basic requirements. Monitors will ensure all applicable mandatory measures were performed, and optional measures did not exceed caps. Monitoring will verify proper documentation and reporting of the PL.

8.1 Quality Assurance

The primary purpose of monitoring visits is to assist the Weatherization sub-grantee in providing high quality energy conservation services to low-income people. Monitoring also provides compliance review and information sharing to Weatherization sub-grantees to ensure:

- Quality, comprehensive weatherization services are provided consistently throughout the state
- Healthy, safe, and energy efficient housing improvements are provided to low-income households
- Program accountability and efficiencies are in effect and verifiable
- Federal, State and IHCD standards and regulations are followed

8.2 Standards & Practices

IHCD will conduct fiscal, technical, file, and program monitoring annually. IHCD will review reports before they are distributed to sub-grantees.

Program Monitoring

The program monitoring includes a review of Program Administration, Procurement, Training, Competencies and Certifications, Database Input, Fiscal Information and Client File Review. At least 10% of completed DOE client files will be reviewed. Each area of the Program Review is explained in more detail below:

- **Program Administration** – IHCD will review agency policies as they apply to awarding priority, wait list maintenance, rental policies, and client redetermination.
- **NEAT/MHEA/MuTEA Database reviews will include the following**
 - Price list is up to date and current
 - Fuel prices are current
 - Set points are accurate
 - Lifetime of measures are correct
 - Measures are active
- **Procurement** – This section covers materials procurement and selection; contractor selection procurement, and evaluation; price lists and written procurement standards. Reference the procurement section in this manual for additional information.
- **Training, Competency and Certification** - IHCD monitors will review whether the Weatherization Program Manager is using appropriately trained/competent staff to perform various job functions. The use of subcontractors will be reviewed to determine compliance with job function training requirements as outlined in this manual. Monitors will also review contractors for compliance with local licensing standards. Sub-grantee lead based paint practices and compliance with EPA and HUD regulations will also be reviewed.
- **Database Input** – A selection of the client files are checked to ensure information from the client files is reported in the IWAP database accurately and completely.

- **Fiscal** – IHCDCA will perform financial monitoring for their Weatherization sub-grantees. The financial monitoring will occur in conjunction with the Weatherization Program/File Monitoring. IHCDCA will check for appropriate payment processing as specified in this manual. The monitor will review the following:
 - Grant utilization to ensure funding is utilized in allowable combinations
 - Sub-grantees have properly tracked and utilized Program Income
 - Contractors are paid within 45 days
 - Back-up documentation provided with claims is appropriate
- **Client File Review** – Files will be pulled at random from completions entered into the IWAP database. A minimum of 10% of all completed DOE client files will be reviewed. Find Program Monitoring Tool utilized by monitors can be found at MyIHCDCA's [Program Partners](#). *Appendix F - Monitoring Tool 2022-2023 template*. These files will be reviewed for:
 - Correct forms
 - Accurate information
 - Work processes
 - Eligibility verification
 - Appropriate documentation and allowability of deferrals
 - Each NEAT/MHEA/MulTEA run is checked to verify the cumulative SIR is equal or greater than 1
- **Training and Technical Assistance (T&TA)** – The purpose of T&TA is to provide sub-grantees with assistance in the technical aspects of the weatherization program. IHCDCA monitors will provide consultation while on site. If sub-grantee personnel feel it necessary, and time allows, IHCDCA monitoring personnel may be available for T&TA visits to the sub-grantee.

Technical Monitoring

IHCDCA will perform real-time Technical Monitoring for each Weatherization sub-grantee annually. The purpose of this monitoring is to ensure that weatherization services are provided in a professional manner in compliance with all standards, regulations and policies set forth by DOE, HHS and IHCDCA. The sub-grantee is responsible for quality control on all completed units and must ensure that the QC inspection completed by the QCI attests to the level of quality, professionalism, and appropriateness of all measures performed. Technical Monitoring will also review and inspect invoiced materials, justification for the number of labor hours charged, initial and final audit detail, and adherence to technical standards and accuracy of sub-grantee diagnostic testing.

Monitors will use the current QC Inspection Form. A minimum of 5% of all DOE completed homes will be monitored for those sub-grantees utilizing an Independent QCI, and a minimum of 10% of all DOE completed homes will be monitored for those sub-grantees with an Energy Auditor/QCI. IHCDCA reserves the right to monitor any unit including Capital Intensive unit(s). Sub-grantee responses to technical findings must include documentation verifying that all findings and concerns have been corrected. IHCDCA when possible, will incorporate in-progress visits to client homes. IHCDCA's Technical Monitoring visits will include an evaluation of the QCI's process to ensure compliance with [WPN 22-4](#).

Sub-grantees are required to ensure that each Weatherization completion receives an appropriate and properly executed QC inspection. This inspection will be performed by a BPI certified QCI. Failure by the sub-grantee to utilize the QCI process correctly may result in the affected completion(s) being considered unallowable and all associated cost being returned to IHCDCA. Should multiple instances of poorly performed inspections be found, IHCDCA will, at the very minimum, place the sub-grantee on a Quality Improvement Plan (QIP). Further action will be taken should the QIP fail to improve performance.

- **Field Inspections** (See Technical Monitoring below) – IHCDCA will conduct on-site inspections of a sample of units pulled from the file review or at random from the IWAP database. The purpose of this monitoring is to ensure that weatherization services are provided in a professional manner in compliance with all standards, regulations and policies set forth by DOE, HHS and IHCDCA. The local sub-grantee is responsible for quality control on all completed units and must ensure that the QC inspection completed by the BPI certified Quality Control Inspector (QCI) attests to the level of quality, professionalism, and appropriateness of all measures performed. The field inspection will cover the appropriateness of Base Load, Shell, and Health and Safety measures.

During the field inspection, IHCD staff will be checking for all invoiced materials, justification for the number of labor hours charged, initial and final audit detail, adherence to technical standards, and accuracy of sub-grantee diagnostic testing.

8.3 Monitoring Process

IHCD staff and contracted monitors prepare the monitoring schedule and contact each sub-grantee to schedule the appointments. Upon completion of the monitoring, the monitor(s) will perform an exit conference to summarize issues found during monitoring, as well as to offer best practice recommendations. For Technical Monitoring visits, an exit conference may be delayed, conducted via telephone, webinars, etc.

Program Monitoring Specific

Notification for program monitoring will include client files, financial information, procurement, training, etc.

Technical Monitoring Specific

Requests for Technical Monitoring include a list of units to visit as well as alternates when clients are unavailable. Sub-grantees are prohibited from revisiting client homes chosen by IHCD for Technical Monitoring. Homes that are found to have been "revisited" prior to the Technical Monitoring visit will result in at least one additional home being selected for monitoring. IHCD may, at its discretion, require a Return of Funds for all expenses associated with the revisited home thereby removing it as a completed unit. IHCD monitoring staff may use alternate procedures or request additional information to verify compliance when it is necessary or deemed appropriate.

8.4 LIHEAP Program and Technical Monitoring

Monitoring for LIHEAP will be performed in conjunction with DOE monitoring and/or as deemed necessary by IHCD. LIHEAP monitoring practices will be the same as outlined above for DOE.

For homes utilizing both DOE and LIHEAP the monitored process is outlined above. IHCD estimates that approximately 70% of Weatherization completions in Indiana utilize both DOE and LIHEAP funding.

8.5 Monitoring Reporting Process

Monitoring Report

Each sub-Grantee will receive a copy of the monitoring report within 30 days from completion of the exit conference. The report will identify such areas as training and technical assistance recommendations, summary of program /technical and client file/QCI findings and concerns, funding utilization per client, and NEAT/MHEA/MulTEA review.

- **Findings** should be classified as critical in nature and may require immediate corrective action by the sub-grantee (e.g. Health and Safety issue).
- **Concern** do not require immediate action by the sub-grantee and in many cases may not require action at all. These tend to be low to medium intensity issues.

The level of severity (classification as a finding/concern) may be based upon conditions in the field at the time of monitoring.

Findings and Concerns will be noted as:

- **Incomplete Work:**
 - **Concern:** Incomplete work that is minor, that has little or no cost, does not pose a health and safety issue and is not part of past trends for the agency, and depending on the circumstance may not be required to be repaired.
 - **Finding:** Incomplete work that includes past trend(s), is associated with a noteworthy cost, may affect the potential energy savings, or is a health and safety issue. These will require remediation.
- **Questioned Costs:**

- Questioned costs are clarified with the sub-grantee. When deemed unallowable, they will be required to be returned or removed from DOE funding. Questioned costs are subject to additional review.
- **Client Complaints**
 - When clients complain at the field monitoring, each complaint will be reviewed for validity.
- **Major Workmanship Issues**
 - Finding: Major workmanship issues must be resolved by the sub-grantee.
- **Minor Workmanship Issues**
 - Concern: If the minor workmanship issue is part of past trends, then it is treated as a major workmanship issue.

Monitoring Report Response

The sub-grantee must either **Accept** the submitted report or provide an **Informal Appeal** (see Monitoring Appeal Process) to specific findings and concerns. The sub-grantee will have 10 days from the receipt of the monitoring report to submit a written response per the monitoring report.

Any corrective action taken by the sub-grantee is considered an acknowledgment of the finding or concern. Failure by the sub-grantee to respond in writing to the monitoring report by the established deadline may result in claims being held by IHCDCA until the proper response is received.

Monitoring Appeals Process

If the sub-grantee informally appeals (disagrees with) any item on the WAP Monitoring Report, the sub-grantee must send an informal appeal via email to IHCDCA's Program Monitor within 10 days of the receipt of the monitoring report.

- IHCDCA will respond within 10 days of receipt of sub-grantee's Informal Appeal to the Monitoring Report.
 - If IHCDCA **agrees** with all items identified in the sub-grantee's **Informal Appeal**, the sub-grantee will receive a revised monitoring report that will be used to ensure all actionable items are completed.
 - If IHCDCA **does not agree** (in-full or in-part) with the sub-grantee's **Informal Appeal**, the sub-grantee will receive an **IHCDCA Informal Appeal reply**.
- The sub-grantee will provide a **second response** within 10 days. (If applicable)
 - If the sub-grantee **agrees** with the reasons described for not changing items identified in the informal appeal, the sub-grantee's second response is to be sent to the IHCDCA.
 - If the sub-grantee **disagrees** (in-full or in-part) with IHCDCA's **Informal Appeal** response, the sub-grantee may submit a **Formal Appeal** in writing to the Director of Community Programs. The Director of Community Programs will review the formal appeal and provide a written decision within 30 days. This decision will be final.

Monitoring Completion

Once all parties are in agreement with all the findings and concerns, the sub-grantee will have 30 days to closeout the monitoring session. The sub-grantee will receive a Monitoring Completion Letter after all completed corrective actions and/or copies of checks paid to IHCDCA have been submitted.

8.6 Return of Funds (Monitoring)

A return of funds transaction is initiated when paid grant funds need to be returned due to a monitoring or financial audit issue. A return of funds must be paid out of private agency funds. These funds will show on the claim summary but will not be returned to the sub-grantee's available budget.

Examples of disallowed costs include, but are not limited to:

- Exceeding 25% of total expended funds on Health & Safety measures
- Exceeding the current average cost per unit
- Interest expenses paid with DOE funds
- Rework expenses when job has been closed, except when specifically authorized by IHCDCA
- Disallowed equipment and vehicle purchases with DOE funds

- Any measure not cost justified.
- Any repair that exceeds the incidental repair measure limit for materials and labor
- Expenditures incurred for the installation of measures on a completed unit outside the contract period.
- If IHCDCA cannot determine an expenditure is allowable because of inadequate records or documentation, IHCDCA will request additional documentation. If documentation cannot be produced, the costs will be disallowed.

8.7 Compliance

Compliance is essential in assuring overall program success. Sub-grantees are monitored to determine whether they have continuously met the established program guidelines, government legislation, IHCDCA contract, the IHCDCA provided Program Manual, and IHCDCA Information Memoranda. Failure to meet the minimum monitoring standards will result in corrective action.

Quality Improvement Plan (QIP)

Monitoring visits where serious, numerous, or recurring findings may result in the sub-grantee being placed on a QIP. The intent of the QIP is to help the sub-grantee improve the areas of deficiency. As part of the QIP, IHCDCA monitors will make additional visits as necessary to the sub-grantee to ensure changes are being implemented and all noted deficiencies are being resolved. The QIP may be modified as deemed necessary by IHCDCA to accomplish the needed sub-grantee improvement. Sub-grantees could be placed on a QIP if one or more of the following program deficiencies are identified:

- General Administrative Deficiencies that include but are not limited to late interim or closeout reports, late completion reporting (data entry), lack of procurement policies
- outdated cost allocation plans
- Fiscal Reporting issues that include failure to claim expenses on a monthly basis, repeated occurrences where expenses are submitted more than 45 days after the invoice or purchase order date, contractors paid beyond the 45-day requirement
- Staff or contractors fail to receive proper certifications
- ACPU exceeds cost guidelines set forth by DOE or HHS (LIHEAP) funding
- At least 25% of client files reviewed are deemed ineligible
- High risk outcome on the Risk Assessment
- Repeated concerns and findings on Technical Monitoring

Should the QIP fail to correct the issues, IHCDCA will pursue further remedies for noncompliance as allowed in their Weatherization Policy and Procedures Manual, and the sub-grantee grant agreement (contract). The sub-grantee's Weatherization Manager or Weatherization Director may not be the QCI and Energy Auditor combination staff member.

Modified Quality Improvement Plan (MQIP)

Similar to a Quality Improvement Plan, a MQIP requires less oversight and time frame to accomplish the stated compliance objectives.

V.8.4 Training and Technical Assistance

Indiana's Weatherization Assistance Program currently has 261 Home energy Professional, 37 BPI QCI, 48 EA, around 35 shell crews and 27 Mechanical workers and 11 helpers.

The first Year IHCDCA will bolster the current network and ensure the state has a solid foundation to ramp up production while maintaining the necessary quality of work. IHCDCA will also hire 3 additional state employees. IHCDCA will specifically target Subgrantees working below the current contract requirements. IHCDCA will provide T&TA for the Subgrantees struggling to meet production goals. The training will evaluate and create processes in collaboration with the subgrantees. These processes will improve budgeting, production, and compliance in the Weatherization program. IHCDCA has implemented this training in the past which improved production and compliance with great success. The training is provided by Hutson Homes LLC and is listed below in more detail. Additionally, IHCDCA hosts two Semi

Annually Manager Meetings (SAMM's) to address specific network issues and knowledge gaps throughout the network.

Training Implemented by Hutson Homes LLC Training

1. Costs and Budgets
 - Tracking unit expenses
 - The process of approving expense sheets per unit for finance
 - Reporting unit cost in IWAP
 - Reconciling between indirect and direct unit costs
 - Reconciling direct unit cost with NEAT/MHEA
 - Finding minimum number of units required at current expenses
 - Tracking ACPU
2. Production
 - Tracking units in production
 - Managing units in production
 - Moving production forward
 - Evaluate monthly goals adding to production as needed
 - Writing a process for each step of completing a unit from Audit to QCI, reporting etc...
3. Compliance
 - Work on procurement and its process
 - Tracking of CEUs and certifications
 - On boarding new employees and contractors
 - Checks and balances between financial and weatherization production
 - Inventory processes and tracking
 - Compliance check lists

IHCDA will need to ramp up production by 27% by the year 2023. IHCDA has the workforce to meet this production but will use this year to market and collaborate with trade schools and local area career centers. IHCDA will start the QCI mentorship program in 2023 to ramp up trained workforce for year 2024. IHCDA has a statewide goal to add 2 additional trainers, 19 QCIs, 24 Energy Auditors, 15 shell crew members, and 30 HT in year 2023 and 2024. This will allow IHCDA to increase production by 55% by year 2024. IHCDA will perform workforce evaluations to ensure hiring and training milestones are being met.

Indiana utilizes T&TA to properly train all Weatherization Program Managers, Energy Auditors, Quality Control Inspectors, Crew Leaders, Retrofit Installers-SHELL/HVAC, and appropriate Grantee Staff. Training includes those who are in-house personnel and subcontractors working for the Grantee and Subgrantees. The T&TA training also trains and teaches on Monitoring practices. Indiana's Weatherization Training Center is the Indiana Community Action Association (INCAA). INCAA is an IREC Accredited organization covering all four DOE Job Task Analyses (Energy Auditor, Quality Control Inspector, Crew Leader and Retrofit Installer Shell). INCAA received their 5 year re-accreditation on March 18, 2022. INCAA has adopted and utilizes the NREL installer badge toolkit as common practice as well.

T&TA is also utilized to provide sub-grantees with additional technical assistance in the technical and administrative aspects of Indiana's Weatherization Assistance Program. IHCDA's Policy and Technical Specialist is available daily via phone and/or email to answer programmatic questions. Subgrantees with more serious needs may schedule/request an on-site visit from IHCDA or INCAA training staff. IHCDA and INCAA work together closely to ensure that Indiana's Weatherization Assistance Network receives the necessary training to meet DOE and IHCDA requirements. Adjustments are made throughout the funding cycle as necessary to meet the T&TA needs of Indiana's Weatherization Network.

Subgrantees will be allotted a \$2,000 base award with an additional \$500 for every county serviced by the Subgrantee per reporting cycle for the purpose of providing Training and Technical Assistance for Subgrantee staff and contractors interested in performing weatherization work for the Sub-grantee. These funds may be used to cover only those expenses related to weatherization training, including:

- Class Fees
- Material Fees
- Written / Field Testing
- CEU Events
- Wage / Time reimbursement
- Travel Expenses (excluding meals)
- Lodging
- Providing reasonable meals at annual contractor trainings

Contractors must demonstrate their commitment to providing weatherization services for the Subgrantee by having an active contract with the Subgrantee before being considered for the stipend. Requests for stipends to reimburse contractors without an active contract must be reviewed by IHCD. Subgrantees that use a stipend for contractors and staff must provide training documentation to IHCD upon submitting claims for the stipend. Training records must contain clear documentation and verification that the required and appropriate training was attended and completed. Examples of this documentation include copies of training certificates, sign-in sheets, and BPI student portal information. Examples of allowable courses are listed on INCAA's website, as well as those outlined in Policy & Procedure Manual Section 7. Subgrantees must have approval from IHCD for classes not listed prior to attending if the stipend will be used. Other associated costs related to training not listed above must first be approved by IHCD. Requests for additional funds will be submitted to IHCD for review.

Indiana addresses client energy education within the courses taught at INCAA. Comprehensive client education is provided to the Weatherization program through INCAA's Client Education course; however, client education components are also covered in the Energy Auditor, Quality Control Inspector, Retrofit Installer Shell and Mechanical, and the ASHRAE 62.2 courses. Several additional courses taught at INCAA also have components of Client Education embedded into those curriculums. Indiana believes establishing a solid foundation in client education is paramount to attaining optimal energy savings, to ensuring the durability of measures installed, for improvement in indoor air quality, and for building positive relationships between the clients and the WAP personnel. All persons involved in the Indiana WAP play a vital role in establishing effective client energy education. INCAA has available the following classes and trainings for the 2022-2023 DOE funding cycle:

- Retrofit Installer Shell
- Retrofit Installer Mechanical
- Energy Auditor
- Crew Leader
- BPI Quality Control Inspector
- Zone Pressure Diagnostics
- High Performance Insulation
- Daily Safety Test Out Procedures
- Mobile Home Weatherization
- Carbon Monoxide and Combustion Analysis
- Electric Furnace & Heat Pump Inspections for Auditors/QCI's
- Electric Furnace & Heat Pump Inspections for HVAC Professionals
- Oil Furnace Training
- Boiler Inspections
- Vent Systems & Combustion Air Requirements
- Heating System Airflow Diagnostics
- Mechanical Systems for Auditors
- CAZ Pressure Diagnostics for Auditors and Heating Techs
- NEAT/MHEA/MuITEA

- Whole House Heat Load Calculations
- New Furnace Installation Inspections
- Applying The ASHRAE 62.2
- DOE Health & Safety Policy
- Healthy Homes Evaluator
- Communication in Weatherization
- Water Heater Inspection
- Client Education
- SWS for Weatherization Professionals
- Lead Safe Weatherization
- Moisture Assessment
- Testing for DOE's QCI and Energy Auditor Certifications
- Multi-Family QCI Training for QC
- Multi-Family Training Building Analyst for Energy Auditors
- Optimizing Weatherization Program Resources
- OSHA 10
- SHPO Training

Indiana currently requires competency testing for all individuals performing work as an Energy Auditor, Quality Control Inspector, MF Building Analyst, and MF QCI, Retrofit Installer Shell, Retrofit Installer Mechanical and Crew Leader-Shell. The requirements and timelines for these competencies are contained in Indiana's Policy and Procedures Manual Section 7. Section 7 will be included in the Policy and Procedures Manual attached to the SF-424.

Subgrantees are required to ensure that all staff and contractors meet IHCD and applicable DOE training requirements and properly track training documentation. IHCD reviews the training documentation and tracking during their monitoring process to ensure compliance. Time Limits for becoming Indiana Weatherization Competent:

- All Subgrantee staff/contractor new employees will have 9 months commencing 45 days from their date of hire to become Indiana Weatherization Competent in the categories of Energy Auditor, Retrofit Installer (Shell and/or Mechanical) and Crew Leader.
- All Subgrantee staff/contractor new employees will have 9 months commencing 45 days from their date of start in specific training for BPI QCI to obtain BPI QCI Certification.
- Subgrantees are allowed to enroll new staff/contractor employees in training prior to the expiration of the 45 days if they choose to do so. This decision should be based upon the expectation that the new staff/contractor employee will be retained in their new position.
- Subgrantees may shorten the 45 day grace period to 30 days provided this shortened time period is approved by IHCD and included in the Sub-grantee's policy and human resources manuals.

Each IHCD Subgrantee is responsible for accurately tracking all staff and/or contractor competencies and certifications. This tracking must include the following information:

- Individual name and competency(s) and/or BPI certifications held
- Date competencies and/or BPI certifications expire
- Hire date
- Attendance at Annual Competency Maintenance Training
- Current BPI/INCAA Certifications where applicable
- Record of training for 16 hours of CEUs
 - IHCD will verify training records and qualifications of all Subgrantee staff, crew members and contractors annually near the end of March. Subgrantees must be prepared to provide training documentation whenever it is requested by IHCD. Training records must contain clear documentation and verification that the required and appropriate training was attended and completed. Examples of this documentation include copies of training certificates, sign-in sheets (conferences for example), and BPI

student portal information. IHCD may, at their discretion, monitor the tracking and completion of the required training at times other than listed in the bullet point above.

Comprehensive client education is provided to the Weatherization program through INCAA's Client Education course; however, client education components are also covered in the Energy Auditor, Quality Control Inspector, Retrofit Installer Shell and Mechanical, and the ASHRAE 62.2 courses. Several additional courses taught at INCAA also have components of Client Education embedded into those curriculums. T&TA activities that took place in Indiana during the 2021-2022 DOE grant cycle include, but are not limited to the following:

- National DOE BPI Quality Control Inspector certification training and testing activities
- National DOE BPI Energy Auditor certification training and testing activities
- National DOE Multifamily Building Analyst training and certification activities
- BPI Healthy Home Evaluator training
- Indiana Competency training and testing for Energy Auditor
- Indiana Competency training and testing for Retrofit Installer Mechanical, Retrofit Installer Shell & Crew Leader
- Indiana Competency Maintenance Trainings ASHRAE 62.2 - 2016 Training
- SWS for Weatherization Professionals
- Participation in and attendance by IHCD staff to both NASCSP Conference. Attendance by INCAA Training Team Leader to Winter NASCAP Conference
- On-site T&TA at IHCD provided by NASCSP
- Sub-grantee on-site T&TA activities statewide with IHCD staff
- Sub-grantee on-site T&TA activities statewide with INCAA training staff
- Two (2) Semi-Annual Managers Meetings, hosted by IHCD
- Four (4) Semi-Annual Technical Trainings, hosted by INCAA
- Certification/Competency Maintenance Trainings T&TA for Indiana's Field Guide/SWS document
- Maintenance of Indiana's site built and mobile home waiver audits
- Increased training on NEAT/MHEA/MulTEA auditing software

T&TA Activities anticipated to take place during the 2022-2023 DOE Funding Cycle include, but are not limited to the following:

- Continued testing for BPI QCI and DOE/BPI Energy Auditor Certification
- Testing for BPI Crew Leader Certification
- Testing for BPI Healthy Home Evaluator Certification
- Continued participation and attendance to NASCSP Conferences Continued training and testing for Indiana's competencies
- Work with Sub-grantees and INCAA training staff to develop quarterly "Best Practice" T&TA meetings that allow:
 - Weatherization staff to share successful processes and practices
 - Provide Optimizing Weatherization Resources Training for Sub-grantee Executive Directors & financial staff
 - Provide RRP initial and refresher training for Indiana's Weatherization Network Provide OSHA 10-hour training opportunities
 - Provide Multi-family Building Analyst and QC training
- Enhanced focus on NEAT/MHEA/MulTEA training and use within Indiana's Weatherization Network
- Research and Development by INCAA on improving forms, researching current practices, etc.
- Provide MULTEA training for Multi-Family audits

In 2019, Indiana received the energy savings results from PRISM/BEAcon to evaluate energy savings at each subgrantee. This program was used to evaluate one year pre- and post-weatherization utility usage of metered fuels. These results are shared with sub-grantees revealing their individual results along with the state averages. Each sub-grantee is encouraged to evaluate the savings information to see how they performed individually and in comparison to the state average. The information shared from PRISM/BEAcon also breaks down the performance of each contractor and energy auditor. Subgrantees

are also encouraged to look at this information to identify top performers and those who may need additional training or oversight

In the past, savings information was utilized as part of Indiana's incentive pool for future and active funding opportunities. In PY 2022-2023 IHCD does not plan to use the incentive pool, because the energy savings data is not available from the previous program year.

Below are the increased allocation guidelines if IHCD opts to use:

Sub-grantees are encouraged to use energy analysis and evaluations in program decisions. IHCD will hold back a certain percentage that can be given out on request to sub-grantees who have spent out their allocation.

Indiana may opt to utilize an increased allocation process in conjunction with issuing funding allocations that promotes energy savings and sound program management. BIL allocations are distributed using the census-based allocation formula for 50% of Weatherization sub-grantees contracted funds. IHCD will review benchmarks yearly and allocate as necessary. The remaining 50% of the allocation is distributed out to those Weatherization sub-grantees who meet all of the following criteria:

6. 90% or more of the prior reporting cycle contract total must have been expended.
7. Annual Closeout Reports must be submitted and approved on time (within 45 days after the annual reporting cycle ends). IHCD DMS, IWAP Quarterly, Job Expense and sub-grantee annual closeout report must match exactly when final claims are processed, with all line items and averages being within allowable limits.
8. No Weatherization sub-grantee operating under a 120-day or modified Quality Improvement Plan (QIP) will be included in the increased allocation process.
9. Weatherization sub-grantees must demonstrate regular use of the XRF for lead based paint testing.
10. Sub-grantee must meet the 45 day requirement for vendor and sub-contractor payments

To meet requirements within [WPN 22-4](#) IHCD added the following language to their Subgrantee contracts:

"Subgrantee shall perform weatherization services during the Term in accordance with the U.S. Department of Energy Weatherization Assistance Program State Plan for the State of Indiana, the Indiana Weatherization Field Guide, the Indiana Weatherization Policy and Procedures Manual, other State Weatherization directives as applicable, and any amendments thereto (collectively "State Weatherization Plan and Directives"). Upon completion of the document aligning Indiana's Weatherization Field Guide and DOE's Standard Work Specifications (SWS), Subgrantee shall abide by and perform all work in accordance with said document. The Sub-grantee's signature on this agreement signifies its responsibility to follow all work standards as outlined in the documents referenced in this paragraph."

"Subgrantee shall ensure that all Weatherization staff and sub-contractors who perform or provide Weatherization services to client homes receive and adhere to all standards as outlined in Indiana's Weatherization Field Guide, Indiana's Weatherization Policy and Procedures Manual, the Department of Energy Weatherization Assistance Program State Plan for Indiana and other State Weatherization directives as applicable. Upon completion of the document aligning Indiana's Weatherization Field Guide and DOE's Standard Work Specifications (SWS), sub-grantee shall abide by and perform all work in accordance with said document. The sub-grantee's signature on this agreement signifies its responsibility to follow all work standards as outlined in the documents referenced in this paragraph as well as its responsibility to ensure that its Weatherization staff and sub-contractors receive and review these documents and use them to guide the Weatherization work performed in client homes by them." Prior to issuing the PY 2022-2023 DOE Grant Agreements, IHCD ensure the above language is included to indicate that all work performed will meet or exceed Indiana's Weatherization Field Guide/SWS aligned document.

Tier 1 and Tier 2 Training:

Indiana will continue to work with INCAA to provide the needed Tier 1 and Tier 2 training as required by [WPN 22-4](#). For Tier 1 training, INCAA continues to offer training for

- Quality Control Inspector

- Energy Auditor
- Retrofit Installer Shell
- Crew Leader.

For Tier 2 training, INCAA continues to offer the following, but are limited to the following training opportunities:

- Moisture Assessment
- Daily Safety Test Out
- Retrofit Installer Mechanical
- Lead Safe Work Practices
- Applying ASHRAE 62.2 – 2016
- Optimizing Weatherization Resources
- Program Management
- SWS
- Client Education
- CAZ Pressure Diagnostics
- NEAT/MHEA/MulTEA training
- Mechanical Systems for Auditors
- Electric Furnace and Heat Pump Inspections
- Vent Systems and Combustion Air Requirements
- Boiler Inspections
- Carbon Monoxide and Combustion Analysis
- Oil Furnace Training
- New Furnace Installation Inspections.

INCAA's class registration system is capable of placing students on a waiting list if a class is full at the time of registration. By utilizing the waiting list, INCAA, in cooperation with IHCD, can monitor the need for classes and change the schedule as necessary. INCAA utilizes this information to populate the classes as they move forward through the grant cycle.

IHCD recognizes that the primary focus for Tier 1 training during the 2021-22 Program Year to be on all Tier 1 training, including Quality Control Inspector, Energy Auditor, Retrofit Installer Shell and Crew Leader. INCAA will continue to offer a Multifamily QC course, the most recent offering being in 11/2021. IHCD understands the importance of ensuring that the new information contained within [WPN 22-7](#) Health & Safety guidance, as well as Indiana's updated SWS-aligned Field Guide, is fully realized and understood by all sub-grantees and contractors within the Weatherization network. IHCD will continue to support efforts to position Indiana's WX Network to test for the national Energy Auditor Certification. INCAA has incorporated all components of [WPN 22-7](#) into the Client Education course in addition to periodically offering a training course. Additionally, INCAA provides SWS training for Weatherization Professionals. The Semi-Annual Technical Trainings, Competency Maintenance Refresher, Semi-Annual Managers meetings courses are designed to specifically include addressing updates or changes in DOE, IHCD, SWS, Code, etc throughout each FY.

The following is from Section 7 of the PY 2022-2023 Policy & Procedure Manual.

Section 7: Training

7.1 Importance of Training

Due to the ever-changing and highly technical nature of the WAP, a high priority has been placed on the training aspect of the program. Technical assistance provides guidance and assistance on specific issues/questions found in all aspects of Weatherization. Training and technical assistance in the field, via telephone or email, is provided by either INCAA training staff or IHCD staff. This assistance is provided to all sub-grantee contractors and sub-grantee staff including but not limited to executive directors, fiscal staff, program managers, and all other weatherization employees. Sub-grantees and contractors are strongly encouraged to take full advantage of the opportunities available to them for program enhancement and improvement through training and technical assistance.

IHCDA continues to maintain a strong position that the Indiana WAP will maintain its high levels of technical expertise and energy savings through the continued emphasis on its training and technical assistance component. Ongoing training and sub-grantee program/technical monitoring are tools which IHCDA utilizes to ensure that weatherization measures are applied consistently, and that Indiana maintains a high standard of work. IHCDA implements training requirements to ensure that funds provided are used on weatherization measures that will enhance energy savings while ensuring the health and safety of the unit occupants. By including all weatherization professionals in this process, it ensures organizational performance while providing the means for evaluating weatherization achievements and as developing plans to improve upon Indiana Weatherization.

In Indiana, Weatherization specific training and technical assistance is offered by the Indiana Community Action Association (INCAA). INCAA is an Interstate Renewable Energy Council (IREC) accredited training center. INCAA will be providing training in PY 2022-2023. Lead Risk Assessor and Lead Inspector training is offered by the Environmental Management Institute (EMI).

Weatherization professionals can find Indiana Weatherization Field Guide, Health & Safety Plan guidance, and current State Plan at MyIHCDA's [Program Partners](#).

At the beginning of each DOE program year, sub-grantees are required to submit a list of weatherization program professionals—in house staff and contractors to IHCDA and INCAA. IHCDA will only fund training for weatherization professionals on the submitted and updated list. Any changes in staffing must be reported to IHCDA and INCAA immediately. Sub-grantee Executive Directors and Weatherization Program Managers may only request and view testing results for their employees or sub-contractors. Time Limits for becoming Indiana Weatherization Competent:

- All sub-grantee staff/contractor new employees will have 9 months commencing 45 days from their date of hire to become Indiana Weatherization Competent in the categories of Energy Auditor, Retrofit Installer (Shell and/or Mechanical) and Crew Leader. IHCDA will not fund training beyond the 9 months and 45 days from the day of hire if the person does not become weatherization competent.
- All sub-grantee staff/contractor employees must have a completed background check prior to being allowed to work in/on client homes. IHCDA's specific requirements for background checks are detailed in this manual.

7.2 Certifications

In order to be employed as a Weatherization Professional, one must be working toward or must hold at least of one of the following certifications. Indiana has established Weatherization competency standards known as the Indiana Skills Verification (ISV) competencies. The Building Performance Institute in conjunction with DOE have established competency standards as well. The following credentials are recognized for weatherization professionals working in Indiana:

- ISV Energy Auditor
- ISV Retrofit Installer for Shell Professionals
- ISV Retrofit Installer for Mechanical Professionals
- ISV Crew Leader for Shell Professionals
- BPI Energy Auditor
- BPI Quality Control Inspector
- BPI Crew Leader for Shell Professionals
- BPI Healthy Home Evaluator
- Indiana Approved Pre-Audit Inspector

The Program Management class is required for all new program managers and strongly recommended for all program managers.

INCAA provides training and certification opportunity for all the above-mentioned certifications.

7.3 Minimum Training Requirements

In order to ensure their safety, all professionals working in Indiana Weatherization who enter client units are required to successfully complete the following courses:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Asbestos Awareness
- See special provisions for mechanical helpers

Energy Auditors working in Indiana Weatherization are required to successfully complete the following courses and the applicable examinations:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Retrofit Installer blocks for Shell Professionals
- Mechanical Systems for Auditors
- Worst Case CAZ Depressurization
- NEAT/MHEA/MuTEA
- ASHRAE 62.2
- SWS for Auditors/QCI/Program Managers
- Energy Auditor

Quality Control Inspectors working in Indiana Weatherization are required to successfully complete the following courses and the applicable examinations:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Retrofit Installer blocks for Shell Professionals
- Mechanical Systems for Auditors
- Worst Case CAZ Depressurization
- NEAT/MHEA/MuTEA
- ASHRAE 62.2
- Energy Auditor
- SWS for Auditors/QCI/Program Managers
- Quality Control Inspector

Designated Indiana Pre-Audit Inspectors (holding no other certifications) working in Indiana Weatherization are required to successfully complete the following courses:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Healthy Homes Evaluator
- Pre-audit inspectors may not enter client homes without supervision of an Indiana certified Weatherization Professional until successful completion of each of the abovementioned courses.

Retrofit Installer for Shell Professionals working In Indiana Weatherization are required to successfully complete the following courses and the applicable examinations:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Retrofit Installer blocks for Shell Professionals
 - Introduction to Weatherization
 - Blower Door
 - Airsealing
 - Airsealing Field Class

- Insulating Basics
- Foam Insulation and Information
- Insulation Field Class

Crew Leader for Shell Professionals working in Indiana Weatherization are required to successfully complete the following courses and the correlating examinations:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Retrofit Installer blocks with Badge Completion
- Crew Leader for Shell Professionals (3 day)
- New SWS Class
- It is highly recommended that the Crew Leader also hold the EPA RRP Lead Renovator Certification.
- A crew leader is required to be on a job site at all times

Retrofit Installer Mechanical Professionals working in Indiana Weatherization are required to successfully complete the following courses and the correlating examinations:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Mechanical Systems for HVAC Professionals

Retrofit Installer Mechanical Helper are required to successfully complete the following:

- OSHA 10
- Mechanical Helpers are not allowed to be on client premises without the Retrofit Installer Mechanical Professional also being on the premises.

Indiana Skills Verification Standards

All individuals desiring to become ISV certified must be sub-grantee staff, contractors, or contractor employees holding a current contract with the sub-grantee unless IHCD provides prior written approval to the sub-grantee and INCAA.

- Mechanical Helpers are not required to hold ISV certification.
- ISV written testing is administered at the end of the Retrofit Installer for Shell Professionals, Crew Leader, Retrofit Installer for Mechanical Professionals, and Energy Auditor courses.
- The results of ISV written and field testing will be tracked by INCAA. The results of the ISV written and field testing will be available to IHCD, the sub-grantee Weatherization Program Manager, and the sub-grantee Executive Director upon written request to the INCAA Weatherization Training Team Lead

Specialty Contractors

- Specialty contractors who are performing limited, rarely utilized services such as specialty plumbers, exterminators, mold remediation, or specialty electricians **are not** required to hold ISV certification.
- Specialty contractors who complete work in units which results in changes to exhaust systems, ventilation systems or the tightening of the home **are required** to complete the Daily Safety Test Out (DSTO) training at INCAA and **are required** to complete a DSTO form upon completing their work on the home. Or a representative from the subgrantee must complete the DSTO at the end of each specialty contractor work day when applicable.

Testing Parameters

Becoming Indiana Weatherization Competent will require passing both a written exam and field exam. The skills exam will involve performing skill sets associated with the competency category being tested.

- Both the written and field test are pass/fail. There will be no provisional results given.

- Should retesting of the skills verification be necessary only the portion failed by the candidate will need retested.
- Should retesting of the written test be necessary, the entire written test must be completed.
- All testing results will be sent to the candidate, the sub-grantee Weatherization Program Manager and the sub-grantee Executive Director.
- Candidates will have three opportunities to pass all testing to become Indiana Weatherization Competent. Individuals that fail to pass competency on the third attempt will be required to submit a formal request to IHCD for reapplication to work in Indiana's Weatherization Assistance Program for consideration.
 - An individual would be able to continue working in a competency that has been achieved and they hold, even if they failed the second attempt for an additional competency. For example: if an individual has become Indiana Weatherization Competent as a Retrofit Installer Shell, this same individual tests to become a Crew Leader but fails three attempts. This individual would be allowed to work in Indiana's Weatherization Assistance Program as a Retrofit Installer Shell but not perform the duties of a Crew Leader.
- Should a second attempt at passing competence be needed, the second attempt shall take place no later than **3 months** following the initial attempt.
- IHCD will only pay for the first attempt for an individual to pass competency. In the case of a failed attempt, the sub-grantee or contractor will be responsible for the cost of any subsequent test procedures.
- Competency testing must take place no later than the conclusion of the 9-month training period commencing 45 days from their hire date.

See BPI's [Certified Professionals](#) designations (Energy Auditor, Quality Control Inspector, Crew Leader, Healthy Homes Evaluator). IHCD will only fund the first attempt for BPI testing for each designation.

7.4 Duration, Maintenance, and Recordkeeping

Each Indiana competency will be in effect for 3 years. At the end of the 3-year duration each competent individual must re-test and pass the skills verification portion of their competency(s). Each candidate will have three opportunities to pass the skills verification portion of their competency(s). IHCD will only pay for the first attempt for an individual to pass competency. In the case of a failed attempt, the sub-grantee or contractor will be responsible for the cost of the second testing event. At the end of 3 years, individuals holding competencies as both Retrofit Installer Shell and Crew Leader will only need to test for and pass the Crew Leader competency. Passing the Crew Leader skills portion will initiate the next 3-year cycle for both the Retrofit Installer Shell and Crew Leader competencies. From that point forward, both competencies will have the same expiration dates.

Individuals are required to perform the Crew Leader testing based upon which competency expires first. For example, an individual's Retrofit Shell Competency expires on April 15, 2016 while their Crew Leader expires on June 30, 2016. This individual is required to perform the Crew Leader testing PRIOR to the April 15th date – it is the competency that expires first. The BPI Quality Control Inspector certification is also in effect for 3 years. All BPI requirements regarding the QCI certification must be followed to maintain this certification. All Indiana Weatherization Competent, QCI and BPI certified individuals are required to attend an Annual Competency Maintenance Training in years 2 and 3 of their competency(s) or BPI Certification. If a certification expires and is not renewed concurrent to the certification expiration then written notification must be sent to IHCD with a request for extension and allowances for a timely recertification must be made.

The Program Manager must keep and maintain up to date records of all weatherization professional certifications and training information on file and have access to the records at all times. This tracking must include the following information:

- Individual name and competency(s) and/or BPI certifications held
- Date competencies and/or BPI certifications expire
- Hire date

- Attendance at Annual Competency Maintenance Training
- Current BPI/INCAA Certifications where applicable
- Record of training for 16 hours of CEUs

Continuing Education Units

The requirement of Continuing Education Units (CEUs) is designed to ensure that Indiana's Competent and Certified individuals increase their knowledge base beyond what is necessary to obtain the competency. This is one way that IHADA is helping to ensure that each client's home receives the highest quality of Weatherization services possible.

- Record of CEUs **must** be tracked by the **sub-grantee** for their Weatherization staff, crews, and contractors.
- The 16 CEUs requirement is per individual and not per competency. For example, an individual holds competencies for both Retrofit Installer Shell and Energy Auditor. This individual is only required to obtain 16 CEUs.
- Sub-grantees must track the training that was taken connected to the claimed CEUs for review at time of monitoring. This tracking must include documentation verifying completion of the training, who performed the training and the length of time that the training lasted.
- **Non-technical training for CEUs is limited to four (4) hours.**
- The requirement for CEUs begins at the time that an Indiana Competency is obtained. The following scale represents a reduced CEU requirement based upon when the first or initial competency is obtained:
 - Competency obtained on or after July 1: 6 CEUs required
 - Competency obtained on or after October 1: 4 CEUs required
 - Competency obtained on or after January 1: 2 CEUs required
- BPI requires that individuals holding BPI certifications obtain 24 CEUs over the 3-year duration of the certification.

The following is a list of examples of training that apply toward the 16 hours of Indiana CEU:

CEU Ratio	CEU Category	Example	Documentation required	Limitation
1 hour training : 1 CEU	INCAA or IHADA Provided T&TA	Training on site	<ul style="list-style-type: none"> • Sign in sheet with date and time • Instructor's name • Location 	None
1 hour training : 1 CEU	Weatherization Specific Conference	Affordable comfort, HPC, Energy out West	<ul style="list-style-type: none"> • Sign in sheet with date and time • Instructor's name • Location 	None
1 hour training : 1 CEU	Manager/Technical training	SAMM, SATT, CMR	<ul style="list-style-type: none"> • Email confirmation of attendance 	None
2 hours training : 1 CEU	Non-weatherization specific courses and respective refreshers	Lead, mold, OSHA	<ul style="list-style-type: none"> • Certificate or card required 	10 CEU / certificate cycle
4 hours training : 1 CEU	Training provided by manufacturers that promotes specific model or style produced by manufacturer	Installation of Navien water heaters, class provided by Navien about Navien	<ul style="list-style-type: none"> • Sign in sheet with date and time on manufactory's letterhead • Instructor's name and contact information • Summary of how training will improve weatherization 	None

The following is a list of examples of training that DO NOT apply toward CEUs:

- The required training to obtain a particular competency DOES NOT count toward CEUs. For example – someone is taking the 5-day Energy Auditor training to obtain their Energy Auditor Competency. This 5-day class DOES NOT count as CEU's – it is required to obtain the competency (For instance, if the above person takes a CAZ class to supplement the Energy Auditing training, the CAZ class DOES count toward their CEUs).
- Classes outside of INCAA that do not pertain to Weatherization skills and topics

- Classes that are taken for which the Sub-grantee has no documentation of class completion or attendance
- Classes that are not related to the competency or certification that the individual(s) obtain

Please note that these are not exhaustive lists. Questions regarding whether or not a particular training would/should apply toward the 16 hours of continuing education should be directed to IHCDCA prior to attending the training.

Questions regarding industry specific training being allowed to count toward the 16 hours of training should be directed to IHCDCA.

IHCDCA STRONGLY recommends that the required CEUs be obtained through training offered through the accredited Weatherization courses offered at INCAA.

IHCDCA will verify training records and qualifications of all sub-grantee staff, crew members and contractors annually near the end of March. sub-grantees must be prepared to provide training documentation whenever it is requested by IHCDCA. Training records must contain clear documentation and verification that the required and appropriate training was attended and completed. Examples of this documentation include copies of training certificates, sign-in sheets (conferences for example), and BPI student portal information. IHCDCA may, at their discretion, monitor the tracking and completion of the required training at times other than listed in the bullet point above.

7.5 Additional Competency/Training Requirements

IHCDCA staff and contracted monitors responsible for evaluation of sub-grantee administrative performance are required to complete at least 8 hours of administrative training per year.

IHCDCA staff and contracted monitors responsible for evaluation of sub-grantee technical performance are required to complete at least 10 hours of technical training per year; and are required to be either Indiana Weatherization Competent as an Energy Auditor or BPI certified as an Energy Auditor and be certified as a BPI Quality Control Inspector.

Weatherization Program Managers responsible for the administration of the Weatherization Assistance Program at the sub-grantee level are required to attend all Semi-Annual Managers Meetings (SAMM) as well as any other required administrative offerings provided by IHCDCA. If a Weatherization Program Manager is not able to attend any required training, an appropriate representative from the sub-grantee must attend in their place. SAMM's will be held twice per year and other administrative courses will be held as deemed necessary by IHCDCA. When possible, IHCDCA will attempt to host trainings via webinar, video conferencing, distance learning, or conference calls. Each sub-grantee is required to send at least one technical representative for their field staff/contractors to all Semi-Annual Technical Trainings (SATT). Failure to do so could result in repercussions from IHCDCA.

Verification of LSWP/Moisture certification is not required after 4 years of continuous employment in the Indiana WAP as an ISV mechanical, crew leader, shell, audit or QCI.

Grantee Monitors and Inspectors must be Certified Lead Renovators. [WPN 22-7](#).

7.6 Additional Training Opportunities

IHCDCA utilizes INCAA as the Indiana Weatherization Training Center and for Technical Assistance. Course subjects, course descriptions, length of classes, prerequisites, and schedules are located on INCAA's [website](#).

Classes are filled on a first come-first served basis. Once a class is filled, sub-grantees and contractors are encouraged to continue to register for the filled class so they can be placed on the waiting list. It is not

uncommon for a spot to open 3 to 5 days prior to the class. To be placed on the waiting list individuals must register for the class. A sub-grantee may also contact the INCAA Training Team Leader to request a specific course be taught at the sub-grantee agency address. A sub-grantee or contractor may also request on site training or technical assistance from the INCAA training staff. It should be noted all courses may not be suitable for being held at the sub-grantee address, but INCAA will make these accommodations when possible.

Sub-grantee staff and contractors may also contact INCAA training team staff directly to request on-site Training and Technical Assistance to be held at specific job sites. These on-site T&TA opportunities will earn attendees one CEU per hour of T&TA.

7.7 Background Checks

In order to protect the safety of clients receiving weatherization services, sub-grantees must perform a criminal background check and employment verification prior to the employment of sub-grantee/contractor employees planning to work with clients or in the home of client's being rehabilitated or weatherized as a part of Indiana's Weatherization Assistance Program. IHCD is instituting a look-back period for convictions to 7 years for individuals employed by sub-grantees for the Weatherization program. This policy mirrors the State's employment policies. The criminal background report must contain a criminal background check which includes the following:

- State and county records from all 50 states including data from courts, sexual offender registries and department of correction records.
- An Indiana criminal history check which contains records of criminal convictions or currently pending criminal charges in counties throughout the State of Indiana.
- A Social Security Number (SSN) Trace which provides names and addresses associated with a social security number along with the date and state of its issuance (this is a tool to aid in verifying the identity and location of a particular applicant).
- Confirmation of employment dates and job titles held with previous employers, the reason for leaving, and eligibility for rehire, if available.
- Sub-grantees must use careful consideration when analyzing the results of the reports and follow their internal agency policies. Must prohibit employment of anyone appearing in any sex offender registry. Deviations from internal policies must be discussed and approved by their board of directors.
- Sub-grantee Weatherization Program Managers are encouraged to work with their Human Resources and Executive Staff personnel to develop acceptable hiring practices based upon background check results.
- It is the sub-grantee's responsibility to ensure that this background check is performed and properly tracked for all sub-grantee weatherization staff and contractor employees.

7.8 Compliance Issues

IHCD will evaluate compliance with competency and other required training annually. Sub-grantees must be prepared to provide IHCD with training documentation whenever it is requested by IHCD.

The sub-grantee must ensure that all persons meet the applicable certification and training requirements. If a sub-grantee has been found to have a person(s) working or worked on a weatherization home without the above-mentioned requirements, IHCD may take the following steps:

- Issue a written finding with a timeline for resolution of the non-compliance issues
- Require re-works or re-inspections at the sub-grantee/contractor expense
- Require repayment of all funds claimed for the affected Weatherization work
- Hold the sub-grantees weatherization financial claims until all issues are properly addressed
- Temporarily suspend the noncompliant person from performing work in Indiana's Weatherization Assistance Program.

IHCD will review sub-grantee compliance through sub-grantee files (tracking) and INCAA training records. It is the responsibility of the sub-grantee to identify within the client file each individual who entered the home.

7.9 Roles and Responsibilities

Energy Auditor

An energy auditor is a residential energy-efficiency professional who evaluates the energy efficiency and health & safety of a home and conducts field measurements and diagnostic testing to identify areas for energy savings and enhancements. The energy auditor produces a work order based upon the information gathered to direct the energy efficient work and installed measures for homes to be weatherized.

Quality Control Inspector

A quality control inspector (QCI) is a residential energy-efficiency professional who ensures the completion, appropriateness and quality of energy efficiency upgrade work and installed measures. Per [WPN 22-4](#), the QCI is an individual that has no involvement in the prior work on the home either as the auditor or as a member of the crew. IHCDCA will monitor a minimum of 5% of DOE completions.

- Separation of duties between the Energy Auditor and QCI must be clearly defined and not crossed
- Weatherization Program Managers who would like to perform QCI must obtain prior IHCDCA approval
- The QCI must take every precaution necessary to not become involved in the decision-making process regarding the work being performed at the home
- All additional work or needed re-work should be brought to the attention of the WX Program Manager or Energy Auditor and not handled directly by the QCI.
- Crew Leaders should seek guidance on performing work from the WX Program Manager or Energy Auditor.

IHCDCA Expectations and Best Practices for Indiana's Weatherization Network

IHCDCA allows two options for meeting the Quality Control Inspection requirement. Sub-grantees must apply to IHCDCA in order to be able to utilize the Energy Auditor as the QCI option and must indicate their intended method to IHCDCA for consideration. Sub-grantees that do not submit a plan to IHCDCA will be required to utilize a QCI that was not the Energy Auditor.

When Energy Auditor is QCI

The auditor performs the audit, creates the work order, and performs the final quality control inspection. The auditor is not involved in any of the actual work on the home. Because this model does not allow for an independent review of the audit on every home, IHCDCA is required to increase the percentage of quality assurance reviews to ensure that audits are being performed consistently and correctly. IHCDCA will monitor a minimum of 10% of DOE completions.

Inspectors shall not participate in professional activities involving a conflict of interest. A conflict of interest occurs when an inspector is inappropriately motivated by any financial, personal, or professional incentive other than the production of a professional report that clearly, completely, and usefully reflects the conditions observed during the audit. Inspectors shall avoid, whenever possible, even the appearance of a conflict of interest and shall disclose all potentially questionable associations and relationships in advance to IHCDCA with a legitimate right to be informed of them.

Inspectors shall not inspect work performed by organizations under arrangements whereby any compensation or future referrals to the inspector depend on or are influenced by the findings of the report. Compensation includes direct and indirect remuneration as well as substantial gifts and favors. Inspectors shall not accept any form of compensation for recommending products or services to clients or other parties having an interest in the inspected work.

Additional documentation may be required by IHCDCA if necessary, including:

- Documentation of the independent status of the Quality Control Inspector
- Documentation outlining any involvement of the QCI in the audit process

Quality control inspections are subject to IHCDAs assessment of effectiveness and compliance with program inspection policies and monitoring will include documentation of any findings related to the quality of the inspection and impartiality of the inspection process. IHCDAs will maintain tracking of all sub-grantee QCI activities to include all aspects of the sub-grantee developed QCI process, subsequent corrective actions, and final outcomes.

If sub-grantees are found to be out of compliance, remedial training may be required for the QCI, the installation contractor, and/or sub-grantee staff. Limited remedial training may be provided by IHCDAs staff onsite at the time of the monitoring, or more extensively through the training facility at INCAA if necessary. Alternatively, IHCDAs staff may provide more comprehensive training at a later date. Repeated noncompliance issues after remedial training may result in the agency being placed on QIP, or a reduction in funding. All compliance issues found with QCIs are subject to IHCDAs review and may result in the QCI not being allowed to perform inspections for Indiana WAP.

Sub-grantees are required to ensure that each weatherization completion receives an appropriate and properly executed QC inspections. This inspection must be performed by a BPI certified Quality Control Inspector (QCI). IHCDAs, as part of their regular monitoring procedures, will review QC inspection forms, sub-grantee inspection processes and completed homes to ensure the inspections are being performed correctly and in a manner that meets DOE expectations. [WPN 22-4](#).

Failure by the sub-grantee to utilize the QCI process correctly may result in the associated completion(s) being considered unallowable, and all associated cost being returned to IHCDAs. Should multiple instances of poorly performed inspections be found, IHCDAs will, at the very minimum, place the sub-grantee on a Quality Improvement Plan (QIP).

7.10 Training Stipend

Sub-grantees will be allotted a \$2,000 base award through the DOE award with an additional \$500 for every county serviced per grant cycle for the purpose of providing Training and Technical Assistance for sub-grantee staff and contractors performing weatherization work for the sub-grantee. Sub-grantees can request additional T&TA stipend on a first come first served basis. These funds may be used for expenses related to weatherization training, including:

- Class Fees
- Material Fees
- Written / Field Testing
- CEU Events
- Salary / Wage / Time reimbursement
- Travel Expenses (excluding meals)
- Lodging
- Providing reasonable meals at **annual** contractor trainings

Contractors must have an active contract with the sub-grantee before being considered for the stipend. Requests for stipends to reimburse contractors without an active contract must be reviewed by IHCDAs.

Sub-grantees that use a stipend for contractors and staff must provide training documentation to IHCDAs upon submitting claims for the stipend. Training records must contain clear documentation and verification that the required and appropriate training was attended and completed. Examples of this documentation include copies of training certificates, sign-in sheets, and BPI student portal information.

Examples of allowable courses are listed on INCAAs [website](#), as well as those outlined in this section. Sub-grantees must have approval from IHCDAs for classes not listed prior to attending if the stipend will be used. Other associated costs related to training not listed above must first be approved by IHCDAs.

Percent of overall trainings

Comprehensive Trainings	48
Specific Trainings	52

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings	40
Percent of budget allocated to Crew/Installer trainings	40
Percent of budget allocated to Management/Financial trainings	20

V.9 Energy Crisis and Disaster Plan

IHCDA will follow the guidance for Energy Crisis and Disaster Plan as outlined in [WPN 12-7](#).

The primary allowance of this program notice would allow IHCDA to install incidental repair measures as deemed necessary and in accordance with IHCDA and DOE policy, appropriate and associated health and safety cost necessary for weatherization to continue, the ability to perform reweatherization without regard to the date of weatherization, and paying weatherization personnel to perform duties such as securing weatherization materials, tools, equipment, weatherization vehicles, or protection of local agency weatherization files, records and the like during the initial phase of the disaster response. However, using DOE funds to pay for weatherization personnel to perform relief work in the community as a result of a disaster is not allowable.

Incidental and health and safety related expenses are required to meet both DOE and IHCDA guidelines. Incidental repair costs as outlined in NEAT/MHEA/MuTEA must be followed if the NEAT/MHEA/MuTEA audit is utilized.

All actions taken in response to an energy crisis would be governed by [WPN 12-7](#), [10 CFR 440.18](#) and require approval from IHCDA prior to engaging in any disaster related activity.

Exhibit Q

2022 WAP BIL Training & Technical Assistance Plan

Indiana's Weatherization Assistance Program currently has 261 Home energy Professional. 37 BPI QCI, 48 EA, around 35 shell crews and 27 Mechanical workers and 11 helpers.

The first Year IHCDCA will bolster the current network and ensure the state has a solid foundation to ramp up production while maintaining the necessary quality of work. IHCDCA will also hire 3 additional state employees. IHCDCA will specifically target Subgrantees working below the current contract requirements. IHCDCA will provide T&TA for the Subgrantees struggling to meet production goals. The training will evaluate and create processes in collaboration with the subgrantees. These processes will improve budgeting, production, and compliance in the Weatherization program. IHCDCA has implemented this training in the past which improved production and compliance with great success. The training is provided by Hutson Homes LLC and is listed below in more detail. Additionally, IHCDCA hosts two Semi Annually Manager Meetings (SAMM's) to address specific network issues and knowledge gaps throughout the network.

Training Implemented by Hutson Homes LLC Training

1. Costs and Budgets
 - Tracking unit expenses
 - The process of approving expense sheets per unit for finance
 - Reporting unit cost in IWAP
 - Reconciling between indirect and direct unit costs
 - Reconciling direct unit cost with NEAT/MHEA
 - Finding minimum number of units required at current expenses
 - Tracking ACPU
2. Production
 - Tracking units in production
 - Managing units in production
 - Moving production forward
 - Evaluate monthly goals adding to production as needed
 - Writing a process for each step of completing a unit from Audit to QCI, reporting etc...
3. Compliance
 - Work on procurement and its process
 - Tracking of CEUs and certifications
 - On boarding new employees and contractors
 - Checks and balances between financial and weatherization production
 - Inventory processes and tracking
 - Compliance check lists

IHCDCA will need to ramp up production by 27% by the year 2023. IHCDCA has the workforce to meet this production but will use this year to market and collaborate with trade schools and local area career centers. IHCDCA will start the QCI mentorship program in 2023 to ramp up trained workforce for year 2024. IHCDCA has a statewide goal to add 2 additional trainers, 19 QCI's, 24 Energy Auditors, 15 shell crew members, and 30 HT in year 2023 and 2024. This will allow IHCDCA to increase production by 55% by year 2024. IHCDCA will perform workforce evaluations to ensure hiring and training milestones are being met.

Indiana utilizes T&TA to properly train all Weatherization Program Managers, Energy Auditors, Quality Control Inspectors, Crew Leaders, Retrofit Installers-SHELL/HVAC, and appropriate Grantee Staff. Training includes those who are in-house personnel and subcontractors working for the Grantee and Subgrantees. The T&TA training also trains and teaches on Monitoring practices. Indiana's Weatherization Training Center is the Indiana Community Action Association (INCAA). INCAA is an IREC

Accredited organization covering all four DOE Job Task Analyses (Energy Auditor, Quality Control Inspector, Crew Leader and Retrofit Installer Shell). INCAA received their 5 year re-accreditation on March 18, 2022. INCAA has adopted and utilizes the NREL installer badge toolkit as common practice as well.

T&TA is also utilized to provide sub-grantees with additional technical assistance in the technical and administrative aspects of Indiana's Weatherization Assistance Program. IHCD's Policy and Technical Specialist is available daily via phone and/or email to answer programmatic questions. Subgrantees with more serious needs may schedule/request an on-site visit from IHCD or INCAA training staff. IHCD and INCAA work together closely to ensure that Indiana's Weatherization Assistance Network receives the necessary training to meet DOE and IHCD requirements. Adjustments are made throughout the funding cycle as necessary to meet the T&TA needs of Indiana's Weatherization Network. Subgrantees will be allotted a \$2,000 base award with an additional \$500 for every county serviced by the Subgrantee per reporting cycle for the purpose of providing Training and Technical Assistance for Subgrantee staff and contractors interested in performing weatherization work for the Sub-grantee. These funds may be used to cover only those expenses related to weatherization training, including:

- Class Fees
- Material Fees
- Written / Field Testing
- CEU Events
- Wage / Time reimbursement
- Travel Expenses (excluding meals)
- Lodging
- Providing reasonable meals at annual contractor trainings

Contractors must demonstrate their commitment to providing weatherization services for the Subgrantee by having an active contract with the Subgrantee before being considered for the stipend. Requests for stipends to reimburse contractors without an active contract must be reviewed by IHCD. Subgrantees that use a stipend for contractors and staff must provide training documentation to IHCD upon submitting claims for the stipend. Training records must contain clear documentation and verification that the required and appropriate training was attended and completed. Examples of this documentation include copies of training certificates, sign-in sheets, and BPI student portal information.

Examples of allowable courses are listed on INCAA's website, as well as those outlined in Policy & Procedure Manual Section 7. Subgrantees must have approval from IHCD for classes not listed prior to attending if the stipend will be used. Other associated costs related to training not listed above must first be approved by IHCD. Requests for additional funds will be submitted to IHCD for review.

Indiana addresses client energy education within the courses taught at INCAA. Comprehensive client education is provided to the Weatherization program through INCAA's Client Education course; however, client education components are also covered in the Energy Auditor, Quality Control Inspector, Retrofit Installer Shell and Mechanical, and the ASHRAE 62.2 courses. Several additional courses taught at INCAA also have components of Client Education embedded into those curriculums. Indiana believes establishing a solid foundation in client education is paramount to attaining optimal energy savings, to ensuring the durability of measures installed, for improvement in indoor air quality, and for building positive relationships between the clients and the WAP personnel. All persons involved in the Indiana WAP play a vital role in establishing effective client energy education. INCAA has available the following classes and trainings for the 2022-2023 DOE funding cycle:

- Retrofit Installer Shell
- Retrofit Installer Mechanical
- Energy Auditor
- Crew Leader
- BPI Quality Control Inspector
- Zone Pressure Diagnostics
- High Performance Insulation
- Daily Safety Test Out Procedures
- Mobile Home Weatherization

- Carbon Monoxide and Combustion Analysis
- Electric Furnace & Heat Pump Inspections for Auditors/QCI's
- Electric Furnace & Heat Pump Inspections for HVAC Professionals
- Oil Furnace Training
- Boiler Inspections
- Vent Systems & Combustion Air Requirements
- Heating System Airflow Diagnostics
- Mechanical Systems for Auditors
- CAZ Pressure Diagnostics for Auditors and Heating Techs
- NEAT/MHEA/MuTEA
- Whole House Heat Load Calculations
- New Furnace Installation Inspections
- Applying The ASHRAE 62.2
- DOE Health & Safety Policy
- Healthy Homes Evaluator
- Communication in Weatherization
- Water Heater Inspection
- Client Education
- SWS for Weatherization Professionals
- Lead Safe Weatherization
- Moisture Assessment
- Testing for DOE's QCI and Energy Auditor Certifications
- Multi-Family QCI Training for QC
- Multi-Family Training Building Analyst for Energy Auditors
- Optimizing Weatherization Program Resources
- OSHA 10
- SHPO Training

Indiana currently requires competency testing for all individuals performing work as an Energy Auditor, Quality Control Inspector, MF Building Analyst, and MF QCI, Retrofit Installer Shell, Retrofit Installer Mechanical and Crew Leader-Shell. The requirements and timelines for these competencies are contained in Indiana's Policy and Procedures Manual Section 7. Section 7 will be included in the Policy and Procedures Manual attached to the SF-424.

Subgrantees are required to ensure that all staff and contractors meet IHCD and applicable DOE training requirements and properly track training documentation. IHCD reviews the training documentation and tracking during their monitoring process to ensure compliance. Time Limits for becoming Indiana Weatherization Competent:

- All Subgrantee staff/contractor new employees will have 9 months commencing 45 days from their date of hire to become Indiana Weatherization Competent in the categories of Energy Auditor, Retrofit Installer (Shell and/or Mechanical) and Crew Leader.
- All Subgrantee staff/contractor new employees will have 9 months commencing 45 days from their date of start in specific training for BPI QCI to obtain BPI QCI Certification.
- Subgrantees are allowed to enroll new staff/contractor employees in training prior to the expiration of the 45 days if they choose to do so. This decision should be based upon the expectation that the new staff/contractor employee will be retained in their new position.
- Subgrantees may shorten the 45 day grace period to 30 days provided this shortened time period is approved by IHCD and included in the Sub-grantee's policy and human resources manuals.

Each IHCD Subgrantee is responsible for accurately tracking all staff and/or contractor competencies and certifications. This tracking must include the following information:

- Individual name and competency(s) and/or BPI certifications held
- Date competencies and/or BPI certifications expire
- Hire date

- Attendance at Annual Competency Maintenance Training
- Current BPI/INCAA Certifications where applicable
- Record of training for 16 hours of CEUs
 - IHCDCA will verify training records and qualifications of all Subgrantee staff, crew members and contractors annually near the end of March. Subgrantees must be prepared to provide training documentation whenever it is requested by IHCDCA. Training records must contain clear documentation and verification that the required and appropriate training was attended and completed. Examples of this documentation include copies of training certificates, sign-in sheets (conferences for example), and BPI student portal information. IHCDCA may, at their discretion, monitor the tracking and completion of the required training at times other than listed in the bullet point above.

Comprehensive client education is provided to the Weatherization program through INCAA's Client Education course; however, client education components are also covered in the Energy Auditor, Quality Control Inspector, Retrofit Installer Shell and Mechanical, and the ASHRAE 62.2 courses. Several additional courses taught at INCAA also have components of Client Education embedded into those curriculums. T&TA activities that took place in Indiana during the 2021-2022 DOE grant cycle include, but are not limited to the following:

- National DOE BPI Quality Control Inspector certification training and testing activities
- National DOE BPI Energy Auditor certification training and testing activities
- National DOE Multifamily Building Analyst training and certification activities
- BPI Healthy Home Evaluator training
- Indiana Competency training and testing for Energy Auditor
- Indiana Competency training and testing for Retrofit Installer Mechanical, Retrofit Installer Shell & Crew Leader
- Indiana Competency Maintenance Trainings ASHRAE 62.2 - 2016 Training
- SWS for Weatherization Professionals
- Participation in and attendance by IHCDCA staff to both NASCSP Conference. Attendance by INCAA Training Team Leader to Winter NASCAP Conference
- On-site T&TA at IHCDCA provided by NASCSP
- Sub-grantee on-site T&TA activities statewide with IHCDCA staff
- Sub-grantee on-site T&TA activities statewide with INCAA training staff
- Two (2) Semi-Annual Managers Meetings, hosted by IHCDCA
- Four (4) Semi-Annual Technical Trainings, hosted by INCAA
- Certification/Competency Maintenance Trainings T&TA for Indiana's Field Guide/SWS document
- Maintenance of Indiana's site built and mobile home waiver audits
- Increased training on NEAT/MHEA/MulTEA auditing software

T&TA Activities anticipated to take place during the 2022-2023 DOE Funding Cycle include, but are not limited to the following:

- Continued testing for BPI QCI and DOE/BPI Energy Auditor Certification
- Testing for BPI Crew Leader Certification
- Testing for BPI Healthy Home Evaluator Certification
- Continued participation and attendance to NASCSP Conferences Continued training and testing for Indiana's competencies
- Work with Sub-grantees and INCAA training staff to develop quarterly "Best Practice" T&TA meetings that allow:
 - Weatherization staff to share successful processes and practices
 - Provide Optimizing Weatherization Resources Training for Sub-grantee Executive Directors & financial staff
 - Provide RRP initial and refresher training for Indiana's Weatherization Network Provide OSHA 10-hour training opportunities
 - Provide Multi-family Building Analyst and QC training

- Enhanced focus on NEAT/MHEA/MulTEA training and use within Indiana's Weatherization Network
- Research and Development by INCAA on improving forms, researching current practices, etc.
- Provide MULTEA training for Multi-Family audits

In 2019, Indiana received the energy savings results from PRISM/BEAcon to evaluate energy savings at each subgrantee. This program was used to evaluate one year pre- and post-weatherization utility usage of metered fuels. These results are shared with sub-grantees revealing their individual results along with the state averages. Each sub-grantee is encouraged to evaluate the savings information to see how they performed individually and in comparison to the state average. The information shared from PRISM/BEAcon also breaks down the performance of each contractor and energy auditor. Subgrantees are also encouraged to look at this information to identify top performers and those who may need additional training or oversight

In the past, savings information was utilized as part of Indiana's incentive pool for future and active funding opportunities. In PY 2022-2023 IHCDCA does not plan to use the incentive pool, because the energy savings data is not available from the previous program year.

Below are the increased guidelines if IHCDCA opts to use:

Sub-grantees are encouraged to use energy analysis and evaluations in program decisions. IHCDCA will hold back a certain percentage that can be given out on request to sub-grantees who have spent out their allocation.

Indiana may opt to utilize an increased allocation process in conjunction with issuing funding allocations that promotes energy savings and sound program management. BIL allocations are distributed using the census-based allocation formula for 50% of Weatherization sub-grantees contracted funds. IHCDCA will review benchmarks yearly and allocate as necessary. The remaining 50% of the allocation is distributed out to those Weatherization sub-grantees who meet all of the following criteria:

1. 90% or more of the prior reporting cycle contract total must have been expended.
2. Annual Closeout Reports must be submitted and approved on time (within 45 days after the annual reporting cycle ends). IHCDCA DMS, IWAP Quarterly, Job Expense and sub-grantee annual closeout report must match exactly when final claims are processed, with all line items and averages being within allowable limits.
3. No Weatherization sub-grantee operating under a 120-day or modified Quality Improvement Plan (QIP) will be included in the increased allocation process.
4. Weatherization sub-grantees must demonstrate regular use of the XRF for lead based paint testing.
5. Sub-grantee must meet the 45 day requirement for vendor and sub-contractor payments

To meet requirements within [WPN 22-4](#) IHCDCA added the following language to their Subgrantee contracts:

"Subgrantee shall perform weatherization services during the Term in accordance with the U.S. Department of Energy Weatherization Assistance Program State Plan for the State of Indiana, the Indiana Weatherization Field Guide, the Indiana Weatherization Policy and Procedures Manual, other State Weatherization directives as applicable, and any amendments thereto (collectively "State Weatherization Plan and Directives"). Upon completion of the document aligning Indiana's Weatherization Field Guide and DOE's Standard Work Specifications (SWS), Subgrantee shall abide by and perform all work in accordance with said document. The Sub-grantee's signature on this agreement signifies its responsibility to follow all work standards as outlined in the documents referenced in this paragraph."

"Subgrantee shall ensure that all Weatherization staff and sub-contractors who perform or provide Weatherization services to client homes receive and adhere to all standards as outlined in Indiana's Weatherization Field Guide, Indiana's Weatherization Policy and Procedures Manual, the Department of Energy Weatherization Assistance Program State Plan for Indiana and other State Weatherization directives as applicable. Upon completion of the document aligning Indiana's Weatherization Field Guide and DOE's Standard Work Specifications (SWS), sub-grantee shall abide by and perform all work in accordance with said document. The sub-grantee's signature on this agreement signifies its responsibility to follow all work standards as outlined in the documents referenced in this paragraph as well as its

responsibility to ensure that its Weatherization staff and sub-contractors receive and review these documents and use them to guide the Weatherization work performed in client homes by them.” Prior to issuing the PY 2022-2023 DOE Grant Agreements, IHCD ensure the above language is included to indicate that all work performed will meet or exceed Indiana's Weatherization Field Guide/SWS aligned document.

Tier 1 and Tier 2 Training:

Indiana will continue to work with INCAA to provide the needed Tier 1 and Tier 2 training as required by [WPN 22-4](#). For Tier 1 training, INCAA continues to offer training for

- Quality Control Inspector
- Energy Auditor
- Retrofit Installer Shell
- Crew Leader.

For Tier 2 training, INCAA continues to offer the following, but are limited to the following training opportunities:

- Moisture Assessment
- Daily Safety Test Out
- Retrofit Installer Mechanical
- Lead Safe Work Practices
- Applying ASHRAE 62.2 – 2016
- Optimizing Weatherization Resources
- Program Management
- SWS
- Client Education
- CAZ Pressure Diagnostics
- NEAT/MHEA/MuITEA training
- Mechanical Systems for Auditors
- Electric Furnace and Heat Pump Inspections
- Vent Systems and Combustion Air Requirements
- Boiler Inspections
- Carbon Monoxide and Combustion Analysis
- Oil Furnace Training
- New Furnace Installation Inspections.

INCAA's class registration system is capable of placing students on a waiting list if a class is full at the time of registration. By utilizing the waiting list, INCAA, in cooperation with IHCD, can monitor the need for classes and change the schedule as necessary. INCAA utilizes this information to populate the classes as they move forward through the grant cycle.

IHCD recognizes that the primary focus for Tier 1 training during the 2021-22 Program Year to be on all Tier 1 training, including Quality Control Inspector, Energy Auditor, Retrofit Installer Shell and Crew Leader. INCAA will continue to offer a Multifamily QC course, the most recent offering being in 11/2021. IHCD understands the importance of ensuring that the new information contained within [WPN 22-7](#) Health & Safety guidance, as well as Indiana's updated SWS-aligned Field Guide, is fully realized and understood by all sub-grantees and contractors within the Weatherization network. IHCD will continue to support efforts to position Indiana's WX Network to test for the national Energy Auditor Certification. INCAA has incorporated all components of [WPN 22-7](#) into the Client Education course in addition to periodically offering a training course. Additionally, INCAA provides SWS training for Weatherization Professionals. The Semi-Annual Technical Trainings, Competency Maintenance Refresher, Semi-Annual Managers meetings courses are designed to specifically include addressing updates or changes in DOE, IHCD, SWS, Code, etc throughout each FY.

The following is from Section 7 of the PY 2022-2023 Policy & Procedure Manual.

Section 7: Training

7.1 Importance of Training

Due to the ever-changing and highly technical nature of the WAP, a high priority has been placed on the training aspect of the program. Technical assistance provides guidance and assistance on specific issues/questions found in all aspects of Weatherization. Training and technical assistance in the field, via telephone or email, is provided by either INCAA training staff or IHCD staff. This assistance is provided to all sub-grantee contractors and sub-grantee staff including but not limited to executive directors, fiscal staff, program managers, and all other weatherization employees. Sub-grantees and contractors are strongly encouraged to take full advantage of the opportunities available to them for program enhancement and improvement through training and technical assistance.

IHCDA continues to maintain a strong position that the Indiana WAP will maintain its high levels of technical expertise and energy savings through the continued emphasis on its training and technical assistance component. Ongoing training and sub-grantee program/technical monitoring are tools which IHCDA utilizes to ensure that weatherization measures are applied consistently, and that Indiana maintains a high standard of work. IHCDA implements training requirements to ensure that funds provided are used on weatherization measures that will enhance energy savings while ensuring the health and safety of the unit occupants. By including all weatherization professionals in this process, it ensures organizational performance while providing the means for evaluating weatherization achievements and as developing plans to improve upon Indiana Weatherization.

In Indiana, Weatherization specific training and technical assistance is offered by the Indiana Community Action Association (INCAA). INCAA is an Interstate Renewable Energy Council (IREC) accredited training center. INCAA will be providing training in PY 2022-2023. Lead Risk Assessor and Lead Inspector training is offered by the Environmental Management Institute (EMI).

Weatherization professionals can find Indiana Weatherization Field Guide, Health & Safety Plan guidance, and current State Plan at MyIHCDA's [Program Partners](#).

At the beginning of each DOE program year, sub-grantees are required to submit a list of weatherization program professionals—in house staff and contractors to IHCDA and INCAA. IHCDA will only fund training for weatherization professionals on the submitted and updated list. Any changes in staffing must be reported to IHCDA and INCAA immediately. Sub-grantee Executive Directors and Weatherization Program Managers may only request and view testing results for their employees or sub-contractors. Time Limits for becoming Indiana Weatherization Competent:

- All sub-grantee staff/contractor new employees will have 9 months commencing 45 days from their date of hire to become Indiana Weatherization Competent in the categories of Energy Auditor, Retrofit Installer (Shell and/or Mechanical) and Crew Leader. IHCDA will not fund training beyond the 9 months and 45 days from the day of hire if the person does not become weatherization competent.
- All sub-grantee staff/contractor employees must have a completed background check prior to being allowed to work in/on client homes. IHCDA's specific requirements for background checks are detailed in this manual.

7.2 Certifications

In order to be employed as a Weatherization Professional, one must be working toward or must hold at least one of the following certifications. Indiana has established Weatherization competency standards known as the Indiana Skills Verification (ISV) competencies. The Building Performance Institute in conjunction with DOE have established competency standards as well. The following credentials are recognized for weatherization professionals working in Indiana:

- ISV Energy Auditor
- ISV Retrofit Installer for Shell Professionals
- ISV Retrofit Installer for Mechanical Professionals
- ISV Crew Leader for Shell Professionals

- BPI Energy Auditor
- BPI Quality Control Inspector
- BPI Crew Leader for Shell Professionals
- BPI Healthy Home Evaluator
- Indiana Approved Pre-Audit Inspector

The Program Management class is required for all new program managers and strongly recommended for all program managers.

INCAA provides training and certification opportunity for all the above-mentioned certifications.

7.3 Minimum Training Requirements

In order to ensure their safety, all professionals working in Indiana Weatherization who enter client units are required to successfully complete the following courses:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Asbestos Awareness
- See special provisions for mechanical helpers

Energy Auditors working in Indiana Weatherization are required to successfully complete the following courses and the applicable examinations:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Retrofit Installer blocks for Shell Professionals
- Mechanical Systems for Auditors
- Worst Case CAZ Depressurization
- NEAT/MHEA/MuTEA
- ASHRAE 62.2
- SWS for Auditors/QCI/Program Managers
- Energy Auditor

Quality Control Inspectors working in Indiana Weatherization are required to successfully complete the following courses and the applicable examinations:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Retrofit Installer blocks for Shell Professionals
- Mechanical Systems for Auditors
- Worst Case CAZ Depressurization
- NEAT/MHEA/MuTEA
- ASHRAE 62.2
- Energy Auditor
- SWS for Auditors/QCI/Program Managers
- Quality Control Inspector

Designated Indiana Pre-Audit Inspectors (holding no other certifications) working in Indiana Weatherization are required to successfully complete the following courses:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Healthy Homes Evaluator

- Pre-audit inspectors may not enter client homes without supervision of an Indiana certified Weatherization Professional until successful completion of each of the abovementioned courses.

Retrofit Installer for Shell Professionals working In Indiana Weatherization are required to successfully complete the following courses and the applicable examinations:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Retrofit Installer blocks for Shell Professionals
 - Introduction to Weatherization
 - Blower Door
 - Airsealing
 - Airsealing Field Class
 - Insulating Basics
 - Foam Insulation and Information
 - Insulation Field Class

Crew Leader for Shell Professionals working in Indiana Weatherization are required to successfully complete the following courses and the correlating examinations:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Retrofit Installer blocks with Badge Completion
- Crew Leader for Shell Professionals (3 day)
- New SWS Class
- It is highly recommended that the Crew Leader also hold the EPA RRP Lead Renovator Certification.
- A crew leader is required to be on a job site at all times

Retrofit Installer Mechanical Professionals working in Indiana Weatherization are required to successfully complete the following courses and the correlating examinations:

- OSHA 10
- Lead Safe Weatherization
- Moisture and Mold Awareness
- Mechanical Systems for HVAC Professionals

Retrofit Installer Mechanical Helper are required to successfully complete the following:

- OSHA 10
- Mechanical Helpers are not allowed to be on client premises without the Retrofit Installer Mechanical Professional also being on the premises.

Indiana Skills Verification Standards

All individuals desiring to become ISV certified must be sub-grantee staff, contractors, or contractor employees holding a current contract with the sub-grantee unless IHCD provides prior written approval to the sub-grantee and INCAA.

- Mechanical Helpers are not required to hold ISV certification.
- ISV written testing is administered at the end of the Retrofit Installer for Shell Professionals, Crew Leader, Retrofit Installer for Mechanical Professionals, and Energy Auditor courses.
- The results of ISV written and field testing will be tracked by INCAA. The results of the ISV written and field testing will be available to IHCD, the sub-grantee Weatherization Program Manager, and the sub-grantee Executive Director upon written request to the INCAA Weatherization Training Team Lead

Specialty Contractors

- Specialty contractors who are performing limited, rarely utilized services such as specialty plumbers, exterminators, mold remediation, or specialty electricians **are not** required to hold ISV certification.
- Specialty contractors who complete work in units which results in changes to exhaust systems, ventilation systems or the tightening of the home **are required** to complete the Daily Safety Test Out (DSTO) training at INCAA and **are required** to complete a DSTO form upon completing their work on the home. Or a representative from the subgrantee must complete the DSTO at the end of each specialty contractor work day when applicable.

Testing Parameters

Becoming Indiana Weatherization Competent will require passing both a written exam and field exam. The skills exam will involve performing skill sets associated with the competency category being tested.

- Both the written and field test are pass/fail. There will be no provisional results given.
- Should retesting of the skills verification be necessary only the portion failed by the candidate will need retested.
- Should retesting of the written test be necessary, the entire written test must be completed.
- All testing results will be sent to the candidate, the sub-grantee Weatherization Program Manager and the sub-grantee Executive Director.
- Candidates will have three opportunities to pass all testing to become Indiana Weatherization Competent. Individuals that fail to pass competency on the third attempt will be required to submit a formal request to IHCD for reapplication to work in Indiana's Weatherization Assistance Program for consideration.
 - An individual would be able to continue working in a competency that has been achieved and they hold, even if they failed the second attempt for an additional competency. For example: if an individual has become Indiana Weatherization Competent as a Retrofit Installer Shell, this same individual tests to become a Crew Leader but fails three attempts. This individual would be allowed to work in Indiana's Weatherization Assistance Program as a Retrofit Installer Shell but not perform the duties of a Crew Leader.
- Should a second attempt at passing competence be needed, the second attempt shall take place no later than **3 months** following the initial attempt.
- IHCD will only pay for the first attempt for an individual to pass competency. In the case of a failed attempt, the sub-grantee or contractor will be responsible for the cost of any subsequent test procedures.
- Competency testing must take place no later than the conclusion of the 9-month training period commencing 45 days from their hire date.

See BPI's [Certified Professionals](#) designations (Energy Auditor, Quality Control Inspector, Crew Leader, Healthy Homes Evaluator). IHCD will only fund the first attempt for BPI testing for each designation.

7.4 Duration, Maintenance, and Recordkeeping

Each Indiana competency will be in effect for 3 years. At the end of the 3-year duration each competent individual must re-test and pass the skills verification portion of their competency(s). Each candidate will have three opportunities to pass the skills verification portion of their competency(s). IHCD will only pay for the first attempt for an individual to pass competency. In the case of a failed attempt, the sub-grantee or contractor will be responsible for the cost of the second testing event. At the end of 3 years, individuals holding competencies as both Retrofit Installer Shell and Crew Leader will only need to test for and pass the Crew Leader competency. Passing the Crew Leader skills portion will initiate the next 3-year cycle for both the Retrofit Installer Shell and Crew Leader competencies. From that point forward, both competencies will have the same expiration dates.

Individuals are required to perform the Crew Leader testing based upon which competency expires first. For example, an individual's Retrofit Shell Competency expires on April 15, 2016 while their Crew Leader expires on June 30, 2016. This individual is required to perform the Crew Leader testing PRIOR to the April 15th date – it is the competency that expires first. The BPI Quality Control Inspector certification is also in effect for 3 years. All BPI requirements regarding the QCI certification must be followed to maintain this certification. All Indiana Weatherization Competent, QCI and BPI certified individuals are required to attend an Annual Competency Maintenance Training in years 2 and 3 of their competency(s) or BPI Certification. If a certification expires and is not renewed concurrent to the certification expiration then written notification must be sent to IHCD with a request for extension and allowances for a timely recertification must be made.

The Program Manager must keep and maintain up to date records of all weatherization professional certifications and training information on file and have access to the records at all times. This tracking must include the following information:

- Individual name and competency(s) and/or BPI certifications held
- Date competencies and/or BPI certifications expire
- Hire date
- Attendance at Annual Competency Maintenance Training
- Current BPI/INCAA Certifications where applicable
- Record of training for 16 hours of CEUs

Continuing Education Units

The requirement of Continuing Education Units (CEUs) is designed to ensure that Indiana's Competent and Certified individuals increase their knowledge base beyond what is necessary to obtain the competency. This is one way that IHCD is helping to ensure that each client's home receives the highest quality of Weatherization services possible.

- Record of CEUs **must** be tracked by the **sub-grantee** for their Weatherization staff, crews, and contractors.
- The 16 CEUs requirement is per individual and not per competency. For example, an individual holds competencies for both Retrofit Installer Shell and Energy Auditor. This individual is only required to obtain 16 CEUs.
- Sub-grantees must track the training that was taken connected to the claimed CEUs for review at time of monitoring. This tracking must include documentation verifying completion of the training, who performed the training and the length of time that the training lasted.
- **Non-technical training for CEUs is limited to four (4) hours.**
- The requirement for CEUs begins at the time that an Indiana Competency is obtained. The following scale represents a reduced CEU requirement based upon when the first or initial competency is obtained:
 - Competency obtained on or after July 1: 6 CEUs required
 - Competency obtained on or after October 1: 4 CEUs required
 - Competency obtained on or after January 1: 2 CEUs required
- BPI requires that individuals holding BPI certifications obtain 24 CEUs over the 3-year duration of the certification.

The following is a list of examples of training that apply toward the 16 hours of Indiana CEU:

CEU Ratio	CEU Category	Example	Documentation required	Limitation
1 hour training : 1 CEU	INCAA or IHCDCA Provided T&TA	Training on site	<ul style="list-style-type: none"> • Sign in sheet with date and time • Instructor's name • Location 	None
1 hour training : 1 CEU	Weatherization Specific Conference	Affordable comfort, HPC, Energy out West	<ul style="list-style-type: none"> • Sign in sheet with date and time • Instructor's name • Location 	None
1 hour training : 1 CEU	Manager/Technical training	SAMM, SATT, CMR	<ul style="list-style-type: none"> • Email confirmation of attendance 	None
2 hours training : 1 CEU	Non-weatherization specific courses and respective refreshers	Lead, mold, OSHA	<ul style="list-style-type: none"> • Certificate or card required 	10 CEU / certificate cycle
4 hours training : 1 CEU	Training provided by manufacturers that promotes specific model or style produced by manufacturer	Installation of Navien water heaters, class provided by Navien about Navien	<ul style="list-style-type: none"> • Sign in sheet with date and time on manufactory's letterhead • Instructor's name and contact information • Summary of how training will improve weatherization 	None

The following is a list of examples of training that DO NOT apply toward CEUs:

- The required training to obtain a particular competency DOES NOT count toward CEUs. For example – someone is taking the 5-day Energy Auditor training to obtain their Energy Auditor Competency. This 5-day class DOES NOT count as CEU's – it is required to obtain the competency (For instance, if the above person takes a CAZ class to supplement the Energy Auditing training, the CAZ class DOES count toward their CEUs).
- Classes outside of INCAA that do not pertain to Weatherization skills and topics
- Classes that are taken for which the Sub-grantee has no documentation of class completion or attendance
- Classes that are not related to the competency or certification that the individual(s) obtain

Please note that these are not exhaustive lists. Questions regarding whether or not a particular training would/should apply toward the 16 hours of continuing education should be directed to IHCDCA prior to attending the training.

Questions regarding industry specific training being allowed to count toward the 16 hours of training should be directed to IHCDCA.

IHCDCA STRONGLY recommends that the required CEUs be obtained through training offered through the accredited Weatherization courses offered at INCAA.

IHCDCA will verify training records and qualifications of all sub-grantee staff, crew members and contractors annually near the end of March. sub-grantees must be prepared to provide training documentation whenever it is requested by IHCDCA. Training records must contain clear documentation and verification that the required and appropriate training was attended and completed. Examples of this documentation include copies of training certificates, sign-in sheets (conferences for example), and BPI student portal information. IHCDCA may, at their discretion, monitor the tracking and completion of the required training at times other than listed in the bullet point above.

7.5 Additional Competency/Training Requirements

IHCDA staff and contracted monitors responsible for evaluation of sub-grantee administrative performance are required to complete at least 8 hours of administrative training per year.

IHCDA staff and contracted monitors responsible for evaluation of sub-grantee technical performance are required to complete at least 10 hours of technical training per year; and are required to be either Indiana Weatherization Competent as an Energy Auditor or BPI certified as an Energy Auditor and be certified as a BPI Quality Control Inspector.

Weatherization Program Managers responsible for the administration of the Weatherization Assistance Program at the sub-grantee level are required to attend all Semi-Annual Managers Meetings (SAMM) as well as any other required administrative offerings provided by IHCDA. If a Weatherization Program Manager is not able to attend any required training, an appropriate representative from the sub-grantee must attend in their place. SAMM's will be held twice per year and other administrative courses will be held as deemed necessary by IHCDA. When possible, IHCDA will attempt to host trainings via webinar, video conferencing, distance learning, or conference calls. Each sub-grantee is required to send at least one technical representative for their field staff/contractors to all Semi-Annual Technical Trainings (SATT). Failure to do so could result in repercussions from IHCDA.

Verification of LSWP/Moisture certification is not required after 4 years of continuous employment in the Indiana WAP as an ISV mechanical, crew leader, shell, audit or QCI.

Grantee Monitors and Inspectors must be Certified Lead Renovators. [WPN 22-7](#).

7.6 Additional Training Opportunities

IHCDA utilizes INCAA as the Indiana Weatherization Training Center and for Technical Assistance. Course subjects, course descriptions, length of classes, prerequisites, and schedules are located on INCAA's [website](#).

Classes are filled on a first come-first served basis. Once a class is filled, sub-grantees and contractors are encouraged to continue to register for the filled class so they can be placed on the waiting list. It is not uncommon for a spot to open 3 to 5 days prior to the class. To be placed on the waiting list individuals must register for the class. A sub-grantee may also contact the INCAA Training Team Leader to request a specific course be taught at the sub-grantee agency address. A sub-grantee or contractor may also request on site training or technical assistance from the INCAA training staff. It should be noted all courses may not be suitable for being held at the sub-grantee address, but INCAA will make these accommodations when possible.

Sub-grantee staff and contractors may also contact INCAA training team staff directly to request on-site Training and Technical Assistance to be held at specific job sites. These on-site T&TA opportunities will earn attendees one CEU per hour of T&TA.

7.7 Background Checks

In order to protect the safety of clients receiving weatherization services, sub-grantees must perform a criminal background check and employment verification prior to the employment of sub-grantee/contractor employees planning to work with clients or in the home of client's being rehabilitated or weatherized as a part of Indiana's Weatherization Assistance Program. IHCDA is instituting a look-back period for convictions to 7 years for individuals employed by sub-grantees for the Weatherization program. This policy mirrors the State's employment policies. The criminal background report must contain a criminal background check which includes the following:

- State and county records from all 50 states including data from courts, sexual offender registries and department of correction records.
- An Indiana criminal history check which contains records of criminal convictions or currently pending criminal charges in counties throughout the State of Indiana.

- A Social Security Number (SSN) Trace which provides names and addresses associated with a social security number along with the date and state of its issuance (this is a tool to aid in verifying the identity and location of a particular applicant).
- Confirmation of employment dates and job titles held with previous employers, the reason for leaving, and eligibility for rehire, if available.
- Sub-grantees must use careful consideration when analyzing the results of the reports and follow their internal agency policies. Must prohibit employment of anyone appearing in any sex offender registry. Deviations from internal policies must be discussed and approved by their board of directors.
- Sub-grantee Weatherization Program Managers are encouraged to work with their Human Resources and Executive Staff personnel to develop acceptable hiring practices based upon background check results.
- It is the sub-grantee's responsibility to ensure that this background check is performed and properly tracked for all sub-grantee weatherization staff and contractor employees.

7.8 Compliance Issues

IHCDA will evaluate compliance with competency and other required training annually. Sub-grantees must be prepared to provide IHCDA with training documentation whenever it is requested by IHCDA.

The sub-grantee must ensure that all persons meet the applicable certification and training requirements. If a sub-grantee has been found to have a person(s) working or worked on a weatherization home without the above-mentioned requirements, IHCDA may take the following steps:

- Issue a written finding with a timeline for resolution of the non-compliance issues
- Require re-works or re-inspections at the sub-grantee/contractor expense
- Require repayment of all funds claimed for the affected Weatherization work
- Hold the sub-grantees weatherization financial claims until all issues are properly addressed
- Temporarily suspend the noncompliant person from performing work in Indiana's Weatherization Assistance Program.

IHCDA will review sub-grantee compliance through sub-grantee files (tracking) and INCAA training records. It is the responsibility of the sub-grantee to identify within the client file each individual who entered the home.

7.9 Roles and Responsibilities

Energy Auditor

An energy auditor is a residential energy-efficiency professional who evaluates the energy efficiency and health & safety of a home and conducts field measurements and diagnostic testing to identify areas for energy savings and enhancements. The energy auditor produces a work order based upon the information gathered to direct the energy efficient work and installed measures for homes to be weatherized.

Quality Control Inspector

A quality control inspector (QCI) is a residential energy-efficiency professional who ensures the completion, appropriateness and quality of energy efficiency upgrade work and installed measures. Per [WPN 22-4](#), the QCI is an individual that has no involvement in the prior work on the home either as the auditor or as a member of the crew. IHCDA will monitor a minimum of 5% of DOE completions.

- Separation of duties between the Energy Auditor and QCI must be clearly defined and not crossed
- Weatherization Program Managers who would like to perform QCI must obtain prior IHCDA approval
- The QCI must take every precaution necessary to not become involved in the decision-making process regarding the work being performed at the home
- All additional work or needed re-work should be brought to the attention of the WX Program Manager or Energy Auditor and not handled directly by the QCI.

- Crew Leaders should seek guidance on performing work from the WX Program Manager or Energy Auditor.

IHCDA Expectations and Best Practices for Indiana's Weatherization Network

IHCDA allows two options for meeting the Quality Control Inspection requirement. Sub-grantees must apply to IHCDA in order to be able to utilize the Energy Auditor as the QCI option and must indicate their intended method to IHCDA for consideration. Sub-grantees that do not submit a plan to IHCDA will be required to utilize a QCI that was not the Energy Auditor.

When Energy Auditor is QCI

The auditor performs the audit, creates the work order, and performs the final quality control inspection. The auditor is not involved in any of the actual work on the home. Because this model does not allow for an independent review of the audit on every home, IHCDA is required to increase the percentage of quality assurance reviews to ensure that audits are being performed consistently and correctly. IHCDA will monitor a minimum of 10% of DOE completions.

Inspectors shall not participate in professional activities involving a conflict of interest. A conflict of interest occurs when an inspector is inappropriately motivated by any financial, personal, or professional incentive other than the production of a professional report that clearly, completely, and usefully reflects the conditions observed during the audit. Inspectors shall avoid, whenever possible, even the appearance of a conflict of interest and shall disclose all potentially questionable associations and relationships in advance to IHCDA with a legitimate right to be informed of them.

Inspectors shall not inspect work performed by organizations under arrangements whereby any compensation or future referrals to the inspector depend on or are influenced by the findings of the report. Compensation includes direct and indirect remuneration as well as substantial gifts and favors. Inspectors shall not accept any form of compensation for recommending products or services to clients or other parties having an interest in the inspected work.

Additional documentation may be required by IHCDA if necessary, including:

- Documentation of the independent status of the Quality Control Inspector
- Documentation outlining any involvement of the QCI in the audit process

Quality control inspections are subject to IHCDA assessment of effectiveness and compliance with program inspection policies and monitoring will include documentation of any findings related to the quality of the inspection and impartiality of the inspection process. IHCDA will maintain tracking of all sub-grantee QCI activities to include all aspects of the sub-grantee developed QCI process, subsequent corrective actions, and final outcomes.

If sub-grantees are found to be out of compliance, remedial training may be required for the QCI, the installation contractor, and/or sub-grantee staff. Limited remedial training may be provided by IHCDA staff onsite at the time of the monitoring, or more extensively through the training facility at INCAA if necessary. Alternatively, IHCDA staff may provide more comprehensive training at a later date. Repeated noncompliance issues after remedial training may result in the agency being placed on QIP, or a reduction in funding. All compliance issues found with QCIs are subject to IHCDA review and may result in the QCI not being allowed to perform inspections for Indiana WAP.

Sub-grantees are required to ensure that each weatherization completion receives an appropriate and properly executed QC inspections. This inspection must be performed by a BPI certified Quality Control Inspector (QCI). IHCDA, as part of their regular monitoring procedures, will review QC inspection forms, sub-grantee inspection processes and completed homes to ensure the inspections are being performed correctly and in a manner that meets DOE expectations. [WPN 22-4](#).

Failure by the sub-grantee to utilize the QCI process correctly may result in the associated completion(s) being considered unallowable, and all associated cost being returned to IHCDA. Should multiple

instances of poorly performed inspections be found, IHCD will, at the very minimum, place the sub-grantee on a Quality Improvement Plan (QIP).

7.10 Training Stipend

Sub-grantees will be allotted a \$2,000 base award through the DOE award with an additional \$500 for every county serviced per grant cycle for the purpose of providing Training and Technical Assistance for sub-grantee staff and contractors performing weatherization work for the sub-grantee. Sub-grantees can request additional T&TA stipend on a first come first served basis. These funds may be used for expenses related to weatherization training, including:

- Class Fees
- Material Fees
- Written / Field Testing
- CEU Events
- Salary / Wage / Time reimbursement
- Travel Expenses (excluding meals)
- Lodging
- Providing reasonable meals at **annual** contractor trainings

Contractors must have an active contract with the sub-grantee before being considered for the stipend. Requests for stipends to reimburse contractors without an active contract must be reviewed by IHCD.

Sub-grantees that use a stipend for contractors and staff must provide training documentation to IHCD upon submitting claims for the stipend. Training records must contain clear documentation and verification that the required and appropriate training was attended and completed. Examples of this documentation include copies of training certificates, sign-in sheets, and BPI student portal information.

Examples of allowable courses are listed on INCAA's [website](#), as well as those outlined in this section. Sub-grantees must have approval from IHCD for classes not listed prior to attending if the stipend will be used. Other associated costs related to training not listed above must first be approved by IHCD.

Exhibit R

2022 WAP BIL Corrective Action & Removal Procedures

6.2 Allocations

Federal Allocation

DOE and LIHEAP allocations are distributed using the census-based allocation formula.

- 95% or more of the prior grant cycle contract total must have been expended.
- Final Closeout Reports must be submitted and approved within **45 days** after the grant cycle ends. IHCDAs DMS, IWAP Quarterly, Job Expense and sub-grantee Closeout Report must match exactly when final claims are processed including all line items and averages.
- When available, a 15% average energy savings as determined by realized energy analysis of local sub-grantee production.
- Sub-grantee must meet the 45-day requirement for vendor and subcontractor payments.

Reallocation of Funds

Sub-grantees failing to meet quarterly as detailed on their most recent budget form may be subject to funding allocation reduction or redistribution at IHCDAs discretion. Any reallocation will be to ensure proper utilization of Weatherization funds throughout the grant cycle.

Sub-grantees eligible for redistributed funds will be determined based on, but not limited to, the following criteria:

- Current level of expenditures for all active weatherization related programs
- Timely and accurate submission of claims
- QIP, MQIP, or Tiered funding status
- Achieved quarterly benchmarks
- Financial and program management capacity

IHCDA will desktop monitor sub-grantee production, expenditure rates, and average cost per unit throughout the life of each DOE and LIHEAP funds. This desktop monitoring will occur in accordance with the funding benchmarks as established by the sub-grantee on the appropriate DOE or LIHEAP budget form. In cooperation with meeting production and expenditure benchmarks, sub-grantees must maintain the appropriate ACPU of each DOE and LIHEAP funds.

This will include a comparison of production as recorded in IWAP and the amount of grant funds claimed through IHCDOnline. This will be used to track whether or not sub-grantees are maintaining the proper ACPU for DOE and LIHEAP. Please refer to the IHCDAs grant agreements, Appendices of Budget Definitions for additional guidance regarding the average cost per unit and for the administration of Weatherization grant funds.

Request for Additional Funds

Sub-grantees may request additional funding. In the case that a request is made, the sub-grantee must send in the request via letterhead to iwx@ihcda.in.gov.

Tiered Allocation

Sub-grantees which have failed to meet program expenditure benchmarks, are experiencing financial difficulty, or appear to have a lack of proper programmatic oversight may be placed on a tiered allocation. While on a tiered allocation, sub-grantees must expend funds according to a structured schedule. The performance benchmarks or expenditure percentages, when possible, are based on the sub-grantee's performance in prior years. Failure to meet expenditure benchmarks may result in a reduction of funding. Tiered allocation may be included as part of the sub-grantee grant agreement, when applicable. Sub-grantees placed on a tiered allocation may be subject to an increased level of claim review.

Reduction of Funds

A reduction in funding may occur if IHCDAs deems it necessary, or if a sub-grantee:

- Voluntarily returns one or more counties within its service territory

- Returns substantial amounts of allocated funds
- Fails to complete a QIP or MQIP within two consecutive program years
- Fails to meet the expenditure and/or benchmarks
- Experiences financial or programmatic challenges

Request for Qualifications and Request for Proposals

IHCDA may post a Request for Qualifications (RFQ) or Request for Proposals (RFP) to identify organizations suitable to provide services within a particular service territory. The RFQ/RFP is designed to increase the service capacity of that territory and to provide additional service opportunities for program beneficiaries. A sub-grantee will be notified if an RFQ/RFP is posted within its service territory. The goal is to find the most qualified service provider within a territory. It is important to note that RFQ/RFP are open to the general public, as well as current sub-grantees. Eligible applicants will be determined based on the Federal regulations for the WAP. IHCDA will make a reasonable effort to assess if there is an adjacent, existing sub-grantee to support service delivery. Sub-grantees are encouraged to seek assistance from other sub-grantees who have the capacity to provide support. This step could result in avoiding the need for the RFQ/RFP process. RFQ/RFP will be issued as IHCDA deems necessary. The RFQ/RFP may also be posted for the following reasons including, but not limited to:

- The sub-grantee has been on a QIP/MQIP for more than two consecutive program years
- Failure to meet expenditure benchmarks for more than two consecutive program years
- Sub-grantee continues to demonstrate program deficiencies found during monitoring
- Sub-grantee voluntarily forfeits one or more counties within its service territory
- IHCDA has removed one or more counties from a sub-grantee due to performance issues
- Sub-grantee is involuntarily removed from a particular area due to fraudulent or major misappropriation of funds; legal action has been taken against the sub-grantee, or the sub-grantee dissolves
- The territory is not being serviced by the sub-grantee
- Sub-grantee is not currently operating under an active WAP contract

Like RFQs, the goal of the RFP is to find the most qualified service provider within a prescribed service territory. Therefore, it is important to note that RFPs are open to the general public as well as the community action network. Eligible applicants will be determined based upon the federal regulations for the program. IHCDA will make a reasonable effort to assess if there is an adjacent, existing sub-grantee to support service delivery. Using an adjacent sub-grantee will be determined on a case by case basis.

6.3 DOE Program Management

DOE Reweathering

Prior to any weatherization activity, a unit must be evaluated to determine whether previous weatherization services have been provided. A determination must be made if the building has been previously weatherized in order to be considered eligible. Find eligibility requirements in Section 2.3. The following actions must be taken on each DOE unit prior to weatherization services to ensure that homes that have received weatherization services within 15 years are not re-weatherized:

- Each address must be entered into IWAP to identify whether the unit has been weatherized during or after 2000 (length of IWAP historical records)
- Each owner must be asked whether their unit has been weatherized within 15 years
- A visual inspection of each unit must be performed by an Energy Auditor to identify whether previous weatherization was performed

If there are no documented, verbal, visual, or physical evidence of previous weatherization, the sub-grantee may proceed with weatherization on the unit. If any of the above actions indicate that weatherization has previously been performed on the unit, the sub-grantee must check with the local agency that historically provided weatherization in the area to inquire about any records pertaining to services previously provided. Incumbent local agencies must cooperate with these inquiries from IHCDA or from current weatherization service providers. Failure of any sub-grantee to comply with any such request could result in immediate suspension of payments on award agreements with IHCDA.

7.5 Additional Competency/Training Requirements

IHCDA staff and contracted monitors responsible for evaluation of sub-grantee administrative performance are required to complete at least 8 hours of administrative training per year.

IHCDA staff and contracted monitors responsible for evaluation of sub-grantee technical performance are required to complete at least 10 hours of technical training per year; and are required to be either Indiana Weatherization Competent as an Energy Auditor or BPI certified as an Energy Auditor and be certified as a BPI Quality Control Inspector.

Weatherization Program Managers responsible for the administration of the Weatherization Assistance Program at the sub-grantee level are required to attend all Semi-Annual Managers Meetings (SAMM) as well as any other required administrative offerings provided by IHCDA. If a Weatherization Program Manager is not able to attend any required training, an appropriate representative from the sub-grantee must attend in their place. SAMM's will be held twice per year and other administrative courses will be held as deemed necessary by IHCDA. When possible, IHCDA will attempt to host trainings via webinar, video conferencing, distance learning, or conference calls. Each sub-grantee is required to send at least one technical representative for their field staff/contractors to all Semi-Annual Technical Trainings (SATT). Failure to do so could result in repercussions from IHCDA.

Verification of LSWP/Moisture certification is not required after 4 years of continuous employment in the Indiana WAP as an ISV mechanical, crew leader, shell, audit or QCI.

Grantee Monitors and Inspectors must be Certified Lead Renovators. [WPN 22-7](#).

7.9 Roles and Responsibilities

IHCDA Expectations and Best Practices for Indiana's Weatherization Network

IHCDA allows two options for meeting the Quality Control Inspection requirement. Sub-grantees must apply to IHCDA in order to be able to utilize the Energy Auditor as the QCI option and must indicate their intended method to IHCDA for consideration. Sub-grantees that do not submit a plan to IHCDA will be required to utilize a QCI that was not the Energy Auditor.

When Energy Auditor is QCI

The auditor performs the audit, creates the work order, and performs the final quality control inspection. The auditor is not involved in any of the actual work on the home. Because this model does not allow for an independent review of the audit on every home, IHCDA is required to increase the percentage of quality assurance reviews to ensure that audits are being performed consistently and correctly. IHCDA will monitor a minimum of 10% of DOE completions.

Inspectors shall not participate in professional activities involving a conflict of interest. A conflict of interest occurs when an inspector is inappropriately motivated by any financial, personal, or professional incentive other than the production of a professional report that clearly, completely, and usefully reflects the conditions observed during the audit. Inspectors shall avoid, whenever possible, even the appearance of a conflict of interest and shall disclose all potentially questionable associations and relationships in advance to IHCDA with a legitimate right to be informed of them.

Inspectors shall not inspect work performed by organizations under arrangements whereby any compensation or future referrals to the inspector depend on or are influenced by the findings of the report. Compensation includes direct and indirect remuneration as well as substantial gifts and favors. Inspectors shall not accept any form of compensation for recommending products or services to clients or other parties having an interest in the inspected work.

Additional documentation may be required by IHCDA if necessary, including:

- Documentation of the independent status of the Quality Control Inspector
- Documentation outlining any involvement of the QCI in the audit process

Quality control inspections are subject to IHCDAs assessment of effectiveness and compliance with program inspection policies and monitoring will include documentation of any findings related to the quality of the inspection and impartiality of the inspection process. IHCDAs will maintain tracking of all sub-grantee QCI activities to include all aspects of the sub-grantee developed QCI process, subsequent corrective actions, and final outcomes.

If sub-grantees are found to be out of compliance, remedial training may be required for the QCI, the installation contractor, and/or sub-grantee staff. Limited remedial training may be provided by IHCDAs staff onsite at the time of the monitoring, or more extensively through the training facility at INCAA if necessary. Alternatively, IHCDAs staff may provide more comprehensive training at a later date. Repeated noncompliance issues after remedial training may result in the agency being placed on QIP, or a reduction in funding. All compliance issues found with QCIs are subject to IHCDAs review and may result in the QCI not being allowed to perform inspections for Indiana WAP.

Sub-grantees are required to ensure that each weatherization completion receives an appropriate and properly executed QC inspections. This inspection must be performed by a BPI certified Quality Control Inspector (QCI). IHCDAs, as part of their regular monitoring procedures, will review QC inspection forms, sub-grantee inspection processes and completed homes to ensure the inspections are being performed correctly and in a manner that meets DOE expectations. [WPN 22-4](#).

Failure by the sub-grantee to utilize the QCI process correctly may result in the associated completion(s) being considered unallowable, and all associated cost being returned to IHCDAs. Should multiple instances of poorly performed inspections be found, IHCDAs will, at the very minimum, place the sub-grantee on a Quality Improvement Plan (QIP).

8.2 Standards & Practices

IHCDAs will conduct fiscal, technical, file, and program monitoring annually. IHCDAs will review reports before they are distributed to sub-grantees.

Program Monitoring

The program monitoring includes a review of Program Administration, Procurement, Training, Competencies and Certifications, Database Input, Fiscal Information and Client File Review. At least 10% of completed DOE client files will be reviewed. Each area of the Program Review is explained in more detail below:

- **Program Administration** – IHCDAs will review agency policies as they apply to awarding priority, wait list maintenance, rental policies, and client redetermination.
- **NEAT/MHEA/MuTEA Database reviews will include the following**
 - Price list is up to date and current
 - Fuel prices are current
 - Set points are accurate
 - Lifetime of measures are correct
 - Measures are active
- **Procurement** – This section covers materials procurement and selection; contractor selection procurement, and evaluation; price lists and written procurement standards. Reference the procurement section in this manual for additional information.
- **Training, Competency and Certification** - IHCDAs monitors will review whether the Weatherization Program Manager is using appropriately trained/competent staff to perform various job functions. The use of subcontractors will be reviewed to determine compliance with job function training requirements as outlined in this manual. Monitors will also review contractors for compliance with local licensing standards. Sub-grantee lead based paint practices and compliance with EPA and HUD regulations will also be reviewed.
- **Database Input** – A selection of the client files are checked to ensure information from the client files is reported in the IWAP database accurately and completely.
- **Fiscal** – IHCDAs will perform financial monitoring for their Weatherization sub-grantees. The financial monitoring will occur in conjunction with the Weatherization Program/File Monitoring.

IHCDA will check for appropriate payment processing as specified in this manual. The monitor will review the following:

- Grant utilization to ensure funding is utilized in allowable combinations
- Sub-grantees have properly tracked and utilized Program Income
- Contractors are paid within 45 days
- Back-up documentation provided with claims is appropriate
- **Client File Review** – Files will be pulled at random from completions entered into the IWAP database. A minimum of 10% of all completed DOE client files will be reviewed. Find Program Monitoring Tool utilized by monitors can be found at MyIHCDA's [Program Partners](#). *Appendix F - Monitoring Tool 2022-2023 template*. These files will be reviewed for:
 - Correct forms
 - Accurate information
 - Work processes
 - Eligibility verification
 - Appropriate documentation and allowability of deferrals
 - Each NEAT/MHEA/MulTEA run is checked to verify the cumulative SIR is equal or greater than 1
- **Training and Technical Assistance (T&TA)** – The purpose of T&TA is to provide sub-grantees with assistance in the technical aspects of the weatherization program. IHCDA monitors will provide consultation while on site. If sub-grantee personnel feel it necessary, and time allows, IHCDA monitoring personnel may be available for T&TA visits to the sub-grantee.

Technical Monitoring

IHCDA will perform real-time Technical Monitoring for each Weatherization sub-grantee annually. The purpose of this monitoring is to ensure that weatherization services are provided in a professional manner in compliance with all standards, regulations and policies set forth by DOE, HHS and IHCDA. The sub-grantee is responsible for quality control on all completed units and must ensure that the QC inspection completed by the QCI attests to the level of quality, professionalism, and appropriateness of all measures performed. Technical Monitoring will also review and inspect invoiced materials, justification for the number of labor hours charged, initial and final audit detail, and adherence to technical standards and accuracy of sub-grantee diagnostic testing.

Monitors will use the current QC Inspection Form. A minimum of 5% of all DOE completed homes will be monitored for those sub-grantees utilizing an Independent QCI, and a minimum of 10% of all DOE completed homes will be monitored for those sub-grantees with an Energy Auditor/QCI. IHCDA reserves the right to monitor any unit including Capital Intensive unit(s). Sub-grantee responses to technical findings must include documentation verifying that all findings and concerns have been corrected. IHCDA when possible, will incorporate in-progress visits to client homes. IHCDA's Technical Monitoring visits will include an evaluation of the QCI's process to ensure compliance with [WPN 22-4](#).

Sub-grantees are required to ensure that each Weatherization completion receives an appropriate and properly executed QC inspection. This inspection will be performed by a BPI certified QCI. Failure by the sub-grantee to utilize the QCI process correctly may result in the affected completion(s) being considered unallowable and all associated cost being returned to IHCDA. Should multiple instances of poorly performed inspections be found, IHCDA will, at the very minimum, place the sub-grantee on a Quality Improvement Plan (QIP). Further action will be taken should the QIP fail to improve performance.

Field Inspections (See Technical Monitoring below) – IHCDA will conduct on-site inspections of a sample of units pulled from the file review or at random from the IWAP database. The purpose of this monitoring is to ensure that weatherization services are provided in a professional manner in compliance with all standards, regulations and policies set forth by DOE, HHS and IHCDA. The local sub-grantee is responsible for quality control on all completed units and must ensure that the QC inspection completed by the BPI certified Quality Control Inspector (QCI) attests to the level of quality, professionalism, and appropriateness of all measures performed. The field inspection will cover the appropriateness of Base Load, Shell, and Health and Safety measures. During the field inspection, IHCDA staff will be checking for all invoiced materials, justification for the number of labor hours charged, initial and final audit detail, adherence to technical standards, and accuracy of sub-grantee diagnostic testing.

8.5 Monitoring Reporting Process

Monitoring Report

Each sub-Grantee will receive a copy of the monitoring report within 30 days from completion of the exit conference. The report will identify such areas as training and technical assistance recommendations, summary of program /technical and client file/QCI findings and concerns, funding utilization per client, and NEAT/MHEA/MulTEA review.

- **Findings** should be classified as critical in nature and may require immediate corrective action by the sub-grantee (e.g. Health and Safety issue).
- **Concern** do not require immediate action by the sub-grantee and in many cases may not require action at all. These tend to be low to medium intensity issues.

The level of severity (classification as a finding/concern) may be based upon conditions in the field at the time of monitoring.

Findings and Concerns will be noted as:

- **Incomplete Work:**
 - Concern: Incomplete work that is minor, that has little or no cost, does not pose a health and safety issue and is not part of past trends for the agency, and depending on the circumstance may not be required to be repaired.
 - Finding: Incomplete work that includes past trend(s), is associated with a noteworthy cost, may affect the potential energy savings, or is a health and safety issue. These will require remediation.
- **Questioned Costs:**
 - Questioned costs are clarified with the sub-grantee. When deemed unallowable, they will be required to be returned or removed from DOE funding. Questioned costs are subject to additional review.
- **Client Complaints**
 - When clients complain at the field monitoring, each complaint will be reviewed for validity.
- **Major Workmanship Issues**
 - Finding: Major workmanship issues must be resolved by the sub-grantee.
- **Minor Workmanship Issues**
 - Concern: If the minor workmanship issue is part of past trends, then it is treated as a major workmanship issue.

Monitoring Report Response

The sub-grantee must either **Accept** the submitted report or provide an **Informal Appeal** (see Monitoring Appeal Process) to specific findings and concerns. The sub-grantee will have 10 days from the receipt of the monitoring report to submit a written response per the monitoring report.

Any corrective action taken by the sub-grantee is considered an acknowledgment of the finding or concern. Failure by the sub-grantee to respond in writing to the monitoring report by the established deadline may result in claims being held by IHCD until the proper response is received.

Monitoring Appeals Process

If the sub-grantee informally appeals (disagrees with) any item on the WAP Monitoring Report, the sub-grantee must send an informal appeal via email to IHCD's Program Monitor within 10 days of the receipt of the monitoring report.

- IHCD will respond within 10 days of receipt of sub-grantee's Informal Appeal to the Monitoring Report.
 - If IHCD **agrees** with all items identified in the sub-grantee's **Informal Appeal**, the sub-grantee will receive a revised monitoring report that will be used to ensure all actionable items are completed.
 - If IHCD **does not agree** (in-full or in-part) with the sub-grantee's **Informal Appeal**, the sub-grantee will receive an **IHCD Informal Appeal reply**.
- The sub-grantee will provide a **second response** within 10 days. (If applicable)

- If the sub-grantee **agrees** with the reasons described for not changing items identified in the informal appeal, the sub-grantee's second response is to be sent to the IHCD. A.
- If the sub-grantee **disagrees** (in-full or in-part) with IHCD's **Informal Appeal** response, the sub-grantee may submit a **Formal Appeal** in writing to the Director of Community Programs. The Director of Community Programs will review the formal appeal and provide a written decision within 30 days. This decision will be final.

Monitoring Completion

Once all parties are in agreement with all the findings and concerns, the sub-grantee will have 30 days to closeout the monitoring session. The sub-grantee will receive a Monitoring Completion Letter after all completed corrective actions and/or copies of checks paid to IHCD have been submitted.

9.6 Contractor Procurement, Price Lists, Responsible Contractors

Sub-grantees must follow proper procurement procedures when acquiring goods and/or services for the weatherization program. See the grant agreement for Federal rules and regulations concerning procurement. [2 CFR 200](#).

To assist this process, DOE issued an updated Procurement Tool Kit in 2016 that provides templates, checklists and guidance for procurement of weatherization materials and services. To review the DOE Procurement Tool Kit or other supporting documents visit NASCSP's [Financial Management Toolkit](#).

Contractor and Price List

Sub-grantees must either bid each weatherization job individually or develop a price list for contractor prices. If a price list is developed, each sub-grantee must follow Federal regulations as outlined in [10 CFR 600.144](#), rebid at least every 2 years and perform a cost analysis of its current price list. Written procedures and documentation must be maintained at the sub-grantee's office and provided to IHCD or DOE upon request.

Whether the sub-grantee chooses to bid out each job or work off of an established price list, sub-grantees must establish in their written procedures whether their process for accepting contractors is open year-round, once per year or multiple times per year. If each home is individually bid, copies of all bid packets must be included in the client file.

The following procedures must be included in Contractor Procurement and Establishment of a Price List:

- Must be publicly bid with advertising using newspapers, websites or hard copy and be available for at least 3 business days.
- Fair and open competition must be provided.
 - The process must take place annually unless the sub-grantee's written procedures manual specifies every 2 years.
 - If bid packets will be mailed or emailed to existing contractors, a list must be kept of interested contractors.
 - The solicitation must include a clear and accurate description of the service or material being procured.
 - Written selection procedures must be established and available for review.
- Deadlines must be established and adhered regarding responses to packets.
- A cost or price analysis must be performed for each procurement process or the sub-grantee may establish an annual price list.
- Materials and labor are the most common items to be bid out for a price list.

Miscellaneous items are optional price list items. If they are not included on a price list, the sub-grantee must demonstrate that prices paid for both labor and materials are reasonable based upon market prices.

Responsible Contractors

All contractors awarded contracts by weatherization sub-grantees must annually review their contractors against the Federal contractor debarment list accessed, with instructions, at SAM's Records. If a

contractor is listed on the Excluded Parties List System website, sub-grantees should not enter into a contract for goods or services paid with DOE or LIHEAP funds. Contractors are required to supply their DUNS number to Subgrantees.

Removal or Suspension of Contractors

Contractors that provide weatherization assistance services are required to be qualified, to be competent and must demonstrate a high degree of professionalism. IHCD and sub-grantees may remove or suspend a contractor or contractor employee if deemed necessary. This policy shall apply to any contractor or contractor employee who provide weatherization services for the sub-grantee. Violations that may result in suspension or debarment include but are not limited to the following:

- Repeated occurrences of failed Combustion Appliance Zone (CAZ) testing
- Repeated occurrences of failing to properly complete required heating systems forms
- Repeated monitoring findings related to the contractor/contractor employee;
- Repeated incidents of unsatisfactory, sub-standard work performance
- Repeated incidents of sub-grantee having to repay funds related to poor work performance by contractor
- Repeated incidents of violating IHCD and/or Federal program requirements
- Fraudulent activity or charges
- Negligent work performance that leaves clients or other workers in imminent danger

Consequences

- Remedial Training- A contractor/ contractor employee who is required to participate in remedial training will be denied participation in WAP until remedial training is completed
- Denial of Participation- Can be up to 2 years as determined by IHCD
- Permanent Debarment- From providing weatherization services funded through IHCD's Weatherization Assistance Program

Sub-grantees are advised to make sure that contracts with sub-contractors specify remedies for breach of the provisions of the contract including termination. In addition, sub-grantees should provide a copy of this policy to its contractors. MyIHCD's [Program Partners](#). *Appendix Z - Policy for Removal or Suspension of Contractor*

11.1 Multi-Family Policy

The following multi-family policy applies to both DOE and LIHEAP funded weatherization buildings containing five or more units. Multi-family buildings less than five units do not require prior IHCD approval and are not subject to this policy.

IHCD will retain 10% of BIL production funding to develop, implement, and execute a supplemental multi-family fund. Sub-grantees may not perform multi-family projects with their BIL allocation. Sub-grantees are not prohibited from participating in this multi-family program, though other entities will also be able to participate.

Sub-grantees or their contractors are responsible for performing an audit using the multi-family tool MulTEA for buildings containing five or more units. Sub-grantees must contact IHCD to request access to MulTEA. A NEAT/MHEA audit must only be performed on buildings that's units are individually heated or cooled. Sub-grantees are responsible for all costs associated with performing this audit.

If the sub-grantee is proposing to weatherize a HUD building, the sub-grantee must refer to [WPN 22-5](#).

Sub-grantees on QIP will not be eligible to participate in the Multi-Family fund. Once placed off QIP, they may be eligible to participate.

EXHIBIT S

INDIANA BALANCE OF STATE CONTINUUM OF CARE *ENDING HOMELESSNESS IN INDIANA*

To: IHCD Board of Directors
From: Indiana Balance of State Continuum of Care (“IN-BOS CoC”) Board
Date: September 22, 2022
Re: IN-BOS CoC Board Participation

During the course of fulfilling the charter of the IN-BOS CoC and assisting IHCD with complying with 24 CFR 578.75(g), the IN-BOS CoC Board has contributed to the CoC program competitive application in the following ways:

- Involved in the selection process for Housing Innovations, the consultants IHCD contracted with to assist in the preparation and submission of IHCD’s IN-BOS COC FY2022 program year NOFO.
- Developed the NOFO application timelines for the FY2022 program year.
- Approved policies associated with the competitive process.
- Approved the CoC Planning Grant.
- Approved the scoring for renewal applications and new applications for the FY2022 program year.
- Approved the ranking of the projects for the FY2021 program year through Funding & Resources committee of the IN-BOS-CoC.
- The entire board will vote on accepting the recommendations from Funding & Resources at the September 15, CoC Board meeting.

Pam Isaac
President, IN BOS COC Board of Directors

{00043550-2}

PAM ISAAC, PRESIDENT
ANGELA CISKI
JOSEPH DEVITO
MYRA WILKEY
BETH WHITE

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JOSHUA CASE

MELANIE REUSZE, SECRETARY
JORDAN STANFILL
JAROD WILSON
LANI VIVIRITO

EXHIBIT T

Balance of State CoC Ranking Approved 9/15/22								
Renewal or New	Rank	Tier	Score- any below 65% of highest are Red	Recipient Name	Sub-recipient Name	Project Name	Funding	Tier Remaining
Renewal	1	1	125	Housing Opportunities Inc.		Creekview	\$ 396,151.00	\$ 17,538,929.40
Renewal	2	1	120	Indiana Housing and Community Development Authority	Housing Opportunities	Housing Opps McCord Rapid Rehousing FY2021	\$ 68,577.00	\$ 17,470,352.40
Renewal	3	1	119	Indiana University Health Bloomington, Inc.		FY2021 Housing Links	\$ 91,432.00	\$ 17,378,920.40
Renewal	4	1	114	Life Treatment Centers		Rental Assistance II PSH	\$ 180,057.00	\$ 17,198,863.40
Renewal	5	1	112	Indiana Housing and Community Development Authority	Aspire, Meridian	IHCDA CoC II FY2021	\$ 656,657.00	\$ 16,542,206.40
Renewal	6	1	110	Lafayette Transitional Housing Center, Inc.		LTHC Rapid Re-Housing Renewal FY21	\$ 260,320.00	\$ 16,281,886.40
Renewal	7	1	110	Indiana Housing and Community Development Authority	Porter Starke	South Shore Commons FY2021	\$ 326,145.00	\$ 15,955,741.40
Renewal	8	1	110	Indiana Housing and Community Development Authority	Brightpoint	Brightpoint PSH FY 2021	\$ 657,963.90	\$ 15,297,777.50
Renewal	9	1	109	Community Mental Health Center		Batesville Permanent Housing I	\$ 118,126.00	\$ 15,179,651.50
Renewal	10	1	106	ECHO Housing Corporation		Lucas Place Renewal FY2021	\$ 112,679.00	\$ 15,066,972.50
Renewal	11	1	105	Indiana Housing and Community Development Authority	Edgewater	Edgewater Scattered Site PSH FY2021	\$ 207,758.00	\$ 14,859,214.50
Renewal	12	1	105	Indiana Housing and Community Development Authority	Housing Opportunities	Housing Opps Porter Starke Supportive Housing FY2021	\$ 234,200.00	\$ 14,625,014.50
Renewal	13	1	105	Housing Opportunities Inc.		Perm 5	\$ 265,463.00	\$ 14,359,551.50
Renewal	14	1	102	Indiana Housing and Community Development Authority	Meridian, City of Lafayette, Community Health Foundation	IHCDA CoC III FY2021	\$ 487,129.00	\$ 13,872,422.50

Renewal	15	1	102	Oaklawn Psychiatric Center		Supportive Housing Turnock Group Home Renewal 202	\$ 122,810.00	\$ 13,749,612.50
Renewal	16	1	102	Indiana Housing and Community Development Authority	Beaman Home	Kosciusko County RRH FY2021	\$ 120,503.25	\$ 13,629,109.25
Renewal	17	1	98	Mental Health America of West Central Indiana		Community Younity Center	\$ 78,816.00	\$ 13,550,293.25
Renewal	18	1	98	Indiana Housing and Community Development Authority	Preservation Nonprofit Housing	NWI Veterans Village Homes for Heroes FY2021	\$ 438,699.00	\$ 13,111,594.25
Renewal	19	1	97	Indiana Housing and Community Development Authority	Family Services Association Howard County	FSAHC Jackson Street Commons FY2021	\$ 196,269.00	\$ 12,915,325.25
Renewal	20	1	95	Lafayette Transitional Housing Center, Inc.		LTHC Union Place PSH Apartments Renewal FY21	\$ 467,160.00	\$ 12,448,165.25
Renewal	21	1	94	Beacon, Inc.		Beacon Crawford Homes Renewal Application FY 2021	\$ 1,273,492.00	\$ 11,174,673.25
Renewal	22	1	93	The Center for the Homeless		Center for the Homeless PSH FY2021	\$ 329,201.00	\$ 10,845,472.25
Renewal	23	1	92	Community Mental Health Center		Vevay I,II consolidated	\$ 194,777.00	\$ 10,650,695.25
Renewal	24	1	91	A Better Way Services, Inc.		ABW Joint PH RRH Th 2021	\$ 459,981.00	\$ 10,190,714.25
Renewal	25	1	90	Indiana Housing and Community Development Authority	Aspire	Aspire Mainstream II FY2021	\$ 167,159.00	\$ 10,023,555.25
Renewal	26	1	90	Indiana Housing and Community Development Authority	Sojourner Truth	Gary Pathway FY2021	\$ 523,502.00	\$ 9,500,053.25
Renewal	27	1	90	Oaklawn Psychiatric Center		Supportive Housing Rental Assistance Renewal 2021	\$ 424,328.00	\$ 9,075,725.25
Renewal	28	1	90	Indiana Housing and Community Development Authority	RMHC	RMHC Scattered Site PSH FY2021	\$ 124,090.00	\$ 8,951,635.25
Renewal	29	1	89	YWCA North Central Indiana		TH to RRH for DV	\$ 224,512.00	\$ 8,727,123.25
Renewal	30	1	88	Indiana Housing and Community Development Authority	Oaklawn	Chapman West-Lincoln West FY2021	\$ 216,805.00	\$ 8,510,318.25
Renewal	31	1	86	A Better Way Services, Inc.		ABW Jumpstart RRH	\$ 228,237.00	\$ 8,282,081.25
Renewal	32	1	86	Community Mental Health Center		Lawrenceburg Consolidated	\$ 223,706.00	\$ 8,058,375.25
Renewal	33	1	86	LifeSpring Inc.		LifeSpring PSH Renewal FY2021	\$ 231,143.00	\$ 7,827,232.25
Renewal	34	1	85	A Better Way Services, Inc.		ABW Rapid Rehousing FY2022	\$ 141,428.00	\$ 7,685,804.25
Renewal	35	1	85	Indiana Housing and Community Development Authority	Aurora	Aurora Evansville Beacon PSH FY2021	\$ 209,304.00	\$ 7,476,500.25
Renewal	36	1	85	Aurora Inc		Aurora Vision 1505 Renewal FY2021	\$ 449,804.00	\$ 7,026,696.25
Renewal	37	1	85	Community Mental Health Center		Batesville Permanent Housing II	\$ 340,030.00	\$ 6,686,666.25
Renewal	38	1	85	Indiana Housing and Community Development Authority	Centerstone	Centerstone Dunn Supportive Housing FY2021	\$ 105,151.00	\$ 6,581,515.25
Renewal	39	1	85	Centerstone Indiana Inc., formerly SCCMHC		Centerstone Limestone PSH FY2021	\$ 128,360.00	\$ 6,453,155.25

Renewal	40	1	85	Centerstone Indiana Inc., formerly SCCMHC		Centerstone Martinsville Plaza Apartments FY2021	\$ 43,868.00	\$ 6,409,287.25
Renewal	41	1	85	Family Service Association of Howard County, Inc.		FSAHC RRH FY2021	\$ 119,138.00	\$ 6,290,149.25
Renewal	42	1	85	Indiana Housing and Community Development Authority	MHA West Central IN	MHA West Central IN YOUnity Village/Terre Firma Cons	\$ 301,035.00	\$ 5,989,114.25
Renewal	43	1	84	Indiana University Health Bloomington, Inc.		FY2021 Bridges Supportive Housing	\$ 162,819.00	\$ 5,826,295.25
Renewal	44	1	84	Indiana Housing and Community Development Authority	Cinnaire Solutions	Marion Veterans Program	\$ 156,192.00	\$ 5,670,103.25
Renewal	45	1	84	ECHO Housing Corporation		New Start Scattered Site Housing Renewal FY2021	\$ 278,713.00	\$ 5,391,390.25
Renewal	46	1	84	Indiana Housing and Community Development Authority	Park Center	Park Center PSH FY2021	\$ 337,042.00	\$ 5,054,348.25
Renewal	47	1	83	Indiana Housing and Community Development Authority	Echo	ECHO LP2/Ren16 FY2021	\$ 300,608.00	\$ 4,753,740.25
Renewal	48	1	83	Indiana Housing and Community Development Authority	Oaklawn	Integrated Permanent Supportive Housing I FY2021	\$ 367,072.00	\$ 4,386,668.25
Renewal	49	1	83	Edgewater Systems for Balanced Living, Inc.		Phoenix Renewal FY2021	\$ 139,382.00	\$ 4,247,286.25
Renewal	50	1	82	Aspire Indiana, Inc.		Continuum of Care Renewal FY2021 (HUD CoC)	\$ 429,244.00	\$ 3,818,042.25
Renewal	51	1	82	AIDS Ministries/AIDS Assist of North Indiana, Inc.		PSH AMAA 2021	\$ 134,116.00	\$ 3,683,926.25
Renewal	52	1	NA	Indiana Housing and Community Development Authority	IHCDA	HMIS BoS FY2021	\$ 579,912.00	\$ 3,104,014.25
Renewal	53	1	NA	Indiana Housing and Community Development Authority	IHCDA	IHCDA DV Coordinated Entry FY2021	\$ 275,000.00	\$ 2,829,014.25
Renewal	54	1	NA	Indiana Housing and Community Development Authority	IHCDA	IHCDA Statewide DV RRH FY2021	\$ 1,487,684.00	\$ 1,341,330.25
Renewal	55	1	NA	Indiana Housing and Community Development Authority	IHCDA	IHCDA Statewide DV THRRH FY2021	\$ 585,029.00	\$ 756,301.25
Renewal	56	1	NA	Lafayette Transitional Housing Center, Inc.		LTHC SSO CE New Project FY21	\$ 169,950.00	\$ 586,351.25
Renewal	57	1	NA	Indiana Housing and Community Development Authority	IHCDA	Coordinated Entry SSO FY2021	\$ 274,000.00	\$ 312,351.25
New	58	1	NA	Indiana Housing and Community Development Authority	IHCDA	HMIS Expansion FY2022	\$ 104,000.00	\$ 208,351.25
New	59	1	NA	Indiana Housing and Community Development Authority	IHCDA	CES Expansion FY2022	\$ 206,000.00	\$ 2,351.25

Renewal	60	1	81	ECHO Housing Corporation		Garvin Lofts Renewal FY2021	\$ 2,351.25	\$ -
Renewal	61	2	81	ECHO Housing Corporation		Garvin Lofts Renewal FY2021	\$ 356,049.75	\$ 3,421,948.85
Renewal	62	2	80	Centerstone Indiana Inc., formerly SCCMHC		Centerstone SCCMHC S+C FY2021	\$ 61,801.00	\$ 3,360,147.85
Renewal	63	2	80	Centerstone Indiana Inc., formerly SCCMHC		Centerstone Stepping Stones, Inc. FY2021	\$ 80,273.00	\$ 3,279,874.85
Renewal	64	2	79	Centerstone Indiana Inc., formerly SCCMHC		Centerstone Caldwell House PH FY2021	\$ 48,037.00	\$ 3,231,837.85
Renewal	65	2	74	Indiana Housing and Community Development Authority	CMHC	CMHC Lawrenceburg II FY2021	\$ 233,564.00	\$ 2,998,273.85
Renewal	66	2	70	Indiana Housing and Community Development Authority	Brightpoint	Cedars Hope	\$ 90,916.00	\$ 2,907,357.85
New	67	2	80.5	Beacon, Inc.		Blooming Families RRH	\$ 331,647.00	\$ 2,575,710.85
New	68	2	77.3	Indiana Housing and Community Development Authority	Preservation Nonprofit Housing	NWI Veterans Village Homes for Heroes FY2021	\$ 207,204.80	\$ 2,368,506.05
Transition	69	2	73.7	The Center for the Homeless		Center for the Homeless RRH to PSH Transfer	\$ 61,915.00	\$ 2,306,591.05
New	70	2	NA	Indiana Housing and Community Development Authority		Statewide RRH North	\$ 1,153,295.53	\$ 1,153,295.53
New	71	2	NA	Indiana Housing and Community Development Authority		Statewide RRH South	\$ 1,153,295.53	\$ -
DV Bonus	72	2	63.7	YWCA North Central Indiana		YWCA North Central Indiana TH RRH Expansion DV Bon	\$ 206,193.00	

EXHIBIT U

State of Indiana

**Regional Planning
Councils on Homeless**

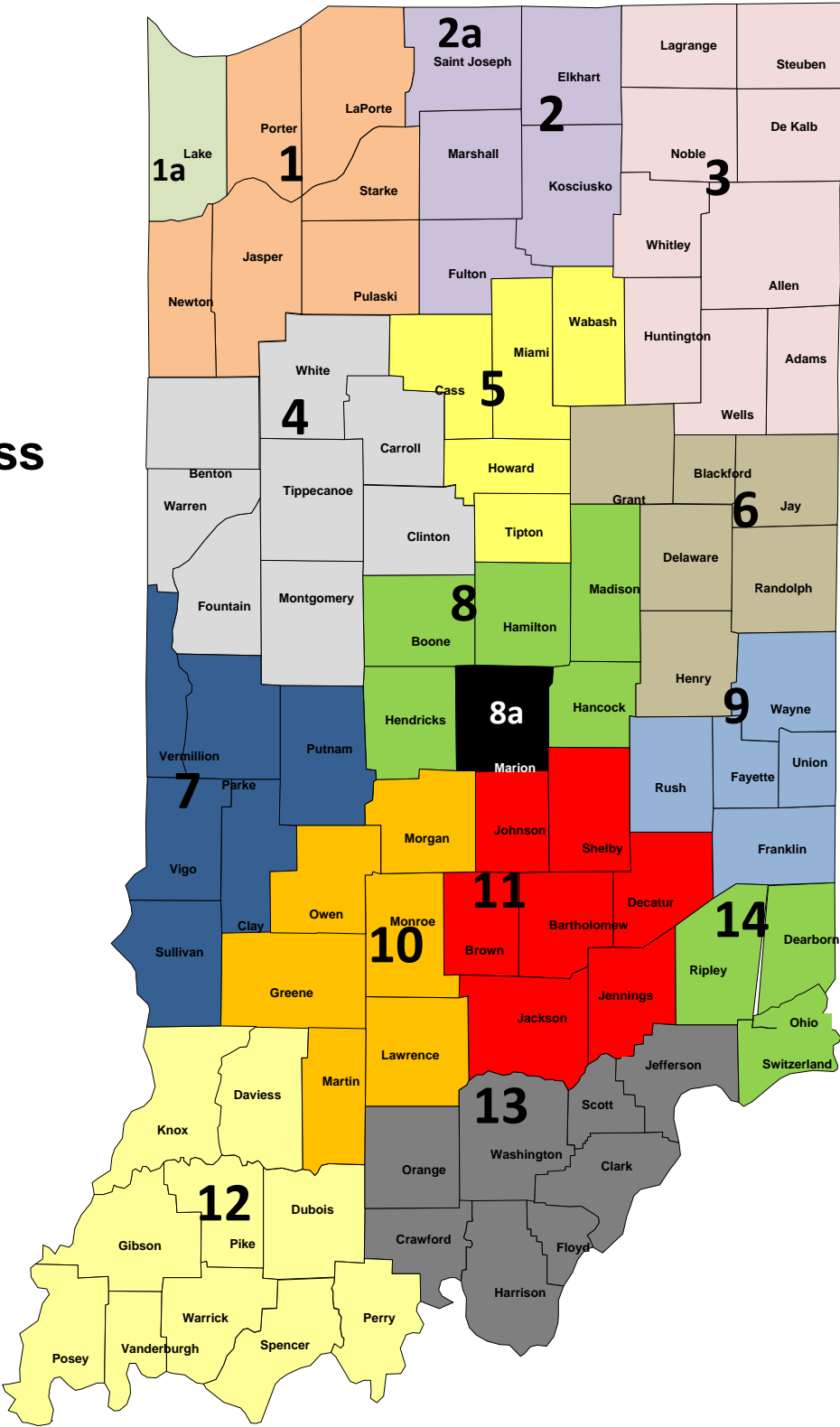


EXHIBIT V

INDIANA BALANCE OF STATE CONTINUUM OF CARE *ENDING HOMELESSNESS IN INDIANA*

To: IHCDA Board of Directors
From: Indiana Balance of State Continuum of Care (“IN-BOS CoC”) Board
Date: September 22, 2022
Re: IN-BOS CoC Board Participation

During the course of fulfilling the charter of the IN-BOS CoC and assisting IHCDA with complying with 24 CFR 578.75(g), the IN-BOS CoC Board has contributed to the Supplemental CoC Program NOFO competitive application in the following ways:

- Involved in the selection process for Housing Innovations, the consultants IHCDA contracted with to assist in the preparation and submission of IHCDA’s IN-BOS Supplemental NOFO.
- Developed the application timelines and process framework for the Supplemental NOFO.
- Approved policies associated with the competitive process.
- Approved the scoring for new applications for the Supplemental NOFO.
- Approved the ranking of the projects for the Supplemental NOFO through the Supplemental NOFO Task Force of the IN-BOS-CoC.
- The entire board will vote on accepting the recommendations from Supplemental NOFO.

Pam Isaac
President, IN BOS COC Board of Directors

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**PAM ISAAC, PRESIDENT
ANGELA CISKI
JOSEPH DEVITO
MYRA WILKEY
BETH WHITE**

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JOSHUA CASE**

**MELANIE REUSZE, SECRETARY
JORDAN STANFILL
JAROD WILSON
LANI VIVIRITO**

Exhibit W

The Unsheltered and Rural Set-Aside project rankings are drafted below. Individual project budgets are being finalized with applicants in preparation for submission to HUD by the application deadline. The total funding request is final.

Unsheltered Homelessness Set-Aside				
Rank	Score	Project and Agency Name	Project Type	Funding Requested
1	96.5	LTHC Unsheltered Rapid Rehousing (RRH)- Lafayette Transitional Housing Center	RRH	\$1,111,260
2	55	Eleos Center Expansion- The Christian Center	Supportive Services Only	\$1,098,570
Total Funding not to Exceed				\$2,209,830

Rural Homelessness Set-Aside				
Rank	Score	Project and Agency Name	Project Type	Funding Requested
1	94	Porter Starke Services Supportive Housing	PSH	\$1,390,054.55
2	92.5	LTHC Rural RRH Project- Lafayette Transitional Housing Center	RRH	\$1,510,966.56
3	89.5	Jackson County Unsheltered Housing- Human Services Inc	PSH	\$962,051.64
4	85	Region 3 Rural Supportive Housing- Community Action of Northeast IN, DBA Brightpoint	PSH	\$964,868.52
5	79	Housing4Health- Purdue Research Foundation	RRH	\$3,515,694.82
6	75	Rural RRH- Homeless Coalition of Southern Indiana	RRH	\$751,787.52
Requested				\$9,095,423.61
Total Funding not to Exceed				\$8,691,947

EXHIBIT X

State of Indiana

**Regional Planning
Councils on Homeless**

