NOTE: Budget and allocation data provided in this document are estimates, official award announcements have not been made at this time.
**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

**Version 02**

<table>
<thead>
<tr>
<th>1. Type of Submission:</th>
<th>2. Type of Application:</th>
<th>If Revision, select appropriate letter(s)</th>
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<td>[ ] Preapplication</td>
<td>[ ] New</td>
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<tr>
<td>[x] Application</td>
<td>[x] Continuation</td>
<td>Other (specify):</td>
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<td>[ ] Changed/Corrected Application</td>
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<th>3. Date Received</th>
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<td>DE-EE0008152</td>
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**State Use Only:**

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<th>6. Date Received by State:</th>
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**8. APPLICANT INFORMATION:**

<table>
<thead>
<tr>
<th>a. Legal Name:</th>
<th>State of Indiana, IHCDA</th>
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<table>
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<tr>
<th>b. Employer/Taxpayer Identification Number (EIN/TIN):</th>
<th>c. Organizational DUNS:</th>
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<tr>
<td>3314865172</td>
<td>086870479</td>
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<th>d. Address:</th>
</tr>
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<tbody>
<tr>
<td>Street 1:</td>
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<tr>
<td>Street 2:</td>
</tr>
<tr>
<td>City:</td>
</tr>
<tr>
<td>County:</td>
</tr>
<tr>
<td>State:</td>
</tr>
<tr>
<td>Province:</td>
</tr>
<tr>
<td>Country:</td>
</tr>
<tr>
<td>Zip / Postal Code:</td>
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<table>
<thead>
<tr>
<th>e. Organizational Unit:</th>
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</thead>
<tbody>
<tr>
<td>Department Name:</td>
</tr>
<tr>
<td>Division Name:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>f. Name and contact information of person to be contacted on matters involving this application:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prefix: Mr</td>
</tr>
<tr>
<td>First Name: Andrew</td>
</tr>
<tr>
<td>Middle Name:</td>
</tr>
<tr>
<td>Last Name: Hoff</td>
</tr>
<tr>
<td>Suffix:</td>
</tr>
<tr>
<td>Title: Community Programs Manager-Weatherization</td>
</tr>
<tr>
<td>Organizational Affiliation: Indiana Housing &amp; Community Development Authority</td>
</tr>
<tr>
<td>Telephone Number: 3172346983</td>
</tr>
<tr>
<td>Fax Number: 3172327778</td>
</tr>
<tr>
<td>Email: <a href="mailto:anhoff@hcda.in.gov">anhoff@hcda.in.gov</a></td>
</tr>
</tbody>
</table>
9. Type of Applicant:
   A  State Government

10. Name of Federal Agency:
    U. S. Department of Energy

11. Catalog of Federal Domestic Assistance Number:
    61.042
    CFDA Title:
    Weatherization Assistance Program

12. Funding Opportunity Number:
    DE-WAP-0002017
    Title:
    2017 Weatherization Assistance Program Funding

13. Competition Identification Number:
    Title:

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

15. Descriptive Title of Applicant's Project:
    Weatherization Assistance for Low Income Persons
APPLICATION FOR FEDERAL ASSISTANCE SF-424

16. Congressional District Of:
   a. Applicant: Indiana Congressional District 07
   b. Program/Project: IN-Statewide

Attach an additional list of Program/Project Congressional Districts if needed:

17. Proposed Project:
   a. Start Date: 04/01/2017
   b. End Date: 03/31/2018

18. Estimated Funding ($):
   a. Federal 5,193,959.00
   b. Applicant 0.00
   c. State 0.00
   d. Local 0.00
   e. Other 0.00
   f. Program Income 0.00
   g. TOTAL 5,193,959.00

19. Is Application subject to Review By State Under Executive Order 12372 Process?:
   □ a. This application was made available to the State under the Executive Order 12372 Process for review on:
   □ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
   □ c. Program is not covered by E.O. 12372

20. Is the applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation)
   No

21. By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code Title 218, Section 1001)
   □ I AGREE
   ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: Mr
First Name: Andrew
Middle Name: 
Last Name: Hoff
Suffix: 

Title: Community Programs Manager-Weatherization
Telephone Number: 3172346983
Fax Number: 3172327778
Email: anhoff@hcosa.in.gov

Signature of Authorized Representative: Date Signed:

Authorized for Legal Reproduction

Standard Form 424 (Revised 10/2005)
Prescribed by OMB Circular A-122
NOTE: Budget and allocation data provided in this document are estimates, official award announcements have not been made at this time.
<table>
<thead>
<tr>
<th>Name: Area IV Agency on Aging and Community Services, Inc.</th>
<th>Contact: Donna Collier</th>
<th>DUNS: 038238325</th>
<th>Phone: (765) 447-7683</th>
<th>Email: <a href="mailto:decollier@areaivagency.org">decollier@areaivagency.org</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>Address: 660 North 36th Street</td>
<td>CDC</td>
<td>IN-04</td>
<td></td>
<td></td>
</tr>
<tr>
<td>P.O. Box 4772</td>
<td></td>
<td></td>
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<tr>
<td>Lafayette, IN 47903-1577</td>
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<tr>
<td>WHITE County</td>
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<tr>
<td>CARROLL County</td>
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<tr>
<th>Name: Community &amp; Family Services, Inc.</th>
<th>Contact: Dwight Rines</th>
<th>DUNS: 079563292</th>
<th>Phone: (260) 726-4228</th>
<th>Email: <a href="mailto:drines@comfan.org">drines@comfan.org</a></th>
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<tbody>
<tr>
<td>Address: 521 South Wayne Street</td>
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<td>P.O. Box 1087</td>
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<tr>
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<table>
<thead>
<tr>
<th>Name: Community Action of Greater Indianapolis, Inc.</th>
<th>Contact: Tonya Hollingsworth</th>
<th>DUNS: 072069727</th>
<th>Phone: (317) 390-1732</th>
<th>Email: <a href="mailto:thollingsworth@cagi-in.org">thollingsworth@cagi-in.org</a></th>
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<td>BOONE County</td>
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<tr>
<th>Name: Community Action of Northeast Indiana, Inc.</th>
<th>Contact: Joel Harms</th>
<th>DUNS: 051965374</th>
<th>Phone: (260) 423-3546</th>
<th>Email: <a href="mailto:joelharms@mybrightpoint.org">joelharms@mybrightpoint.org</a></th>
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<td>Address: 227 E. Washington Blvd.</td>
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<td>Name: Community Action of Southern Indiana</td>
<td>Contact: Greg Miller</td>
<td>Congressional districts served: CD</td>
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<tr>
<td>Address: 1613 East 8th Street Jeffersonville, IN 47130-0000</td>
<td>Phone: (812) -</td>
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<tr>
<td>Counties served: FLOYD County</td>
<td>Fax: () -</td>
<td>IN-09</td>
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<tr>
<td>CLARK County</td>
<td>Email: <a href="mailto:gmiller@cas1.org">gmiller@cas1.org</a></td>
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<td>Source of labor: Contractors</td>
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<tr>
<th>Name: Community Action Program of Evansville and</th>
<th>Contact: Andy Brinkley</th>
<th>Congressional districts served: CD</th>
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<tbody>
<tr>
<td>Address: 401 S.E. 6th St. Suite 001 Evansville, IN 47713-0000</td>
<td>Phone: (812) 492-3952</td>
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<tr>
<td>Counties served: GIBSON County</td>
<td>Fax: () -</td>
<td>IN-08</td>
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<tr>
<td>POSEY County</td>
<td>Email: <a href="mailto:abrinkley@capeevansville.org">abrinkley@capeevansville.org</a></td>
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<tr>
<td>VANDERBURGH County</td>
<td></td>
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<tr>
<td>Tentative allocation: $208,453.00</td>
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<tr>
<th>Name: Community Action Program, Inc. of Western Indiana</th>
<th>Contact: Grant Easter</th>
<th>Congressional districts served: CD</th>
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<tbody>
<tr>
<td>Address: 418 Washington Street P.O. Box 188 Covington, IN 47932</td>
<td>Phone: (765) 793-4881</td>
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<tr>
<td>Counties served: VERMILLION County</td>
<td>Fax: () -</td>
<td>IN-04</td>
</tr>
<tr>
<td>FOUNTAIN County</td>
<td>Email: <a href="mailto:geaster@eapwi.org">geaster@eapwi.org</a></td>
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</tr>
<tr>
<td>BENTON County</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CARLETON County</td>
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<tr>
<td>PARKE County</td>
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<tr>
<td>MONTGOMERY County</td>
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<tr>
<td>WARREN County</td>
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<td>Tentative allocation: $192,815.00</td>
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<tr>
<th>Name: Hoosier Uplands Economic Development Corporation</th>
<th>Contact: J.R. Robling</th>
<th>Congressional districts served: CD</th>
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<tr>
<td>Address: 521 West Main Street P.O. Box 1087 Mitchell, IN 47371-0000</td>
<td>Phone: (812) 849-4457</td>
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<tr>
<td>Counties served: WASHINGTON County</td>
<td>Fax: () -</td>
<td>IN-08</td>
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<tr>
<td>LAURENCE County</td>
<td>Email: <a href="mailto:jrobling@hoosieruplands.org">jrobling@hoosieruplands.org</a></td>
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</tr>
<tr>
<td>MARTIN County</td>
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</tr>
<tr>
<td>ORANGE County</td>
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<tr>
<td>Name: Human Services, Inc.</td>
<td>Contact: Brad Tyree</td>
<td></td>
</tr>
<tr>
<td>---------------------------</td>
<td>---------------------</td>
<td></td>
</tr>
<tr>
<td>Address: 1585 North Indianapolis Road P.O. Box 388 Columbus, IN 47202-0000</td>
<td>Phone: (812) 371-8407</td>
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</tr>
<tr>
<td>Counties served: DECATUR County BARTHOLOMEW County SHELBY County JOHNSON County JACKSON County</td>
<td>Fax: ()</td>
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<tr>
<td>Source of labor: Agency</td>
<td>Email: <a href="mailto:btyree@hsi-indiana.com">btyree@hsi-indiana.com</a></td>
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<table>
<thead>
<tr>
<th>Name: Interlocal Community Action Program, Inc.</th>
<th>Contact: Ty Anderson</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address: 615 West State Road 38 P.O. Box 449 New Castle, IN 47362-0449</td>
<td>Phone: (765) 288-8732</td>
</tr>
<tr>
<td>Counties served: DELAWARE County HENRY County HANCOCK County RUSH County</td>
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</tr>
<tr>
<td>Source of labor: Agency</td>
<td>Email: <a href="mailto:tanderson@icapca.org">tanderson@icapca.org</a></td>
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<tr>
<th>Name: JobSource</th>
<th>Contact: Jason Hinchman</th>
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<tbody>
<tr>
<td>Address: 222 East 10th Street, Suite C P.O. Box 149 Anderson, IN 46306-0000</td>
<td>Phone: (765) 641-6517</td>
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<tr>
<td>Counties served: GRANT County MADISON County</td>
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</tr>
<tr>
<td>Source of labor: Unit of local government Contractors</td>
<td>Email: <a href="mailto:jhinchman@madisoncounty.in.gov">jhinchman@madisoncounty.in.gov</a></td>
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<tr>
<td>Congressional districts served: IN-05</td>
<td>Tentative allocation: $210,613.00</td>
</tr>
<tr>
<td>Planned units: 23</td>
<td>Type of organization: Unit of local government Contractors</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name: Lincoln Hills Development Corporation</th>
<th>Contact: Tammy Thompson</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address: 302 Main Street P.O. Box 336 Tell City, IN 47586-0336</td>
<td>Phone: (812) 547-3435</td>
</tr>
<tr>
<td>Counties served: SPENCER County PERRY County CRAWFORD County</td>
<td>Fax: ()</td>
</tr>
<tr>
<td>Source of labor: Agency</td>
<td>Email: <a href="mailto:tammy@lhdc.org">tammy@lhdc.org</a></td>
</tr>
<tr>
<td>Congressional districts served: IN-09</td>
<td>Tentative allocation: $105,049.00</td>
</tr>
<tr>
<td>Planned units: 12</td>
<td>Type of organization: Non-profit organization</td>
</tr>
<tr>
<td>Name</td>
<td>North Central Community Action Agency, Inc.</td>
</tr>
<tr>
<td>------</td>
<td>-------------------------------------------</td>
</tr>
<tr>
<td>Address</td>
<td>301 East 8th Street Michigan City, IN 46360-0000</td>
</tr>
<tr>
<td>Counties served</td>
<td>NEWTON County</td>
</tr>
<tr>
<td></td>
<td>PULASKI County</td>
</tr>
<tr>
<td></td>
<td>LAPORTE County</td>
</tr>
<tr>
<td></td>
<td>JASPER County</td>
</tr>
<tr>
<td></td>
<td>PORTER County</td>
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<tr>
<td></td>
<td>STARKE County</td>
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<td>Tentative allocation</td>
<td>$305,453.00</td>
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<td>Planned units</td>
<td>33</td>
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<td>Type of organization</td>
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</tr>
<tr>
<td>Source of labor</td>
<td>Contractors</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name</th>
<th>Northwest Indiana Community Action Program</th>
<th>Contact</th>
<th>Jim Witzak</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address</td>
<td>5240 Fountain Drive Crown Point, IN 46307-0000</td>
<td>Phone</td>
<td>(219) 794-1829</td>
</tr>
<tr>
<td>Counties served</td>
<td>LAKE County</td>
<td>Fax</td>
<td>()</td>
</tr>
<tr>
<td>Tentative allocation</td>
<td>$281,598.00</td>
<td>Email</td>
<td><a href="mailto:jwitzak@nwi-ca.org">jwitzak@nwi-ca.org</a></td>
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<tr>
<td>Planned units</td>
<td>31</td>
<td></td>
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<td>Type of organization</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Source of labor</td>
<td>Contractors</td>
<td></td>
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</tr>
<tr>
<td>Congressional districts served</td>
<td>CD</td>
<td></td>
<td></td>
</tr>
<tr>
<td>State</td>
<td>IN</td>
<td>Grant Number</td>
<td>EE0006152</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name</th>
<th>Ohio Valley Opportunities, Inc.</th>
<th>Contact</th>
<th>Jeff Rowlett</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address</td>
<td>711 Green Road, MSH Ward 4 P.O. Box 1159 Madison, IN 47250-1159</td>
<td>Phone</td>
<td>(812) 265-3858</td>
</tr>
<tr>
<td>Counties served</td>
<td>SCOTT County</td>
<td>Fax</td>
<td>()</td>
</tr>
<tr>
<td></td>
<td>JENNINGS County</td>
<td>Email</td>
<td><a href="mailto:jrowlett@ovoinc.org">jrowlett@ovoinc.org</a></td>
</tr>
<tr>
<td></td>
<td>JEFFERSON County</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tentative allocation</td>
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<td>Congressional districts served</td>
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<tr>
<td>Planned units</td>
<td>15</td>
<td>State</td>
<td>IN</td>
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<tr>
<td>Type of organization</td>
<td>Non-profit organization</td>
<td>Program Year</td>
<td>2017</td>
</tr>
<tr>
<td>Source of labor</td>
<td>Agency</td>
<td></td>
<td></td>
</tr>
</tbody>
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<table>
<thead>
<tr>
<th>Name</th>
<th>Pace Community Action Agency</th>
<th>Contact</th>
<th>Lori Williams</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address</td>
<td>525 N. 4th Street P.O. Box 687 Vincennes, IN 47591</td>
<td>Phone</td>
<td>(812) 882-7927</td>
</tr>
<tr>
<td>Counties served</td>
<td>GREENE County</td>
<td>Fax</td>
<td>()</td>
</tr>
<tr>
<td></td>
<td>SULLIVAN County</td>
<td>Email</td>
<td><a href="mailto:lwilliams@pacecaa.org">lwilliams@pacecaa.org</a></td>
</tr>
<tr>
<td></td>
<td>DAVIDSON County</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>KNOX County</td>
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<tr>
<td>Tentative allocation</td>
<td>$168,048.00</td>
<td>Congressional districts served</td>
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<td>Planned units</td>
<td>18</td>
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<td>Non-profit organization</td>
<td>Grant Number</td>
<td>EE0006152</td>
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<tr>
<td>Source of labor</td>
<td>Contractors</td>
<td>Program Year</td>
<td>2017</td>
</tr>
<tr>
<td>Name:</td>
<td>Contact:</td>
<td>Tentative allocation: $</td>
<td>Counties served:</td>
</tr>
<tr>
<td>--------------------</td>
<td>--------------</td>
<td>-------------------------</td>
<td>-----------------</td>
</tr>
<tr>
<td>People Working Cooperatively</td>
<td>Stacy Olear</td>
<td>131,749.00</td>
<td>UNION County</td>
</tr>
<tr>
<td></td>
<td>DUNs: 074725532</td>
<td></td>
<td>FAYETTE County</td>
</tr>
<tr>
<td></td>
<td>Phone: (513) 351-7921</td>
<td></td>
<td>WAYNE County</td>
</tr>
<tr>
<td></td>
<td>Fax: (513) -</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Email: <a href="mailto:olearys@pwhomerepairs.org">olearys@pwhomerepairs.org</a></td>
<td></td>
<td></td>
</tr>
<tr>
<td>REAL Services, Inc.</td>
<td>Joan Cuson</td>
<td>447,968.00</td>
<td>MARSHALL County</td>
</tr>
<tr>
<td></td>
<td>DUNs: 088738703</td>
<td></td>
<td>ELKHART County</td>
</tr>
<tr>
<td></td>
<td>Phone: (800) 552-7928</td>
<td></td>
<td>KOSCIUSKO County</td>
</tr>
<tr>
<td></td>
<td>Fax: () -</td>
<td></td>
<td>FULTON County</td>
</tr>
<tr>
<td></td>
<td>Email: <a href="mailto:jcuson@realservices.org">jcuson@realservices.org</a></td>
<td></td>
<td>ST. JOSEPH County</td>
</tr>
<tr>
<td>South Central Community Action Program, Inc</td>
<td>Frank Peacock</td>
<td>234,017.00</td>
<td>MONROE County</td>
</tr>
<tr>
<td></td>
<td>DUNs: 0056294444</td>
<td></td>
<td>OWEN County</td>
</tr>
<tr>
<td></td>
<td>Phone: (812) 339-3447</td>
<td></td>
<td>MORGAN County</td>
</tr>
<tr>
<td></td>
<td>Fax: () -</td>
<td></td>
<td>BROWN County</td>
</tr>
<tr>
<td>Southeastern Indiana Economic Opportunity Corporation</td>
<td>Rocky Walton</td>
<td>159,731.00</td>
<td>FRANKLIN County</td>
</tr>
<tr>
<td></td>
<td>DUNs: 099025296</td>
<td></td>
<td>SWITZERLAND County</td>
</tr>
<tr>
<td></td>
<td>Phone: (812) 926-1585</td>
<td></td>
<td>OHIO County</td>
</tr>
<tr>
<td></td>
<td>Fax: () -</td>
<td></td>
<td>RIPLEY County</td>
</tr>
<tr>
<td></td>
<td>Email: <a href="mailto:rwalton@sicoc.org">rwalton@sicoc.org</a></td>
<td></td>
<td>DEARBORN County</td>
</tr>
</tbody>
</table>

Congressional districts served:
- IN-06
- IN-03
- IN-02
- IN-04
- IN-09
- IN-08
- IN-06

Source of labor:
- Agency
- Contractors
<table>
<thead>
<tr>
<th>Name: State of Indiana, IHCDA</th>
<th>Contact: Andy Hoff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address: 30 South Meridian Street, Suite 1000, Indianapolis, IN 46204-0000</td>
<td>DUNS: 086870479</td>
</tr>
<tr>
<td>Counties served: TIPTON County, CASS County, WABASH County, MIAMI County, HOWARD County</td>
<td>Phone: (317) 234-6983</td>
</tr>
<tr>
<td>Tentative allocation: $186,868.00</td>
<td>Fax: (317) 233-7778</td>
</tr>
<tr>
<td>Planned units: 20</td>
<td>Email: <a href="mailto:anhoff@ihcda.in.gov">anhoff@ihcda.in.gov</a></td>
</tr>
<tr>
<td>Type of organization:</td>
<td>Congressional districts served:</td>
</tr>
<tr>
<td>Source of labor: Contractors</td>
<td>CD</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Address: 607 Third Avenue, P.O. Box 729, Jasper, IN 47547-0000</td>
<td>DUNS: 605165345</td>
</tr>
<tr>
<td>Counties served: PIKE County, DUBOIS County, WARRICK County</td>
<td>Phone: (812) 482-2233</td>
</tr>
<tr>
<td>Tentative allocation: $129,738.00</td>
<td>Fax: ()</td>
</tr>
<tr>
<td>Planned units: 14</td>
<td>Email: <a href="mailto:neil@tri-cap.net">neil@tri-cap.net</a></td>
</tr>
<tr>
<td>Type of organization: Non-profit organization</td>
<td>Congressional districts served:</td>
</tr>
<tr>
<td>Source of labor: Agency</td>
<td>CD</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name: Western Indiana Community Action Agency, Inc.</th>
<th>Contact: Randy Dunfee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address: 810 South 9th Street, P.O. Box 1018, Terre Haute, IN 47808-0000</td>
<td>DUNS: 121576292</td>
</tr>
<tr>
<td>Counties served: PUTNAM County, VIGO County, CLAY County</td>
<td>Phone: (812) 446-4000</td>
</tr>
<tr>
<td>Tentative allocation: $154,160.00</td>
<td>Fax: ()</td>
</tr>
<tr>
<td>Planned units: 17</td>
<td>Email: <a href="mailto:rdunfee@wicaa.org">rdunfee@wicaa.org</a></td>
</tr>
<tr>
<td>Type of organization: Non-profit organization</td>
<td>Congressional districts served:</td>
</tr>
<tr>
<td>Source of labor: Agency</td>
<td>CD</td>
</tr>
</tbody>
</table>

| | IN-04 |
| | IN-05 |
| | IN-02 |

| | IN-08 |
| | IN-08 |
| | IN-04 |
### IV.1 Subgrantees

<table>
<thead>
<tr>
<th>Subgrantee (City)</th>
<th>Planned Funds/Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>Area IV Agency on Aging and Community Services, Inc. (Lafayette)</td>
<td>$247,089.00</td>
</tr>
<tr>
<td>Community &amp; Family Services, Inc. (Portland)</td>
<td>$168,603.00</td>
</tr>
<tr>
<td>Community Action of Greater Indianapolis, Inc. (Indianapolis)</td>
<td>$606,649.00</td>
</tr>
<tr>
<td>Community Action of Northeast Indiana, Inc. (Fort Wayne)</td>
<td>$411,439.00</td>
</tr>
<tr>
<td>Community Action of Southern Indiana (Jeffersonville)</td>
<td>$148,995.00</td>
</tr>
<tr>
<td>Community Action Program of Evansville and (Evansville)</td>
<td>$208,453.00</td>
</tr>
<tr>
<td>Community Action Program, Inc. of Western Indiana (Covington)</td>
<td>$192,815.00</td>
</tr>
<tr>
<td>Hoosier Uplands Economic Development Corporation (Mitchell)</td>
<td>$158,076.00</td>
</tr>
<tr>
<td>Human Services, Inc. (Columbus)</td>
<td>$186,010.00</td>
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<tr>
<td>Interlocal Community Action Program, Inc. (New Castle)</td>
<td>$249,855.00</td>
</tr>
<tr>
<td>JobSource (Anderson)</td>
<td>$210,613.00</td>
</tr>
<tr>
<td>Lincoln Hills Development Corporation (Tell City)</td>
<td>$105,049.00</td>
</tr>
<tr>
<td>North Central Community Action Agency, Inc. (Michigan City)</td>
<td>$305,453.00</td>
</tr>
<tr>
<td>Northwest Indiana Community Action Program (Crown Point)</td>
<td>$281,598.00</td>
</tr>
<tr>
<td>Ohio Valley Opportunities, Inc. (Madison)</td>
<td>$135,625.00</td>
</tr>
<tr>
<td>Pace Community Action Agency (Vincennes)</td>
<td>$168,048.00</td>
</tr>
<tr>
<td>People Working Cooperatively (Cincinnati)</td>
<td>$131,749.00</td>
</tr>
<tr>
<td>REAL Services, Inc. (South Bend)</td>
<td>$447,968.00</td>
</tr>
<tr>
<td>South Central Community Action Program, Inc (Bloomington)</td>
<td>$234,017.00</td>
</tr>
<tr>
<td>Southeastern Indiana Economic Opportunity Corporation (Aurora)</td>
<td>$159,731.00</td>
</tr>
<tr>
<td>State of Indiana, IHCDA (Indianapolis)</td>
<td>$186,868.00</td>
</tr>
<tr>
<td>Tri-CAP (Dubois-Pike-Warrick) Economic Opp. Comm. Inc. (Jasper)</td>
<td>$129,738.00</td>
</tr>
<tr>
<td>Western Indiana Community Action Agency, Inc. (Terre Haute)</td>
<td>$154,160.00</td>
</tr>
</tbody>
</table>

**Total:** $5,228,601.00

568
IV.2 WAP Production Schedule

<table>
<thead>
<tr>
<th>Weatherization Plans</th>
<th>Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Units (excluding reweathered)</td>
<td>568</td>
</tr>
<tr>
<td>Rewatherized Units</td>
<td>0</td>
</tr>
</tbody>
</table>

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

Average Unit Costs, Units subject to DOE Project Rules

<table>
<thead>
<tr>
<th>VEHICLE &amp; EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A Total Vehicles &amp; Equipment ($5,000 or more) Budget</td>
<td>$0.00</td>
</tr>
<tr>
<td>B Total Units Weatherized</td>
<td>568</td>
</tr>
<tr>
<td>C Total Units Rewatherized</td>
<td>0</td>
</tr>
<tr>
<td>D Total Dwelling Units to be Weatherized and Rewatherized (B + C)</td>
<td>568</td>
</tr>
<tr>
<td>E Average Vehicles &amp; Equipment Acquisition Cost per Unit (A divided by D)</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

AVERAGE COST PER DWELLING UNIT (DOE RULES)

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>F Total Funds for Program Operations</td>
<td>$3,973,411.00</td>
</tr>
<tr>
<td>G Total Dwelling Units to be Weatherized and Rewatherized (from line D)</td>
<td>568</td>
</tr>
<tr>
<td>H Average Program Operations Costs per Unit (F divided by G)</td>
<td>$6,995.44</td>
</tr>
<tr>
<td>I Average Vehicles &amp; Equipment Acquisition Cost per Unit (from line E)</td>
<td>$0.00</td>
</tr>
<tr>
<td>J Total Average Cost per Dwelling (H plus I)</td>
<td>$6,995.44</td>
</tr>
</tbody>
</table>

IV.3 Energy Savings

Method used to calculate savings: WAP algorithm

<p>| | | |</p>
<table>
<thead>
<tr>
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<tbody>
<tr>
<td>This Year Estimate</td>
<td>568</td>
<td>29.3</td>
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<tr>
<td>Prior Year Estimate</td>
<td>506</td>
<td>29.3</td>
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<tr>
<td>Prior Year Actual</td>
<td>96</td>
<td>29.3</td>
</tr>
</tbody>
</table>

Method used to calculate savings description:

2016 Allocation Amount: $6,193,959.00

- Grantee Admin ($545,668.00)
- Grantee T&A ($818,600.00)
- Sub-grantee Admin ($366,002.00)
- Liability Insurance ($88,272.00)
- Health and Safety ($771,546.00)
- Financial Audits ($31,372.00)

Yields $3,973,411.00 available to weatherize homes during the 2017 program year.

568 units weatherized multiplied by 29.3 MMBTU yields the total energy saved for this year by DOE funded weatherization work at 16,632.9 per year.

Estimated energy savings: 16,632.9 (MMBTU)
IV.4 DOE-Funded Leveraging Activities

At this time we do not set aside DOE funds for a leveraging program. However, agencies routinely leverage their funds against other programs and utility funds in order to weatherize more homes. Indiana reports units weatherized using DOE guidelines and priority measures—including homes utilizing a combination of DOE, LIHEAP, and utility funds—on the Quarterly Production Report.

IV.5 Policy Advisory Council Members

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

<table>
<thead>
<tr>
<th>Organization</th>
<th>Type of Organization</th>
<th>Contact Name</th>
<th>Phone</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>American Senior Communities</td>
<td>Local agency</td>
<td>Justine Currie</td>
<td>7653620905</td>
<td><a href="mailto:jine54@gmail.com">jine54@gmail.com</a></td>
</tr>
<tr>
<td>Environmental Management Institute</td>
<td>Non-profit (not a financial institution)</td>
<td>Joan Kettermann</td>
<td>(317)248-4848</td>
<td><a href="mailto:jketttermann@envltmgmt.org">jketttermann@envltmgmt.org</a></td>
</tr>
<tr>
<td>Indiana Community Action Association, Inc.</td>
<td>Non-profit (not a financial institution)</td>
<td>Steve Null</td>
<td>(317)638-4232</td>
<td><a href="mailto:snull@icac.org">snull@icac.org</a></td>
</tr>
<tr>
<td>Indiana Office of Utility Consumer Counselor</td>
<td>Unit of State Government</td>
<td>Anthony Swinger</td>
<td>(888)441-2494</td>
<td>aw <a href="mailto:Swinger@cucc.in.gov">Swinger@cucc.in.gov</a></td>
</tr>
<tr>
<td>South Central Community Action Agency (SCCAP)</td>
<td>Local agency</td>
<td>Frank Peacock</td>
<td>8123393447</td>
<td><a href="mailto:frank@insecap.org">frank@insecap.org</a></td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Date Held</th>
<th>Newspapers that publicized the hearings and the dates the notice ran</th>
</tr>
</thead>
<tbody>
<tr>
<td>01/30/2017</td>
<td>NOT YET EDITED Notice of the State Plan update was made on Feb 9, 2016 via the IHICDA newsletter distribution list. This notification was sent to 3,865 recipients. Sectors represented in this distribution list are as follows: -Community Action Agencies - Shelters - Academia - Financial Institutions - Local Units of Government - Township Trustees - Social Service Agencies - Media outlets - Housing Authorities/Property Management - Not for Profits - Financial auditors. The draft plan was distributed on Feb 1, 2016 to the Community Action Agency executive directors, the Weatherization Program Managers and the Policy Advisory Council (PAC), posted on the IHICDA website, and a printed copy placed at IHICDA’s office for public review and comment from Feb 9, to Feb 18, 2016. The notice was picked up by the Chicago Herald and WISH-TV here locally (links below). It was also picked up by the Associated Press. <a href="http://www.dailyherald.com/article/20160211/news/3021199755">http://www.dailyherald.com/article/20160211/news/3021199755</a> <a href="http://wistv.com/2016/02/11/state-agency-solicits-comments-on-weatherization-plan/">http://wistv.com/2016/02/11/state-agency-solicits-comments-on-weatherization-plan/</a> The Public Hearing was held on Feb 18, at 11:00 am EST. The sign-in sheet and transcript for the public hearing is included as attachments to SF 424.</td>
</tr>
</tbody>
</table>

IV.7 Miscellaneous

The Recipient Business Officer for IHICDA is:
Ms. Donna Billiard Wright
Email: dwwight@ihcdacn.gov
Phone: 317-233-5371

The Recipient Principal Investigator
Mr. Andy Hoff
Email: ahoff@ihcdacn.gov
Phone: 317-233-0983
### SECTION A - BUDGET SUMMARY

<table>
<thead>
<tr>
<th>Grant Program Function or Activity (a)</th>
<th>Federal Catalog No. (b)</th>
<th>Estimated Unobligated Funds</th>
<th>New or Revised Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Federal (c)</td>
<td>Non-Federal (d)</td>
<td>Federal (e)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Non-Federal (f)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Total (g)</td>
</tr>
<tr>
<td>1. STATE</td>
<td></td>
<td>$ 0.00</td>
<td>$ 0.00</td>
</tr>
<tr>
<td>2. Federal</td>
<td>81.042</td>
<td>$ 0.00</td>
<td>$ 6,193,959.00</td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td>$ 6,193,959.00</td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. TOTAL</td>
<td></td>
<td>$ 0.00</td>
<td>$ 0.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>$ 6,193,959.00</td>
</tr>
</tbody>
</table>

### SECTION B - BUDGET CATEGORIES

<table>
<thead>
<tr>
<th>6. Object Class Categories</th>
<th>1. GRANTEE ADMINISTRATION</th>
<th>2. SUBGRANTEE ADMINISTR</th>
<th>3. GRANTEE T&amp;TA</th>
<th>4. PROGRAM OPERATIONS</th>
<th>Total (5)</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Personnel</td>
<td>$ 99,840.00</td>
<td>$ 0.00</td>
<td>$ 43,000.00</td>
<td>$ 0.00</td>
<td>$ 142,840.00</td>
</tr>
<tr>
<td>b. Benefits</td>
<td>$ 42,114.00</td>
<td>$ 0.00</td>
<td>$ 18,490.00</td>
<td>$ 0.00</td>
<td>$ 60,604.00</td>
</tr>
<tr>
<td>c. Travel</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 32,200.00</td>
<td>$ 0.00</td>
<td>$ 32,200.00</td>
</tr>
<tr>
<td>d. Equipment</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
</tr>
<tr>
<td>e. Supplies</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
</tr>
<tr>
<td>f. Contract</td>
<td>$ 0.00</td>
<td>$ 366,002.00</td>
<td>$ 725,000.00</td>
<td>$ 3,973,411.00</td>
<td>$ 5,953,601.00</td>
</tr>
<tr>
<td>g. Construction</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
</tr>
<tr>
<td>h. Other</td>
<td>$ 4,714.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 4,714.00</td>
</tr>
<tr>
<td>i. Total Direct Charges</td>
<td>$ 146,668.00</td>
<td>$ 366,002.00</td>
<td>$ 818,690.00</td>
<td>$ 3,973,411.00</td>
<td>$ 6,193,959.00</td>
</tr>
<tr>
<td>j. Indirect</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
</tr>
<tr>
<td>k. Totals</td>
<td>$ 146,668.00</td>
<td>$ 366,002.00</td>
<td>$ 818,690.00</td>
<td>$ 3,973,411.00</td>
<td>$ 6,193,959.00</td>
</tr>
<tr>
<td>7. Program Income</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
</tr>
</tbody>
</table>
# BUDGET INFORMATION - Non-Construction Programs

<table>
<thead>
<tr>
<th>1. Program/Project Identification No.</th>
<th>EE0006152</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Program/Project Title</td>
<td>Weatherization Assistance Program</td>
</tr>
<tr>
<td>3. Name and Address</td>
<td>State of Indiana, IHSDA</td>
</tr>
<tr>
<td></td>
<td>30 South Meridian Street</td>
</tr>
<tr>
<td></td>
<td>Indianapolis, IN 462040000</td>
</tr>
<tr>
<td>4. Program/Project Start Date</td>
<td>04/01/2017</td>
</tr>
<tr>
<td>5. Completion Date</td>
<td>03/31/2018</td>
</tr>
</tbody>
</table>

## SECTION A - BUDGET SUMMARY

<table>
<thead>
<tr>
<th>Grant Program Function or Activity</th>
<th>Federal Catalog No.</th>
<th>Estimated Unobligated Funds</th>
<th>New or Revised Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(a)</td>
<td>(b)</td>
<td>(c)</td>
</tr>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td>$ 0.00</td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. TOTAL</td>
<td></td>
<td></td>
<td>$ 0.00</td>
</tr>
</tbody>
</table>

## SECTION B - BUDGET CATEGORIES

<table>
<thead>
<tr>
<th>6. Object Class Categories</th>
<th>Grant Program, Function or Activity</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) LIABILITY INSURANCE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Personnel</td>
<td>$ 0.00</td>
<td>$ 142,840.00</td>
</tr>
<tr>
<td>b. Benefits</td>
<td>$ 0.00</td>
<td>$ 60,604.00</td>
</tr>
<tr>
<td>c. Travel</td>
<td>$ 0.00</td>
<td>$ 32,200.00</td>
</tr>
<tr>
<td>d. Equipment</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
</tr>
<tr>
<td>e. Supplies</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
</tr>
<tr>
<td>f. Contract</td>
<td>$ 86,272.00</td>
<td>$ 5,953,601.00</td>
</tr>
<tr>
<td>g. Construction</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
</tr>
<tr>
<td>h. Other</td>
<td>$ 0.00</td>
<td>$ 4,714.00</td>
</tr>
<tr>
<td>i. Total Direct Charges</td>
<td>$ 86,272.00</td>
<td>$ 6,193,959.00</td>
</tr>
<tr>
<td>j. Indirect</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
</tr>
<tr>
<td>k. Totals</td>
<td>$ 86,272.00</td>
<td>$ 6,193,959.00</td>
</tr>
<tr>
<td>7. Program Income</td>
<td>$ 0.00</td>
<td>$ 0.00</td>
</tr>
</tbody>
</table>
1. **PERSONNEL** - Prime Applicant only (all other participant costs are listed in 6 below and form SF-242A, Section B. Line 6.f. Contracts and Sub-Grants).

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

<table>
<thead>
<tr>
<th>Position</th>
<th>Description of Duties of Professionals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chief Community Programs Officer</td>
<td>Responsible for managing the DOE Weatherization Program in Indiana. Duties include approving and applying for annual DOE grant, requesting legal documents, approving state policies and procedures, and approving proposals and contracts.</td>
</tr>
<tr>
<td>Claims Specialist</td>
<td>Responsible for reviewing claims.</td>
</tr>
<tr>
<td>Community Programs Manager - Weatherization</td>
<td>Responsible for managing overall weatherization program; primary responsibility for technical staff, monitoring process and reporting; conducts field and sub-grantee monitoring; approves all monitoring reports from weatherization staff; responsible for approving sub-grantee allocations.</td>
</tr>
<tr>
<td>Community Programs Analyst - Weatherization</td>
<td>Oversees weatherization administrative responsibilities; manages contracts and progress with sub-grantees, completing state reporting and closeout with DOE.</td>
</tr>
<tr>
<td>Accounting- Clerical</td>
<td>Handles all accounts receivable and accounts payable for the program.</td>
</tr>
<tr>
<td>Accounting- Management</td>
<td>Handles all controller duties, A-133 audits, and other high-level accounting tasks.</td>
</tr>
<tr>
<td>Legal</td>
<td>Reviews and approves sub-grantees and professional services contracts; reviews requests for proposal documents; oversees information requests; handles all legal work for weatherization department.</td>
</tr>
<tr>
<td>Public Relations/Marketing/Legislative Work</td>
<td>Handles all media inquiries; produces necessary marketing materials; answers constituent inquiries received from legislative staff or directs to weatherization staff as necessary.</td>
</tr>
<tr>
<td>Community Programs Monitor</td>
<td>Monitoring for DOE funded grants statewide at twenty-three subgrantees</td>
</tr>
<tr>
<td>Director of Community Programs</td>
<td>Oversee the activities of the Community Program's staff. Responsible for approving allocation of funds to sub-grantees, ensuring contracts are executed in a timely manner. Facilitates partnerships with community based and consumer based entities to further and broaden the reach of the weatherization program.</td>
</tr>
<tr>
<td>Temp Staff</td>
<td>temporary administrative staff</td>
</tr>
</tbody>
</table>

**Direct Personnel Compensation:**

<table>
<thead>
<tr>
<th>Position</th>
<th>Salary/Rate</th>
<th>Time</th>
<th>Direct Pay</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chief Community Programs Officer</td>
<td>$75,000.00</td>
<td>4.000 % FT</td>
<td>$3,000.00</td>
</tr>
<tr>
<td>Claims Specialist</td>
<td>$35,000.00</td>
<td>35.000 % FT</td>
<td>$12,250.00</td>
</tr>
<tr>
<td>Community Programs Manager - Weatherization</td>
<td>$50,000.00</td>
<td>65.000 % FT</td>
<td>$32,500.00</td>
</tr>
<tr>
<td>Community Programs Analyst - Weatherization</td>
<td>$39,000.00</td>
<td>65.000 % FT</td>
<td>$25,350.00</td>
</tr>
<tr>
<td>Accounting- Clerical</td>
<td>$21.00</td>
<td>100.000 hours</td>
<td>$2,100.00</td>
</tr>
<tr>
<td>Accounting- Management</td>
<td>$34.00</td>
<td>110.000 hours</td>
<td>$3,740.00</td>
</tr>
<tr>
<td>Legal</td>
<td>$32.00</td>
<td>350.000 hours</td>
<td>$11,200.00</td>
</tr>
<tr>
<td>Public Relations/Marketing/Legislative Work</td>
<td>$18.00</td>
<td>100.000 hours</td>
<td>$1,800.00</td>
</tr>
<tr>
<td>Community Programs Monitor</td>
<td>$43,000.00</td>
<td>100.000 % FT</td>
<td>$43,000.00</td>
</tr>
<tr>
<td>Director of Community Programs</td>
<td>$60,000.00</td>
<td>10.000 % FT</td>
<td>$6,000.00</td>
</tr>
</tbody>
</table>

01/13/2017
2. **FRINGE BENEFITS**
   
a. Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and attach a copy of the rate agreement to the application.

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

  Fringe rates are not approved by a Federal Agency, but cost rates are approved by the State Budget Agency and the General Assembly. Fringe benefits include FICA, retirement, health/dental/vision insurance, and short/long term disability. Benefits vary per person due to each employee selection of health care plans, etc. Amounts are based on fringe expenditure history per individual. The 2016 fringe benefits rate of 43% with the average percentage breakdown as follows: 18% Health/Dental/Vision Insurance; 14.2% Retirement; 7.65% FICA; 2.28% Short and Long Term Disability; Basic life insurance .87%

  **Fringe Benefits Calculations**

<table>
<thead>
<tr>
<th>Position</th>
<th>Direct Pay</th>
<th>Rate</th>
<th>Benefits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chief Community Programs Officer</td>
<td>$3,000.00</td>
<td>43.000%</td>
<td>$1,290.00</td>
</tr>
<tr>
<td>Claims Specialist</td>
<td>$12,250.00</td>
<td>43.000%</td>
<td>$5,267.50</td>
</tr>
<tr>
<td>Community Programs Manager - Weatherization</td>
<td>$32,500.00</td>
<td>43.000%</td>
<td>$13,975.00</td>
</tr>
<tr>
<td>Community Programs Analyst - Weatherization</td>
<td>$25,350.00</td>
<td>43.000%</td>
<td>$10,900.50</td>
</tr>
<tr>
<td>Accounting-Clerical</td>
<td>$2,100.00</td>
<td>43.000%</td>
<td>$903.00</td>
</tr>
<tr>
<td>Accounting-Management</td>
<td>$3,740.00</td>
<td>43.000%</td>
<td>$1,608.20</td>
</tr>
<tr>
<td>Legal</td>
<td>$11,200.00</td>
<td>43.000%</td>
<td>$4,816.00</td>
</tr>
<tr>
<td>Public Relations/Marketing/Legislative Work</td>
<td>$1,300.00</td>
<td>43.000%</td>
<td>$774.00</td>
</tr>
<tr>
<td>Community Programs Monitor</td>
<td>$43,000.00</td>
<td>43.000%</td>
<td>$18,490.00</td>
</tr>
<tr>
<td>Director of Community Programs</td>
<td>$6,000.00</td>
<td>43.000%</td>
<td>$2,580.00</td>
</tr>
<tr>
<td>Temp Staff</td>
<td>$1,900.00</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

  Fringe Benefits Total $60,604.20

3. **TRAVEL**

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

<table>
<thead>
<tr>
<th>Purpose of Trip</th>
<th>Number of Trips</th>
<th>Cost Per Trip</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monitoring of sub-grantees - local trips</td>
<td>60</td>
<td>$80.00</td>
<td>$4,800.00</td>
</tr>
<tr>
<td>Attendance at Regional Trainings - NASCAP Fall (3); NASCSP Winter (2), anticipated attendance at Home Performance Conference (2)</td>
<td>7</td>
<td>$2,500.00</td>
<td>$17,500.00</td>
</tr>
<tr>
<td>Monitoring of sub-grantees - overnight visits</td>
<td>60</td>
<td>$165.00</td>
<td>$9,900.00</td>
</tr>
</tbody>
</table>

  Travel Total $32,200.00
b. Please provide the basis for estimating the costs, such as past trips, current quotations, Federal Travel Regulations, etc. All listed travel must be necessary for the performance of the award objectives.

Computation of travel is based on past trips of similar nature. Current expenses on in-state travel include monitoring visits of agencies, field visits to homes weatherized, and in-State travel to training meetings. Costs for the Regional meetings are based on projected cost of airline tickets, hotel costs, days of per-diem, and number of people attending the meetings. The State pays $.38 for mileage when personal vehicles are used, approx. $35 for a car rental per day, approx. $30 per day for both in-state and out-of-state per diem, approx. $100 per night for in State lodging, and actual lodging costs for out of State lodging.

4. EQUIPMENT- Equipment is generally defined as an item with an acquisition cost greater than $5,000 and a useful life expectancy of more than one year.

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

<table>
<thead>
<tr>
<th>Equipment</th>
<th>Unit Cost</th>
<th>Number</th>
<th>Total Cost</th>
<th>Justification of Need</th>
</tr>
</thead>
</table>

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

5. SUPPLIES - Supplies are generally defined as an item with an acquisition cost of $5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance.

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

<table>
<thead>
<tr>
<th>General Category</th>
<th>Cost</th>
<th>Justification of Need</th>
</tr>
</thead>
</table>

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

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

<table>
<thead>
<tr>
<th>Name of Proposed Sub</th>
<th>Total Cost</th>
<th>Basis of Cost*</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Local Agency Contracts (Section II.3)</th>
<th>$5,228,650.00</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017 sub-grantee formula based grant allocation amounts. Refer to the allocation table provided in the annual file for each sub-grantee award amount.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Environmental Management(Classroom Lead Cert. and OSHA 10 &amp; 30 Training)</th>
<th>$25,000.00</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017 projected contract amount; Provide RRP refresher training for Indiana's Weatherization Network; Provide OSHA 30 and 10 hour training opportunities; Provide Healthy Homes training opportunities</td>
<td></td>
</tr>
</tbody>
</table>

Contracts and Subgrants Total **$5,953,650.00**

*For example, Competitive, Historical, Quote, Catalog

7. **OTHER DIRECT COSTS** - Other direct costs are direct cost items required for the project which do not fit clearly into other categories. These direct costs may not be duplicative of costs included in the indirect pool that is the basis of the indirect rate applied for this project. Examples are: conference fees, subscription costs, printing costs, etc.

   a. Please provide a General Description, Cost and Justification of Need.
<table>
<thead>
<tr>
<th>General Description</th>
<th>Cost</th>
<th>Justification of Need</th>
</tr>
</thead>
<tbody>
<tr>
<td>Weatherization Magazine</td>
<td>$1,426.00</td>
<td>The weatherization managers of each of the 23 sub-grantees are provided with a subscription to a &quot;Home Energy&quot; magazine.</td>
</tr>
<tr>
<td>Membership Dues</td>
<td>$3,288.00</td>
<td>NASCSP Membership fees for Weatherization Assistance Program only</td>
</tr>
</tbody>
</table>

Other Direct Costs Total $4,714.00

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

All cost included in Other Direct Costs are properly segregated from indirect costs to ensure there are not duplicate charges. All costs proposed are only being used in support of the WAP.

8. INDIRECT COSTS

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

b. If the above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations separately.

IHICDA will not be charging indirect costs to this award.

The name and phone number of the individual responsible for negotiating the State's indirect cost rates.

Name: 
Phone Number: 

NOTE: Budget and allocation data provided in this document are estimates, official award announcements have not been made at this time.
This worksheet should be completed as specified in Section III of the Weatherization Assistance Program Application Package.

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

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

The following information is taken from Indiana's Weatherization Policy and Procedures Manual detailing the expectations of sub grantees as it applies to client income verification and documentation.

The Weatherization Sub-Grantee staff, or its subcontractor, is 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 any of its subcontractors.

A dwelling 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* and as approved by the Department of Health and Human Services, per the American Recovery and Reinvestment Act of 2009, Public Law 111-005, and WPN 13-3, issued March 15, 2013. The ARRA Public Law continues to apply to DOE funded grants.
- Which contains a member who has received cash assistance payments during the twelve-month period under Title IV and XVI of the Social Security Act, Pub. L. No. 88-452, 42 U.S.C. § 2701 et seq. or applicable State or local law.
- Who is eligible for assistance under the Low Income Home Energy Assistance Act of 1981, per 10 CFR 440.22 (a) (3). (Indiana Weatherization's primary eligibility criteria per approved State Plan)

(NOTE: LIHEAP WX grant clients must adhere to the HHS requirement of 150% of the current OMB poverty income)

Denied EAP applications will be referred for eligibility under 10 CFR 440.22 (a) (1) and (2), as noted above. If client is ineligible under the cited regulation, refer to section 103 for denial procedures and notice to appeal.

Each year newly approved program guidelines are issued towards the beginning of the calendar year. To be consistent with the Energy Assistance Program (EAP) intake, Weatherization and EAP will both update their income eligibility guidelines on June 1, 2017 (using Federal Register/Volume 81, Number 15/Monday, January 25, 2016, on pages 4036-4037 and WPN 16-3).

102 DOCUMENTING ELIGIBILITY IHICDA requires that all sub-grantees ensure client eligibility during the period in which services are delivered. Clients which are deemed eligible as a result of their LIHEAP eligibility will have their most recent application date transferred into their IWAP record upon import. Sub-grantees must ensure services are delivered within one year of the application date or the client’s income must be re-verified.


Households that are categorically eligible have several of the required items in their EAP file. Information, such as income verification, does not need to be duplicated. During monitoring, IHICDA reserves the right to inspect client income verification to insure client eligibility.

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

1. Shelters — An application and eligibility determination is not required for shelters.

   Agencies should determine the number of countable completions based on shelter regulations detailing that a weatherization provider may count each 600 square feet of the shelter as a dwelling unit or each floor level as one unit, as noted in 10 CFR 440.22(f).

   An individual file should be kept for the shelter job.

   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.

2. Multi-Unit Buildings — In the weatherization of multi-unit buildings, DOE regulations require that 86% (50% for duplexes and four unit
buildings) of dwelling units in the building must be eligible households or will become eligible within 180 days as referenced in 10 CFR 440.22(b).

An application is not required for non-eligible or empty units. IHCDA requires that documentation of eligibility is required for all units. To ensure that the percentage requirement is met, a separate list must be maintained, indicating the eligible and non-eligible or empty units.

For IWAP reporting purposes, each non-eligible or empty unit 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.

Sub-grantees should also note that when weatherizing multi-unit building, the amount to be spent on the building is determined by the number of income eligible units. (Example: When weatherizing a 20 unit building, if 15 of the units are eligible, you are only allowed $97,500 (15 x $6,500 (average base cost per home)) for the 20 units.)

In order to weatherize an apartment, all units in the affected building must be weatherized.

Following the Energy Assistance Program (EAP) guidelines, income eligibility will determined using the Benefit Matrix. The matrix points of all eligible units must be averaged, and this average is used to determine the order in which the multi-family unit is weatherized following the sub-grantee's waitlist. This ensures that clients are served in the appropriate order, and in accordance with IHCDA guidelines.

Sub-grantees must submit a plan to IHCDA prior to proceeding to weatherize multi-dwelling units or apartments where five (5) or more units are contained within one building. Sub-grantees are strongly encouraged to consult with INCAA for technical guidance beforehand. Plans must include, at a minimum, the following information:

- Address of the multi-unit building
- Current description (to total number/income qualified/vacant)
- Proposed funding source(s)
- Sub-grantee organizational capacity

More information for weatherizing multi-family dwellings is located within DOE regulations on WAPTAC in 10 CFR 440 (Federal Regulations) and Weatherization Program Notice (WPN) 16-5.

A home that is weatherized while being renovated by a state or local government program must have a client file completed within 60 days of the completion of the work. The file must contain all proper verification documents to ensure that the client meets all eligibility criteria.

The following information is taken from Indiana's Weatherization Policy and Procedures Manual detailing the record keeping responsibilities for the sub grantees.

Client files must be kept in order to verify the work that has been completed and to track expenditures on each house. Sub-grantees will be required to report completions and document which funding sources were utilized when none of the funding stream is utilized on any one dwelling. The documentation should detail the dollar amount of DOE and HHS grant funds spent on each home.

The file must also contain the paperwork necessary to document that proper procedures were followed in the performance of the work. Some forms, such as the application, are required in all client records. Other documents, such as the rental agreement, will only be contained in the files where applicable.

Below is a listing of the documentation required to be placed in the client file regarding client eligibility.

A client's Energy Assistant Program (EAP) application must be active at the time the weatherization services are provided and at the time of final inspection. An application is considered active for a twelve month period starting from the date of the approved application. If the version in IWAP is the current most, no paper copy is required. If a client has an expired application in IWAP and recently reapplied, a current paper copy is required in the client file. A paper copy from IWAP may be requested by IHCDA program monitors when reviewing client files.

Income documentation verifying total household income for the twelve 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 Energy Assistance Program Operations Manual, http://www.in.gov/myhcd/files/FY%202017%20EAP%20Program%20Manual%20-%20Updated%2010%202016%20(00025940x2780).pdf. 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 Claimant Form must be used to verify zero income for each household resident, age 18 and over, that claims no income.
for the 12 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.

According to the U.S. Department of Energy WPN 13-3 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. Starting on November 5, 2012 IHCDLA requires a notarized Zero Income Claimant Form to be in each client's file who claims zero income. This form will be implemented in both the EAP and Weatherization programs on the same date. All agencies must use this form with all EAP appointments starting November 5, 2012 and new mail applications sent on or after November 5, 2012. This form is not required for mail applications processed prior to this date.

Sub-grantees may notarize the form at the time of the EAP Application. Incorporating the notary into the EAP application process is highly recommended, but not required. The EAP Program Manager may notarize the form if he or she is the agency’s notary, even if the Program Manager processed the file.

The form may be signed by the Zero Income Claimant, or by 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 resident on the EAP application. The EAP program does not require a notarized signature to process the file. This is a Dept. of Energy provision.

During the monitoring process, IHDCDA reviews at least 10% of client files to ensure that sub grantees are following all DOE and IHDCDA requirements regarding client eligibility.

Describe what household Eligibility basis will be used in the Program

Indiana’s Weatherization Policy and Procedures Manual describes client eligibility in the following manner.

A dwelling unit shall be eligible for Weatherization assistance if it is occupied by a family unit that fits the criteria listed below:

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 and as approved by the Department of Health and Human Services, per the American Recovery and Reinvestment Act of 2009. Public Law 111-005. The ARRA Public Law continues to apply to DOE funded grants.

Which contains a member who has received cash assistance payments during the twelve-month period under Title IV and XVI of the Social Security Act, Pub. L. No. 88-452, 42 U.S.C. § 7201 et seq. or applicable State or local law.

Who is eligible for assistance under the Low Income Home Energy Assistance Act of 1981, per 10 CFR 440.22 (a) (3). (Indiana Weatherization’s primary eligibility criteria per approved State Plan)

NOTE: LIHEAP WX grant clients must adhere to the HHS requirement of 150% of the current OMB poverty income

 Denied EAP applications will be referred for eligibility under 10 CFR 440.22 (a) (1) and (2), as noted above. If client is ineligible under the cited regulation, refer to section 103 of Indiana’s Weatherization Policy and Procedures Manual for denial procedures and notice to appeal.

Each year newly approved poverty guidelines for the program year are issued towards the beginning of the calendar year. To be consistent with the Energy Assistance Program (EAP) intake, Weatherization and EAP will both update their income eligibility guidelines on June 1, 2015 (using Federal Register/Volume 81, Number 15/Monday, January 25, 2016, and WPN 16-3).

IHCDLA requires that all sub-grantees ensure client eligibility during the period in which services are delivered. Clients which are deemed eligible as a result of their LIHEAP eligibility will have their most recent application date transferred into their IWAP record upon import. Sub-grantees must ensure services are delivered within one year of the application date or the client’s income must be re-verified. Files of clients not categorically eligible through the Energy Assistance Program 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 http://www.in.gov/dwhcda/files/2017%2E0%2EAP%2EProgram%2EManual%2E0%2EUpdated%2E2016%2E2016%20 (00025940x02D80).pdf or DOE Weatherization Program Notice 16-3, dated February 10, 2016.
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:

SECTION 300

ELIGIBILITY AND INCOME STANDARDS

301 RESIDENCY AND CITIZENSHIP REQUIREMENT

The applicant must reside in the State of Indiana at the time of application and for at least one month (or 30 days) of the current heating season to be eligible for the Energy Assistance Program.

Current verification of residency address (i.e. application) and service address (i.e. utility bill) must be reviewed for each application. These two addresses must match to qualify for benefits. However, the mailing address (application or utility bill) does not have to match the service address. The LSP is responsible for documenting in RIAA the difference between the mailing address and service address. For example, some individuals may choose to have their mail sent to a P.O. Box or the elderly may have bills sent to a relative's address.

Possible verification sources are as follows (not all inclusive):

- Valid Indiana Driver’s License with current address
- Rental/Lease agreement listing the applicant’s name and current residence
- Completed Landlord Affidavit form (if applicable)
- Employer’s statement or pay stub listing residence address

In addition to the above criteria, all members of the household must be United States (U.S.) citizens, U.S. Nationals or qualified aliens who meet the eligibility requirements specified in Section 2605(b)(2) of the Low Income Home Energy Assistance Act (42 U.S.C. §8642(b)(2)). A qualified alien is defined at 8 U.S.C §1641(b).

A United States citizen is someone born in:

- One of the 50 states
- The District of Columbia
- Puerto Rico
- Guam
- The Virgin Islands
- The Northern Mariana Islands

A United States National is someone born in:

- American Samoa
- Swains Island

To verify a household member is a U.S. Citizen or National, use any of the following documents:

- Birth Certificate
- U.S. Passport
• **Report of Birth Abroad of a Citizen of the U.S.** (FS-240) issued by the Dept. of State

• **Certification of Birth** (FS-545) issued by a Foreign Service post

• **U.S. Citizens I.D. card** (I-197) issued by the Bureau of Citizenship and Immigration Services (BCIS)

• **Certificate of Naturalization** (N-550 or N-570) issued by BCIS

• **Certificate of Citizenship** (N-560 or N-561) issued by BCIS

• **Northern Marianas I.D. card** (I-873) issued by BCIS

• **Statement provided by the U.S. consular official certifying the individual is a citizen.**

There are secondary sources of verification which may include religious records, U.S. civil service employment records dated before June 1, 1976, early school records, census records, adoption papers, and any other document establishing or denoting a place of birth.

Non-citizens must provide documentation verifying Resident Alien status to be eligible for EAP benefits. The federal government considers the following to be qualified aliens:

• **An alien legally admitted for Permanent Resident Alien Status,** I 151, commonly referred to as a green card”.

• **An alien granted asylum.** Documentation: -94 or INS letter

• **A refugee admitted to the United States.** Documentation: -94 “Arrival Departure Record”.

• **An alien paroled in the United States.** Documentation: -94 “Arrival Departure Record”.

• **An alien whose departure is being withheld.** Documentation: -94 and/or order from an immigration court judge.

• **An alien granted conditional entry.** Documentation: -94 “Arrival Departure Record”.

• **An alien who is a Cuban/Haitian entrant.** Documentation: “L 13” green card”.

• **An alien who is a battered spouse or child.** Documentation: 1) Veteran proof of legal entrance in U.S. 221A or proof of active military service, birth/marriage certificate; 2) Other-Approval Notice of “Notice of Prima Facie Case” under the 1994 Violence Against Women Act (VAWA).

### 301.1 Social Security

A Social Security number (SSN) is required for all persons in the household age 1 and older. **Individuals that do not have or refuse to furnish a SSN are considered an ineligible household member.** (See Section 301.2)

When a household member exists and cannot provide the intake worker with an SSN at time of application: Enter the household member, fill the space with zeros, and leave the application in pending status until the SSN is verified or the individual becomes classified as an ineligible household member.

The web site for the SSN application form and instructions for applying for a new social security number can be found [https://www.ssa.gov/forms](https://www.ssa.gov/forms) (Form SS-5 Application for a Social Security Card).

According to the Social Security Administration, noncitizens may apply for a Social Security number if they have permission to work in the United States by the Department of Homeland Security. SSN documentation that read, “Authorized for work use only,” are acceptable.

All LSPs are required to retain a copy of the document used to verify the SSN. If the LSP receives a worn, illegible SSN Card, the LSP is to make best efforts in maintaining the best version presented. If an LSP would like to maintain a “clean copy” of the identity verification documents, this is permitted as long as LSP staff have completed confidentiality documentation and provided that any personally identifiable information is kept in a locked file. Please follow records retention guidelines for duration of file maintenance. If documentation from another categorically eligible program is used, LSP must retain a copy of the alternative document used and of the applicant’s driver's license or photo identification.

Mail-in applications are required to submit a copy of their social security card with their mailed application.

**IHCDA Recommendation:** A LSP should assist applicants to apply for social security numbers and the necessary documentation.
V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

IHCDCA will continue to use Energy Assistance Program (EAP) applications to verify the income of clients between 0% and 150% of poverty. Clients between 151% and 200% of poverty will still be subject to the Indiana LIHEAP program's method for calculating income and supplying all related income verification documentation.

Sub-grantees can add clients between 151% and 200% of poverty to their wait list via one of the following ways:

1. Through disqualified EAP applications that are below the 200% poverty threshold, where an income verification was done by a Community Action Agency; or,
2. Using a separate, sub-grantee determined method that aligns with EAP income verification guidelines. In this case, all income verification documents must be kept in the client's file.

Prioritizing qualified clients will be based upon the criteria outlined in Section 300 of Indiana's Weatherization Policy and Procedures Manual, and as listed below. Eligible clients in both the 150% category and the 200% category follow the same priority system once eligibility for the WAP has been determined.

Once eligibility has been determined, an agency must follow its client priority policy. Each Weatherization Administrator will develop written procedures by which it assigns priority eligible households. Federal regulation 10 CFR 440.16(b) states that priority is given to households with inhabitants who are elderly (age 60 years and older) or disabled (as defined in Indiana Energy Assistance Program Operations Manual).

With inhabitants who are children, which Indiana defines as people age 18 and under.

That are high residential energy users or that have a high energy burden.

Sub-grantees are encouraged to use the Energy Assistance Program's (EAP) matrix point system as a first-level sort for client service because matrix scores account for the aforementioned priority criteria. The matrix score already incorporates points for households who meet the priority criteria outlined above.

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 IHCDCA.

Describe Reweatherization compliance

IHCDCA addresses reweatherization of homes for DOE and LIHEAP in the following manner:

**DOE:** Prior to any weatherization activity, a unit must be evaluated to determine whether previous weatherization services have been provided. For homes utilizing DOE funds, if services have been provided **after September 30, 1994** the unit is **not eligible** for additional weatherization services utilizing DOE funds. Please reference WPN 13-1, section V.1.2. A “Reweatherized” unit falls into the category of time indicated above and described under 20 CFR 440.16(e)(2)(iii).

The following actions must be taken on each DOE unit prior to weatherization services to ensure that homes that have received weatherization services after September 30, 1994 are not re-weatherized:

1. Each client’s address must be entered into IWAP to identify whether the client’s home has been weatherized during or after 2000 (length of IWAP historical records);
2. For clients believed to be weatherized prior to 2000, agencies maintain internal list that can be reviewed to verify prior weatherization services.
3. Each client must be asked whether their home has been weatherized after September 30, 1994; and
4. A visual inspection of each home 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 indicates or suspects that weatherization services have previously been rendered in a home, 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 services previously provided. Incumbent local agencies must cooperate with these inquiries from IHCDA or from new weatherization service providers. Failure of any Sub-grantee to comply with any such request could result in immediate suspension of payments under its DOE award agreement or termination of its award agreement by IHCDA.

LIHEAP: Prior to any weatherization activity, a unit must be evaluated to determine whether previous weatherization services have been provided. For homes utilizing LIHEAP funds, sub-grantees may provide weatherization services to a dwelling unit previously weatherized provided that it was at least 5 years prior to the beginning of the current LIHEAP program year. (Example: Current LIHEAP grant year starts 10/1/16, 5 years prior to this date is 10/1/11– the home would have to have received weatherization services through LIHEAP prior to 10/1/11 to be eligible for Weatherization services utilizing LIHEAP current year funds.

The following actions must be taken on each LIHEAP unit prior to weatherization services to ensure that homes that have received weatherization services within the last five years as outlined above:

1. Each client’s address must be entered into IWAP to identify whether the client’s home has been weatherized during or after 2000 (length of IWAP historical records);
2. For clients believed to be weatherized prior to 2000, agencies maintain internal list that can be reviewed to verify prior weatherization services.
3. Each client must be asked whether their home has been weatherized after September 30, 1994; and
4. A visual inspection of each home 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 indicates or suspects that weatherization services have previously been rendered in a home, 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 services previously provided. Incumbent local agencies must cooperate with these inquiries from IHCDA or from new weatherization service providers. Failure of any Sub-grantee to comply with any such request could result in immediate suspension of payments under its DOE award agreement or termination of its award agreement by IHCDA.

The above information is located in Indiana’s Weatherization Policy and Procedures Manual, Section 305.

Describe what structures are eligible for weatherization

Indiana’s sub-grantees may weatherize single site built homes, mobile homes (manufactured housing), shelters and multi-unit dwellings. Indiana’s sub-grantees may also weatherize dwellings 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 dwelling is determined to qualify for services, it is up to the Energy Auditor to determine if the dwelling is a candidate to receive weatherization services or if the dwelling should be deferred.

IHCDA holds a programmatic agreement with the Indiana State Historic Preservation Office Regarding EECDB, SEP & WAP undertakings. The original agreement was signed June 2012 but pursuant Fed. Reg. Vo. 78, No. 50 dated March 14, 2013 the agreement was extended through Dec 31, 2020. The agreement and extension notification can be found as an attachment to the SP424.

Please reference V.3 Priorities, Deferral Process, Rental/Multi Family, Audit Procedures and Client Eligibility descriptions within this Master Plan.

Describe how Rental Units/Multi family Buildings will be addressed

Indiana addresses multi-unit buildings in the following manner:
1. Multi-Unit Buildings - In the weatherization of multi-unit buildings, DOE regulations require that 66% (50% for duplexes and four unit buildings) of dwelling units in the building must be eligible households or will become eligible within 180 days as referenced in 10 CFR 440.22(b)(2).

An application is not required for non-eligible or empty units. IIHCA requires that documentation of eligibility is required for all units. To ensure that the percentage requirement is met, a separate list must be maintained, indicating the eligible and non-eligible or empty units.

For IWAP reporting purposes, each non-eligible or empty unit 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.

For reporting purposes, each non-eligible or empty unit should be listed as "Data Unavailable" when reporting income categories and demographics. To ensure that the percentage requirement is met, a separate list must be maintained, indicating the eligible and non-eligible or empty units.

Sub-grantees should also note that when weatherizing multi-unit building, the amount to be spent on the building is determined by the number of income eligible units. (Example: When weatherizing a 20 unit building, if 15 of the units are eligible, you are only allowed $97,500 (15 x $6,500) (average base cost per home) for the 20 units.)

In order to weatherize an apartment, all units in the affected building must be weatherized.

DOE, in conjunction with Oak Ridge National Laboratory (ORNL) and the Lawrence Berkeley National Laboratory (LBNL), plan to roll out a Multifamily Tool for Energy Audits (MulTEA) during 2017. Upon completion of this audit tool, IHICDA intends to review the new tool with the intent to implement the tool into Indiana’s Weatherization Assistance Program during the 2017-2018 Program Year.

More information for weatherizing multi-family dwellings is located within DOE regulations on WAPTAC in 10 CFR 440 (Federal Regulations) and Weatherization Program Notice (WPN) 16-5.

2. The following multi-family rules and regulations apply to both DOE and LIHEAP funded weatherization projects. For energy audit purposes, DOE considers multi-family buildings to be those containing five dwelling units or more. For multi-family buildings containing less than 25 units (5-24 units), and the units are individually heated or cooled, a NEAT run must be performed to determine the proper work scope.

In order to weatherize an apartment, all units in the affected building must be weatherized. In Indiana this includes duplexes, buildings with three or four units and buildings with five or more units.

Following the Energy Assistance Program (EAP) guidelines, the matrix points of all eligible units must be averaged, and this average is used to determine the order in which the multi-family unit is weatherized following the sub-grantee's waitlist. This ensures that clients are served in the appropriate order, and in accordance with IHICDA guidelines.

For multi-family buildings containing 25 or more units per building, sub-grantees must contact IIHCA to begin the process of reviewing the building to be considered for weatherization. Until such time that the MulTEA tool is available, sub-grantees or their contractors are responsible for performing a multi-family audit using Targeted Retrofit Energy Analysis Tool (TREAT) software, as well as all costs associated with performing this audit, and submitting the results to IIHCA and DOE for approval.

The Indiana Community Action Association (INCAA) (Indiana's IREC Accredited WX Training Center) has Multi-Family QCI classes scheduled throughout 2017 to satisfy WPN 16-5, and to train Indiana's WAP sub-grantees to meet DOE's guidelines successfully.

Sub-grantees must submit a plan to IIHCA prior to proceeding to weatherize multi-dwelling units or apartments where five (5) or more units are contained within one building. Sub-grantees are strongly encouraged to consult with INCAA for technical guidance beforehand. Plans must include, at a minimum, the following information:

- Address of the multi-unit building
- Current description (i.e. total number / income qualified / vacant)
- Proposed funding source(s)
- Sub-grantee organizational capacity

Following DOE guidance as outlined in Weatherization Program Notice (WPN) 16-5, significant energy savings must be reflected in each project. The WAP file for each building should contain at least the following information from the energy audit:
The recommended statement of work including the savings-to-investment ratios (SIRs) of each measure and the total project SIR.

If any measures were bought down or otherwise leveraged the documentation must show the pre-leveraged SIRs of each individual measure and the pre-leveraged project SIR.

Documentation must include the other sources that funded each bought-down measure.

Either a printed file showing all of the building audit inputs and outputs or the immediately accessible electronic file that shows all the audit inputs and outputs.

Final installed costs of each measure and the total project cost. If the project went through the bidding process then all bid prices - winning and losing bids - must be in the file.

All specifications defining each measure.

Brief narrative with photos describing the building(s), including its age, its condition, number of units, spatial orientation(s), heating/cooling type (central or distributed) and condition, and any other notable conditions.

Building assessment sheets, such as lighting inventory; heating/cooling equipment and controls; air leakage determination; water usage information; combustion/CO/CAZ testing; insulation type and levels; base load analysis; windows and doors type and orientation; health and safety concerns, etc.

Weatherization statement of work, project timeline, and projected costs (materials and labor), any landlord contributions or buy-down provisions.

Complete copy of the audit showing all inputs/outputs (or engineering assessments and report) including a narrative describing the methodology used to assess the building(s) (i.e. was every building individually audited, or were a sample audited and the others assumed to be the same).

Note: All associated health and safety costs incurred on a dwelling unit are generally treated outside the SIR when determining cost-effectiveness. However, all energy-related incidental repair measures associated with weatherizing the dwelling units are a part of the SIR when determining cost-effectiveness.

Following WPN 16-5, at the sub-grantee discretion, building owners may also buy down measures they typically prioritize as needs – like furnace or boiler replacements or new fenestration – that do save energy but don’t achieve an SIR of 1 or greater as a stand-alone measure.

It is IHCDAs’ intent to allow sub-grantees some flexibility in calculating the SIR for a specific measure when other funds can be used to offset some of the costs, thereby reducing the WAP investment on the remaining investment. It is not IHCDAs’ intent, however, to participate in projects that do not demonstrate overall cost effectiveness in design and installation.

DOE expects that all sub-grantees will use this SIR calculation allowance only when the cost effectiveness for the entire investment in the property can still be substantiated. In other words, 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.

Example: In order for a measure to qualify for the buy-down, the package of measures, including the full cost (the pre-buy-down cost) of the measure which is to be bought down, must have an SIR = 1.0.

Regardless of the funding source, only measures on a list of measures with a cumulative SIR of 1 or greater may be paid for in any portion with WAP funds.

Sub-grantees should follow WPN 16-5 for guidance, and utilize INCAA and IHCDAs for technical support.

3. Shelters

An application and eligibility determination is not required for shelters.

Agencies should determine the number of countable completions based on shelter regulations detailing that a weatherization provider may count each 800 square feet of the shelter as a dwelling unit or each floor level as one unit, as noted in 10 CFR 440.22(f).

An individual file should be kept for the shelter job.
The following shelter rules and regulations apply to both DOE and LIHEAP funded weatherization projects. For energy audit purposes, a NEAT run must be performed on all shelters to determine the proper work scope.

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.

4. Rental Procedures

The benefits of weatherization to the occupants of rental units are protected in accordance with 10CFR440.22(b)(3). Indiana’s policy for the weatherization of rental units complies with 10CFR440.16(i), and all other pertinent regulations.

Sub-grantees must have the following procedures in place before proceeding with weatherization of a rental unit:

Written permission of the building owner or his agent before commencing;

Benefits of the services accrue primarily to the low income tenants residing in such units;

For a reasonable period of time after completion, the household will not be subjected to rent increases;

No undue or excessive enhancements shall occur to the value of the dwelling unit and

A landlord agreement/affidavit as required by the Sub-grantee.

Sub-grantees 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.

Landlords may be required to contribute financially toward the cost of completing a unit, and/or to complete specific work on the unit. In cases where the landlord meets the definition of low income, and is eligible for services, the sub-grantee cannot require financial participation on the part of the landlord.

Furthermore, sub-grantees will ensure that clients realize the primary benefits from the weatherization work. Sub-grantees may also include in their landlord policy a provision that does not require a landlord contribution if the landlord is a 501(c)(3) non-profit organization.

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, as noted in 10CFR440.22(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 10CFR440.22 (d).

Written permission of the landlord, or the landlord’s agent, must be obtained prior to the weatherization of the dwelling.

Landlord contributions are not to be counted as program income, but must be applied to the program in one of two ways.

Agencies that require landlord contributions must use a net system when charging weatherization. As an example, if the cost of the work is $4,000.00, and the landlord contributes 50%, or $2,000.00, weatherization may be charged for only the remaining $2,000.00.

Agencies that do not require landlord contributions, but receive contributions without stipulations as to their use, must then use those funds to enhance the weatherization program.

Sub-grantees are required to develop a written appeals process for dealing with rental units. The process should be available to resolve disputes over raising rent following the weatherization process.

The primary purpose of the weatherization program is to lower the total residential energy expenditures of low-income persons. Agencies are to ensure that no undue enhancement shall occur to increase the value of the dwelling units, as noted in 10CFR440.22 (b) (5)(iv). Undue enhancement is defined by DOE as any improvement to the property that goes beyond the scope of energy conservation work.

Agencies are not required to place liens on rental property that has been weatherized, but must ensure protection of the low-income household from improper eviction or sale of property. Agencies must be aware of the legal protection available and be prepared to make appropriate referrals when necessary.
Describe the deferral Process

While clients may meet eligibility requirements for weatherization, Sub-Grantees may defer a client because the housing unit is not a good candidate for weatherization. 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 may take place during any phase of the weatherization process, including but not limited to: during or after the energy audit, the work performance phase, or immediately following the identification of a health and safety risk to the occupants or to crew and contractors and must be in writing.

Postponement of work is advisable until deferral issues can be resolved either by the client and/or by alternative sources of assistance. Below are examples of existing conditions under which a dwelling unit can be deferred until certain corrective actions occur:

- Elevated carbon monoxide levels where abatement is not possible using WAP funds
- Existing moisture problems that cannot be resolved under the health and safety limits
- House with sewage or other sanitary problems that not only endangers the client, but the workers who will perform the weatherization work
- Occupant's health condition
- Building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and these conditions cannot be resolved in a cost effective manner
- Client is uncooperative, abusive, or threatening to crew, subcontractors, auditors, inspectors, or others who must work on or visit the house
- Extent and condition of lead-based paint in the house would potentially create further health and safety hazards
- The house has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by local or state building officials or utilities.
- The home is in foreclosure, for sale or condemned and the owner will not be occupying the units throughout the duration of the weatherization work.

Any existing condition that could endanger the health and/or safety of the work crew or subcontractor and cannot be safely abated within the scope of WAP

All sub-grantees 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 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

In addition to the possibilities mentioned above, IHCDA has made available State LIHEAP funds to be used to address deferral issues to move homes from deferral to weatherization ready. The guidelines for these funds are contained in Section 900 of IHCDA's Weatherization Policy and Procedures Manual.
Section 900 is attached to the SF-424.

All clients who are deferred must receive a letter outlining the reason(s) for the deferral.

A copy of the deferral letter must be placed in the client file. The deferral letter must be specific as to the reason(s) for the deferral, outline next steps for the client, and provide a timeline for action.

Indiana's Weatherization Policy and Procedures Manual outlines the client appeal process as follows:

**103  APPEALS PROCEDURE**

When a Weatherization Sub-Grantee determines that a household is ineligible, the sub-grantee, within ten (10) working 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 household 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.

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

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

1.  Local Review:

   Local review involves the written policy of each Weatherization Sub-Grantee Program Manager for handling client complaints or appeals of program decisions. The final step in the local process should involve a written determination by the sub-grantee's Executive Director.

2.  State Review:

   State Review occurs when a denied weatherization applicant is not satisfied with the local sub-grantee's determination. The appeal must include the stated reasons for the Client's objection to the denial decision, reasons must be based solely upon evidence supporting one (1) of the following circumstances:

   1.  Clear and substantial error or misstated facts which were relied on in making the decision being challenged/appealed;
   2.  Unfair competition or conflict of interest in the decision-making process;
   3.  An illegal, unethical or improper act; or
   4.  Other legal basis that may substantially alter the decision.

The applicant appeal must be made in writing and received by the Indiana Housing and Community Development Authority (IHCDA) within ten (10) days of receipt of the sub-grantee's final decision. The applicant appeal is to be sent to the IHCDA's Chief Community Programs Officer who, after review, will refer the appeal to the IHCDA Compliance Attorney.

The Respondent will receive written acknowledgement of receipt of the appeal within five (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 the Compliance Attorney in order to make a determination. The applicant, as deemed appropriate, shall have the opportunity to review all documentation submitted to IHCDA.

The IHCDA Compliance Attorney will have forty-five (45) days from IHCDA’s receipt of the written request for appeal to review the file and make a determination. The decision of the IHCDA Compliance Attorney is final.
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 deferred 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.

IHCDM monitoring staff reviews at least two deferred client files during monitoring.

V.1.3 Definition of Children
Definition of children (below age): 18

V.1.4 Approach to Tribal Organizations

☐ Recommend tribal organization(s) be treated as local applicant?
If YES, Recommendation. If NO, Statement that assistance to low-income tribe members and other low-income persons is equal.

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 440.15(a)(d).

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.

IHCDM contracts with twenty-two (22) sub-grantees, with 5 counties under RFP, to cover Indiana’s 92 counties. Of the twenty-two (22) sub-grantees, twenty (20) are community action agencies, one (1), People Working Cooperatively, is a non-profit agency, and one (1), Job Source (DBA Central Indiana Community Action Program), is a unit of local government.

In August 2013, IHCDM reassigned three counties of service territory from NWICA to NCCAA. This reassignment was originally temporary in nature. During the 2016-2017 funding cycle NCCAA was awarded 3 counties previously assigned to NWICA.

In December 2016, IHCDM decided to RFP Area V’s service territory consisting of Cass, Miami, Wabash, Howard, and Tipton counties. A public RFP will be posted in the 1st Quarter of 2017.

If one of the current 22 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 IHCDM and the awarded technical assistance provider, the sub-grantee in question will:

Be placed on a 120-day 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.

IHCDM 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, IHCDM 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, IHCDM will go through the following actions to
U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0066152, State: IN, Program Year: 2017)

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, IHICDA 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, IHICDA 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 440.15(a) and are capable of handling additional funds, as evidenced by their grant spending in conjunction with production benchmarks.

The following information is taken from Indiana’s Weatherization Policy and Procedures Manual referencing Reallocation of Funds, Tiered Funding Allocations, Request for Qualifications (RFQ), and Request for Proposals (RFP)

502.2 Reallocation of Funds

Sub-Grantees failing to spend at least 80% of their awarded grant funds could be subject to funding allocation reduction or redistribution at IHICDA’s discretion.

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
- Depth of existing waiting list
- Timely and accurate submission of past closeouts
- Financial and program management capacity

IHICDA will desktop monitor sub-grantee production, expenditure rates, and average cost per home throughout the life of each DOE or LIHEAP grant. 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 average cost per home of each DOE and LIHEAP Weatherization grant. Failure of the sub-grantee to maintain funding benchmarks, production levels, expenditure rates and/or the appropriate average cost per home may result in IHICDA reallocating funds. Any reallocation will be in an attempt to ensure proper utilization of Weatherization funds.

This desktop monitoring will consist of, at a minimum, a comparison of production as recorded in IWAP and the amount of grant funds claimed through IHICDAonline. This information will be used to track whether or not sub-grantees are maintaining the proper Average Cost Per Home for both DOE and LIHEAP as referenced and required above.

Please reference the IHICDA grant agreements in Section 3, Specific Terms, Letter O (for DOE) and Letter L (for LIHEAP) and Section 4, Administration of Funds (both DOE & LIHEAP) for additional information and guidance regarding the Average Cost Per Home and administration of Weatherization grant funds.

502.3 Tiered Allocation

Sub-grantees who have failed to meet program expenditure benchmarks across multiple program years, are experiencing financial difficulty, or appear to have a lack of proper programmatic oversight may, at IHICDA’s discretion, be placed on a tiered funding agreement. While on a tiered funding agreement 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 will result in a reduction in funding with unspent funds to be redistributed to other eligible sub-grantees.

Tiered funding agreements will be included as part of the sub-grantee grant agreement where applicable.

Sub-grantees placed on a Tiered Allocation should anticipate an increased level of claim review by IHICDA’s Community Programs staff.

502.4 Reduction of Funds

A sub-grantee may receive a reduction in funding if one of the following conditions is present:

- A sub-grantee voluntarily returns one or more counties within its service territory.
- A sub-grantee returns substantial amounts of allocated funds over multiple years
U.S. Department of Energy  
WEATHERIZATION ASSISTANCE PROGRAM (WAP)  
STATE PLAN/MASTER FILE WORKSHEET  

(Grant Number: EE0006152, State: IN, Program Year: 2017)

- A sub-grantee fails to complete a QIP within two consecutive program years  
- A sub-grantee fails to meet the expenditure benchmarks, as outlined in the grant agreements and budget forms, for multiple years.  
- A sub-grantee is experiencing financial difficulties

502.5 Request for Qualifications and Request for Proposals

The state may post a request for qualifications (RFQ) to identify organizations with qualifications suitable to provide service delivery within a particular service territory. The RFQ is designed to increase the service capacity of that local area and provide additional service opportunities to the program beneficiaries. A sub-grantee will be notified if an RFQ is posted for additional capacity provided within its service territory.

The goal is to find the most qualified service provider within a prescribed service territory. Therefore, it is important to note that RFQs 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. IHCD 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.

Following a request for qualifications (RFQ) a request for proposals (RFP) will be issued as IHCD deems it necessary.

The RFP may also be posted for the following reasons:

- The primary sub-grantee has been on a QIP 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 during monitoring visits for multiple program years  
- The primary sub-grantee voluntarily forfeits one or more counties within its service territory  
- IHCD has removed one or more counties from a sub-grantee due to performance issues  
- If a 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  
- The sub-grantee is not currently operating under an active Weatherization Assistance Program (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. IHCD 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 for Service Delivery

Once eligibility has been determined, an agency must follow its written client priority policy. Each Weatherization Administrator will develop written procedures by which it assigns priority to eligible households. Federal regulation 10 CFR 440.16(b) states that priority is given to households:

- With inhabitants who are elderly (age 60 years and older) or disabled (as defined in Indiana Energy Assistance Program Operations Manual)  
- With inhabitants who are children, which Indiana defines as people age 18 and under  
- Persons with disabilities  
- Are high residential energy users or that have a high energy burden

Sub-grantees are encouraged to use the Energy Assistance Program’s (EAP) matrix point system as a first-level sort for client service because matrix scores account for the aforementioned priority criteria. The matrix score already incorporates points for households who meet the priority criteria outlined above.

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.

Sub-grantees are monitored for compliance with the priority list during the annual file review process.

V.4 Climatic Conditions
Indiana's climatic data is compiled from the records of the National Oceanic and Atmospheric Administration (NOAA) from weather data collected from 150 sites in Indiana. Each sub-grantee has a unique sub-grantee average of heating degree days (HDD) that is determined by the weather data collected over the past 30 years from the counties the sub-grantee serves. For counties that did not have data collection sites, an average HDD was computed using data from adjoining counties. This step also ensures that sub-grantee service areas are in the same heat zone. Indiana has two heat zones, which are divided based on average HDD by the U.S. Energy Information Administration. The upper two-thirds of the counties in the state are in Zone 2, which means they have between 5,500-7,000 HDD. The lower one-third of the counties in the state are in Zone 3, which means they have between 4,000-5,499 HDD. In conducting tests for the waiver audit, homes are sampled from both climate zones. The formula used to calculate HDDs is as follows:

Take the base temperature of 65 degrees and subtract the average daily temperature for a given calendar day to equal the heating degree days (example: 65-55=10 HDDs);

Only days with average temperatures lower than the base temperature will be counted as HDDs;

Repeat this process for each day of the year; and

Add together the total HDDs for a sub-grantee's HDD's sum.

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

IHCDCA 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 an excellent staff of state 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.

IHCDCA 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 either the DOE approved site built/mobile home priority list or a properly completed NEAT/MHEA run. 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.

Pursuant to WPN 15-4, Indiana partnered with the Indiana Community Action Association (INCAA) (Indiana's IREC Accredited WX Training Center) and Saturn Management Resources (Mr. John Krigger) to align Indiana's Field Guide with DOE's Standard Work Specifications. IHCDCA received notice from DOE on March 20, 2015 that Indiana's SWS/Field Guide aligned document was approved. IHCDCA notified Indiana's Weatherization Network via email of the approval and provided two electronic links to the new document.

Indiana's field guide includes a chapter on mobile homes that guides the weatherization network to the proper approach to mobile home weatherization.

The field guide also includes a chapter with information and forms specific to Indiana's WAP.

Indiana also submitted ten (10) variance requests along with their aligned field guide and SWS document. Nine (9) of the ten (10) variance request were approved April 27, 2015.

Indiana plans to update its Field Guide in 2017 by partnering with the Indiana Community Action Association (INCAA) (Indiana's IREC Accredited WX Training Center) and Saturn Management Resources (Mr. John Krigger) to align Indiana's Field Guide with DOE's Standard Work Specifications.

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

Upon receiving DOE approval for Indiana's SWS/Field Guide, IHCDCA will make the document available to Indiana's Weatherization Network. Indiana's sub-grantees will be required to implement and adhere to the aligned document. IHCDCA will notify the Indiana Weatherization Network via email that the document has been approved and will provide the necessary links for access. The links will also be available on IHCDCA's website and identified within the IHCDCA Weatherization Policy and Procedures Manual.

Indiana's Weatherization Policy and Procedures Manual contains requirements that sub-grantees follow, among other regulations, Indiana's aligned Field Guide and SWS. Indiana's Weatherization sub-grantee Weatherization Program Managers must sign a form indicating that they have received the Policy and Procedures Manual and realize that they are required to follow it's guidance in implementing Indiana's Weatherization Assistance Program.

Effective April 1, 2016, Indiana's Weatherization Policy and Procedures Manual is updated annually at the start of the DOE funding cycle. The major goal in
V.5.2 Energy Audit Procedures
Audit Procedures and Dates Most Recently Approved by DOE

| Single-Family | Indiana uses a DOE approved priority list or NEAT for site-built homes. Specific details for use of the priority lists as well as NEAT are outlined in the comments section below as well as IHCDAs Policy and Procedures Manual. Approved September 15, 2016. |
| Manufactured Housing | Indiana uses a DOE approved priority list or MHEA for manufactured housing. Specific details for use of the priority lists and MHEA are outlined in the comments section below as well as IHCDAs Policy and Procedures Manual. Approved September 13, 2016. |
| Multi-Family | Handled on a case-by-case basis per DOE multi-family regulations. Sub-grantees must submit a plan to IHCDAs prior to starting process. Specific details are contained in the comments section below as well as IHCDAs Policy and Procedures Manual. |

Comments

Indiantas waiver audit priority list was compiled by conducting NEAT or MHEA audits utilizing housing stock based on single story, 2 story / Cape Cod style, and manufactured (mobile) homes. All site built homes meeting this criteria will require a NEAT run. Mobile homes built before 1978 or on a permanent foundation will require a MHEA run. Additional information is currently being gathered by the Indiana Community Action Association (INCAA) on manufactured double-wide homes on a permanent foundation for future approval from DOE to utilize MHEA. The results of the audit runs were analyzed by the Indiana Community Action Association (INCAA). Smart thermostats are considered on all three waiver audit priority lists as an infiltration reduction measure; this measure can be encouraged if documentation shows the client is unable to operate it. Following WPN 16-7, IHCDAs allows for replacement of incandescent bulbs with light-emitting diode (LED) and compact fluorescent (CFL) bulbs. They are targeted for areas where lights are left on for at least two hours a day. The projectled efficiency savings in electricity with LED bulbs and 75% with CFL bulbs over incandescent bulbs justifies the cost of the bulbs. This also includes LED fixtures, such as can lights.

Indians will be moving forward with replacement of gas and electric water heaters as an energy conservation measure following WPN 16-7. Training will be included through INCAA, and sub-grantees must request a replacement approval from IHCDAs prior to installation.

IHCDAs gathering data and feedback from sub-grantees and technical staff at INCAA to determine the feasibility of refrigerator replacement as a possible measure to consider for the 2017-2018 grant cycle. IHCDAs will consider refrigerator replacement on a case-by-case basis, and will, at a minimum, require either comprehensive metering of the existing unit to be performed, or a NEAT run performed, and data submitted to IHCDAs to be considered.

Indians audit procedures are described beginning with the next sentence.

Sub-grantee 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 same whole-home system approach, with the goal of aligning thermal and pressure boundaries on every home. Additionally, as part of the whole-home audit, excessive testing of combustion appliances is conducted to ensure client and worker health and safety. After the initial audit is completed, sub-grantee crews or contractors may then complete the weatherization work based on either the DOE approved waiver audit or a site specific audit using NEAT or MHEA. NEAT/MHEA are to be used when: heating system fails to meet the model of the priority list; when an auditor is unsure how to prioritize measures needed in a home based upon budget constraints; to cost justify furnace replacements or other measures for energy efficiency; or as required by IHCDAs or DOE or both. Indias site built and mobile home audit priority list were approved by DOE September, 2016. During 2016, as required by WPN 16-8, IHCDAs submitted their plan to address incidental repair costs within their priority lists to DOE. This plan was approved by DOE with notification being provided to IHCDAs October, 2016. The approved incidental repair plan is considered an amendment to Indias priority list resulting in Indias priority list continuing in effect until September, 2020.

The use of either a NEAT/MHEA Audit or Indiantas DOE approved Priority List ensures that all completed work meets DOE and IHCDAs expectations for quality and effectiveness. Effective 4/1/2017, IHCDAs will require sub-grantees to perform NEAT/MHEA audits on 20% of all homes weatherized using DOE funds.

Upon receiving approval for their waiver audit priority lists, IHCDAs has worked with INCAA to update the site built and mobile home work orders to reflect any changes resulting from the approval process. IHCDAs has provided all updated waiver audit information to Indiana's Weatherization Network via email as well as posting the information on IHCDAs and INCAAs websites, and issued an appropriate update memorandum to IHCDAs Weatherization Policy and Procedures Manual.

The following information explains Indias use of and approach to incidental repairs within their Weatherization Assistance Program: IHCDAs has implemented new work orders for
single story, 2 story / "Cape Cod" style, and manufactured (mobile) homes. The changes to the work orders are a result of properly addressing incidental repair costs as directed and approved by DOE. The new Work Orders establish price limits for incidental repairs for both individual measures and the entire job/home. The new Work Orders are available in PDF versions in the updated Indiana Weatherization Policy & Procedures Manual and on INCAA's Intelligent Weatherization website. The electronic version of the Work Orders have been updated and are located on INCAA's Intelligent Weatherization website.

WPN 12-9 Incidental Repair Guidance breaks down additional costs in three ways: Incidental, Ancillary and H&S.

Ancillary repair costs must be included with the Energy Conservation Measure (ECM) - these are items necessary for the proper installation/completion of the ECM. The items are typically minor and this is what gets entered into the Additional Costs box for the individual measures.

Incidental Repair Measures are deemed necessary for the effectiveness of an ECM. Incidental Repairs are not to be included in the individual measure costs for a particular ECM.

In NEAT/MHEA, (following DOE guidance) an Incidental Repair Measure (IRM) needs to be associated legitimately with an Energy Conservation Measure but is not tied to the SIR for that ECM. The IRM is tied to the overall job SIR and the cost limit is tied to that overall job SIR.

If a sub-grantee is using the Priority List, they are limited to 17% of that particular ECM cost as the maximum they can spend on an IRM for that measure. That 17% is the maximum for each ECM. This is not tied to the overall SIR of the job because if they do not exceed 17% for each ECM, the SIR for each ECM will not drop below 1 and, thus, the overall cannot fall below 1.

If a sub-grantee is using the Priority List and they have an IRM that they really want to do, but it exceeds the 17% for that particular measure you are associating it with, they will have to do a NEAT/MHEA run to justify the additional cost.

Indiana's approved audit priority lists are as follows:

**Single-Story Site Built Home Waiver Audit:**

- **Health & Safety**
  - Combustion Appliance Replace / Repair, General Safety

- **General Heat Waste ($250 Limit)**
  - Water Heater System Treatment
  - Tank Wrap
  - Water Pipe Insulation
  - Low Flow Shower Heads
  - Low Flow Faucet Aerators
  - Lighting
  - Comfort Air
  - Client Education

- **Infiltration Reduction (includes duct sealing)** - (Incidental Repairs: $0.17 / $1.00 spent)

- **Smart Thermostat**

- **Insulate Un-insulated (R-0 / no insulation) attics to R-38 final** - (Incidental Repairs: $0.17 / $1.00 spent)

- **Insulate Un-insulated Duets Outside Thermal Boundary** - (Incidental Repairs: $0.17 / $1.00 spent)

- **Insulate Un-insulated Walls (tube-in)** - (Incidental Repairs: $0.17 / $1.00 spent)

- **Insulate partially insulated (R-1 to R-19) attics to R-38 final** - (Incidental Repairs: $0.17 / $1.00 spent)

- **Insulate Box Sills to R-11** - (Incidental Repairs: $0.17 / $1.00 spent)
  - All Electric
  - Gas - Northern 4 Sub-grantees Only

- **Insulate Foundations to R-11** - (Incidental Repairs: $0.17 / $1.00 spent)
  - All Electric
  - No Gas Homes

*Incidental Repair costs limited to $500.00 for entire dwelling completion.*

**Two Story / "Cape Cod" Style Site Built Waiver Audit:**

- **Health & Safety**
  - Combustion Appliance Replace / Repair, General Safety
General Heat Waste ($250 Limit)
   Water Heater System Treatment
   Tank Wrap
   Water Pipe Insulation
   Low Flow Shower Heads
   Low Flow Faucet Aerators
   Lighting
   Comfort Air
   Client Education

**Infiltration Reduction (includes duct sealing) - (Incidental Repairs: $0.17 / $1.00 spent)**

**Smart Thermostat**

**Insulate Un-insulated Attic Flats (R-0 / No Insulation) to R-38 final - (Incidental Repairs: $0.17 / $1.00 spent)**

**Insulate Un-insulated Ducts Outside Thermal Boundary - (Incidental Repairs: $0.17 / $1.00 spent)**

**Insulate Un-insulated Walls (tube-in) - (Incidental Repairs: $0.17 / $1.00 spent)**

**Insulate partially insulated (R-1 to R-19) attics to R-38 final - (Incidental Repairs: $0.17 / $1.00 spent)**

**Insulate Box Sills to R-11 - (Incidental Repairs: $0.17 / $1.00 spent)**
   - All Electric
   - Gas - Northern & Central Sub-grantees Only

**Insulate Foundations to R-11 - (Incidental Repairs: $0.17 / $1.00 spent)**
   - All Electric
   - Gas - Northern & Central Sub-grantees Only

**Insulate Un-Insulated Slopes (to cavity depth) - (Incidental Repairs: $0.17 / $1.00 spent)**

**Insulate Un-Insulated Knee Wall (to cavity depth) - (Incidental Repairs: $0.17 / $1.00 spent)**

*Incidental Repair costs limited to $500.00 for entire dwelling completion.*

**Mobile Home Waiver Audit:**

**Health & Safety**
   Combustion Appliance Replace / Repair, General Safety

**General Heat Waste ($250 Limit)**
   Water Heater System Treatment
   Tank Wrap
   Water Pipe Insulation
   Low Flow Shower Heads
   Low Flow Faucet Aerators
   Lighting
   Comfort Air
   Client Education

**General Air Sealing - (Incidental Repairs: $0.17 / $1.00 spent)**
   Duct Sealing

**Smart Thermostat**

**Roof Fiberglass / Loose - (Incidental Repairs: $0.17 / $1.00 spent)**

**Belly Insulation - (Incidental Repairs: $0.17 / $1.00 spent)**

**Wall Insulation - (Incidental Repairs: $0.17 / $1.00 spent)**

*Incidental Repair costs limited to $500.00 for entire dwelling completion.*
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. A dwelling that receives furnace work in excess of simply a clean and tune requires an interim inspection if the work was not performed by an Indiana-trained “Competent Retrofit Installer-Mechanical”. If the home is a total electric home, no interim inspection is required. If a job cannot be completed within 45 days of invoice, an interim inspection can be conducted on a home with any type of heating system to verify that the heating work is done correctly and payment can be made within 45 days of invoice.

Per DOE WPN 11-03, paying for additional work on homes that have already been reported to DOE is not a permissible use of DOE WAP funds. IHCDCA procedures state that a dwelling unit may not be reported as completed until a final inspection has been performed in accordance with 440.16(g). It has been certified that the work has been completed in a workmanlike manner and in accordance with approved procedures in 440.21, and all materials have been properly installed.

As a result of WPN 15-4, Indiana's Final Inspector Competency has been replaced with the Quality Control Inspector (QCI) Certification. Effective April 1, 2015 every completed home in Indiana must be inspected by a QCI certified individual.

IHCDCA ensures compliance with 440.16 (g) and WPN 15-4 by monitoring at least 10% of client files and at least 5% of homes completed by each sub-grantee.

IHCDCA has mandated in their Weatherization Policy and Procedures Manual that effective April 1, 2015 the same individual that performs the initial audit cannot perform the final inspection. Should any of IHCDCA's sub-grantees desire a waiver for the separation of duties, said sub-grantee must seek IHCDCA approval for such a waiver. IHCDCA will evaluate such requests on a case by case basis. Part of this evaluation process will be determining if IHCDCA has the personnel or other available resources to double the technical monitoring percentage of the sub-grantee requesting the waiver. None of IHCDCA's 22 sub-grantees requested a waiver during the 2016-2017 DOE funding cycle.

IHCDCA in cooperation with INCAA developed a standardized final inspection form to be used by Indiana's sub-grantees and technical monitor. IHCDCA has attached a copy of this QCI form to the SF-424.

To meet the Quality Control Inspector (QCI) requirement as outlined in WPN 15-4 Indiana currently has 54 certified QCIs in place. All 22 of Indiana's sub-grantees either have a certified QCI on staff or has made contractual arrangements to meet the requirements outlined in WPN 15-4. IHCDCA will continue to provide testing opportunities within INCAA's Technical and Training Assistance contract to provide an ongoing opportunity for ongoing QCI testing. IHCDCA hopes to continue adding QCI certified individuals throughout the 2017 Program Year. IHCDCA feels there will continue to be a need to add QCI individuals to Indiana's Weatherization Network to allow for staff turnover, retirements, etc. Adding additional QCIs seems to be the best way of ensuring that Indiana will continue their ability to meet the QCI requirement.

In addition to the QCIs mentioned above, four trainers from INCAA have achieved the QCI certification. On the grantee level, IHCDCA's Weatherization Program Manager and Weatherization Program Monitor have achieved their QCI certification.

Currently, IHCDCA 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.

Each one of IHCDCA's Weatherization sub-grantees are required to track and document all training and certifications of both Weatherization staff and subcontractors. IHCDCA 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. IHCDCA is encouraging their network to test for this certification. Indiana currently has twenty-one (21) individuals who have successfully obtained the DOE/BPI Energy Auditor Certification.

During the 2016-2017 DOE Program cycle Indiana utilized T&TA funding through INCAA to develop training curriculum to equip QCIs with the qualification to inspect multi family units. Currently Indiana requires that sub grantees submit a plan to IHCDCA prior to weatherizing any multi family complexes with more than five units. With this approach, IHCDCA continues to ensure that qualified QCIs are in place prior to large multi family units being weatherized. This training curriculum will continue in the 2017-2018 DOE Program cycle.

The following language is present in IHCDCA's Weatherization Policy and Procedures Manual to guide the QCI process: 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 DOE/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 15-4. 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, IHCDa will, at the very minimum, place the sub-grantee on a Quality Improvement Plan (QIP). Should the QIP fail to correct the issues, IHCDa will pursue further remedies for noncompliance as allowed in their Weatherization Policy and Procedures Manual and the sub-grantee grant agreement (contract).

V.6 Weatherization Analysis of Effectiveness

Energy Saving Effectiveness:

Starting in 2010, IHCDa and INCAA transitioned their method of assessment of weatherization effectiveness from Princeton Score keeping Method (PRISM) to work in conjunction with the Building Energy Analysis of Consumption (BEACon) system. This combination allows IHCDa to review a larger selection of homes for energy efficiency improvements, produces better electric savings information, and cuts down on administration costs in the long run since information can be gathered electronically. BEACon will be used when available during the 2017-2018 Program Year as it has provided more reliable savings results both for natural gas and electricity.

When available, the reports generated by the BEACon system provide results that are both based upon state wide averages as well as individual sub-grantees. These results are shared with each sub-grantee so that they know how they are performing. The information not only provides overall energy savings but provides indicators as to how each energy auditor, crew and contractor are performing. IHCDa strongly encourages each sub-grantee to utilize the information as a tool to identify where program improvements are needed.

IHCDa reviews the reports generated by the BEACon system to assess incentive pool participation, to gauge performance of sub-grantees in relation to energy savings, to gauge success of Indiana’s WAP as a whole and project future needs.

Indiana also utilizes an incentive pool process in conjunction with issuing funding allocations that promotes energy savings and sound program management. DOE and LIHEAP allocations are distributed using the census-based allocation formula for 83% of Weatherization Sub-Grantees contracted funds. The remaining 15% of the allocation is distributed out to those Weatherization Sub-Grantees who meet all of the following criteria:

1. 95% or more of the prior program year contract total must have been expended.
2. Close Out Reports must be submitted and approved on time (within 45 days after the program year ends). IHCDa DMS, IWAP Quarterly, Job Expense and sub-grantee Close Out report must match exactly when final claims are processed, with all line items and averages being within allowable limits.
3. A 15% average energy savings as determined by PRISM/BEACon analysis of local sub-grantee production.
4. No Weatherization Sub-Grantee operating under a 120-day or modified Quality Improvement Plan (QIP) will be included in the incentive pool.
5. Weatherization Sub-grantees must demonstrate regular use of the XRF for lead based painting testing.
6. 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 awarded 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’s Community Programs Manager reviews all reports prepared by the Community Programs Monitor and IHCDa’s contracted monitoring team prior to them 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.

During the 2016-2017 DOE funding cycle, IHCDa and INCAA performed Optimizing Weatherization Resources Training. This training was targeted for Executive Directors, Fiscal Managers, and Weatherization Managers, and was intended to ensure that staff was aware of not only the federal guidelines regulating the use of Weatherization funds, but understand how to best use them in gaining enhanced energy efficiency for the clients we serve.
V.7 Health and Safety

- It is imperative to ensure that weatherization activities do not cause or exacerbate health and safety problems for workers and clients. As such, DOE-approved health and safety measures are undertaken to ensure that the pending weatherization work does not create dangerous living conditions for the client. Health and safety activities are conducted within reasonable cost boundaries that get the home to a condition where weatherization work can move forward.

Health and Safety Plan Updates
- In 2011, Indiana was granted approval to utilize up to 20% of the 2011 award for Health and Safety. Since that time, Indiana has maintained the level for Health and Safety spending at 20%. Indiana intends for the Health and Safety limit to remain at 20% for the 2017-2018 funding cycle. The Health and Safety expenditures are limited to 20% of Indiana's $7,000.00 average cost per dwelling unit (ACPU) resulting in a Health and Safety average of $1,215 per dwelling.
- IHCD has developed a system of guidelines for determining and documenting potential issues that will prevent a dwelling from being weatherized. This system includes determining how/when these issues should be remedied, referred to other agencies, or lead to deferral. Auditors discuss these issues with the client after their initial audit. At this time, they inform the client of potential issues that will not allow their home to be weatherized. Sub grantees document the issues on the moisture assessment form (which is signed by the client at initial inspection), the gas appliance inspection form, and/or the appropriate heating system form. Clients are informed of the issues that caused deferral and what must be remedied prior to weatherization in their official deferral letter sent from the sub-grantee. Auditors and sub-grantees are charged with providing information to the client about how to correct the issue(s) that caused deferral and refer them to appropriate agencies to possibly assist them in getting their home into a condition which would allow for weatherization.
- In an effort to bridge the gap between deferral and weatherization, IHCD offered Community Development Block Grant (CDBG) Owner Occupied Rehabilitation (OOR) funds to the current weatherization sub-grantees through a competitive bid process. While the funds are not automatically reserved for Weatherization sub-grantees, each sub-grantee has the opportunity to apply for funding. OOR funds may be used for the following:
  - Hard costs associated with rehabilitation activities
  - Mold remediation
  - Lead-based paint interim controls and abatement costs
  - Accessibility modifications, as part of the required rehabilitation
  - Replacement of gas ranges/stove (allowed only if the gas range/stove is a health and safety issue)
- IHCD has made State LIHEAP funds available to all 22 sub-grantees that can be used to address deferral issues for owner occupied client housing. The use of these funds is outlined in Section 900 of IHCD’s Policy and Procedures Manual and is attached to the SF-424.

It is IHCD’s intent that these funds ultimately reduce the number of deferrals encountered by the weatherization program and ultimately improve both the structural safety and energy efficiency of the affected homes.

- Sub-grantees are to use DOE health and safety funds when it is determined that the issue can be addressed completely within the confines of allowable health and safety measures and the home can be weatherized upon the completion of those health and safety measures. IHCD will investigate appropriate uses of health and safety funds at monitoring visits to ensure that homes that can receive health and safety work actually do and ensure that homes that are deferred are not deferred if health and safety funding could have been used to address the issue(s). Additionally, monitors will look into a sub-grantee’s use of health and safety funds if an excessive amount was used on a home that should have been deferred. Ultimately, the decision to use Health and Safety lies with the sub-grantee when making the call to weatherize or defer a home.
- IHCD currently provides training for health and safety issues through IHCD’s training and technical services contractor (INCAA). Training and technical assistance is available for all sub-grantee staff and contractors in the state. IHCD works with INCAA to ensure that all new and existing health and safety requirements are met.
- Indiana’s ASHRAE 62.2 form and procedures have been updated to meet the current ASHRAE 62.2 updates.
- INCAA, Indiana’s Accredited Weatherization Training Center, offers courses on Applying the ASHRAE 62.2 and DOE Health & Safety Policy.
- IHCD installs smoke detectors in every home weatherized that does not have one and those in homes with existing detectors.
- IHCD installs carbon monoxide detectors in every home weatherized (with gas appliances and/or attached garages) that does not have one and tests those in homes with existing detectors.
- Indiana is a cold weather state, as determined by heating degree data. As such, IHCD does not allow for the installation of air conditioners as a DOE weatherization expense. See the guidelines below for Indiana’s protocols on heating system installation.
- If problems are discovered during the testing of combustion gases, sub-grantees will take the necessary steps for repairs or replacements prior to performing any additional work on the home. The sub-grantee must then perform all appropriate health and safety testing to verify that issues have been resolved and it is safe to proceed with work on the home. Test results and required repairs are recorded in Indiana’s Gas Appliance Inspection Form.
- IHCD incorporated checking for Material Safety Data Sheets (MSDS) into its monitoring practices in 2011 and that practice continues for the FY 2016 funding cycle. Indiana has updated its Weatherization Policy and Procedures Manual so that the MSDS now is referenced as SDS (Safety Data Sheet). During in-progress visits, IHCD’s monitor will randomly choose an item being used by sub-grantee crews/contractors and will then request to see the SDS for that particular item. Monitors will also ensure that safe work practices are being followed at the in-progress site visits. Furthermore, IHCD, working with the Environmental Management Institute (EMI), is able to conduct both the 10 and 30 hour OSHA training for sub-grantee staff and contractors. The OSHA 10 hour training is required for all weatherization workers. The OSHA 30 hour training is required for all crew leaders and HVAC personnel working alone. All new weatherization workers must receive the appropriate OSHA training within six months commencing 45 days from the date
of hire. Indiana will continue to require the OSHA 10 and OSHA 30 hour training as described above. IHICDA has provided guidance following OSHA Confined Space information released in WAP Memorandum 013, introduced at the Semi-Annual Manager’s Meeting (SAMMs) in December, 2015.

- If an auditor finds mold in a client’s home, the client is notified via the moisture assessment form, which the client must sign before the auditor leaves the home. Clients also receive a pamphlet and education on mold and moisture, which outlines the mold issues in their home. The method that auditors use to identify mold is outlined in the section about mold below. All subcontract field staff and contractors are trained in mold identification.
- Monitors verify Lead Renovator and Lead Firm status at the time of monitoring to ensure that each crew and contractor firm have sufficient renovators to ensure lead safe work practices are adhered to at all applicable job sites. IHICDA requires all crews and contractors to take pictures documenting their use of Lead Safe Work Practices in order to be paid for the procedures.
- Several state agencies and organizations have joined together to devise a holistic approach to creating healthy homes for Indiana citizens. As such, IHICDA added to its auditing procedures that auditors must screen clients for known or suspected health concerns while performing their audit of the home. Inquires into potential H&S concerns or pre-existing conditions will be addressed by the Auditor on two occasions: when the client is initially contacted to schedule their appointment and when the Auditor meets with the client for the initial audit. Auditors should be aware of and document the health concerns of the household occupants and ensure that weatherization of the home does not worsen their health concerns. Using the information on the moisture assessment form, following the minimum ventilation rates, proper installation of ASHRAE ventilation, and testing combustion appliances allows the auditor to prevent increased health problems for the client. This topic is also discussed in auditor training classes.

IHICDA realizes that deferrals will be necessary at times while administering the WAP. The following underlined information documents Indiana's approach to deferral as contained in Section 300, Subsection 304 of Indiana's Weatherization Policy and Procedures Manual.

While clients may meet eligibility requirements for weatherization, Sub-Grantees may defer a client because the housing unit is not a good candidate for weatherization. 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 for health and safety reasons.

Deferrals may take place during any phase of the weatherization process, including but not limited to: during or after the initial audit, the work performance phase, or immediately following the identification of a health and safety risk to the occupants or to crew and contractors. Client must receive notice of the deferral and explanation in writing.

Postponement of work is required until deferral issues can be resolved either by the client and/or by alternative sources of assistance. Below are examples of existing conditions under which a dwelling unit can be deferred until certain corrective actions occur:

- Elevated carbon monoxide levels where abatement is not possible using WAP funds
- Existing moisture problems that cannot be resolved under the health and safety limits
- Unit with sewage or other sanitary problems that not only endangers the client, but the workers who will perform the weatherization work
- Occupant's health condition
- Building's structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and these conditions cannot be resolved in a cost effective manner
- Client is uncooperative, abusive, or threatening to crew, subcontractors, auditors, inspectors, or others who must work on or visit the unit
- Extent and condition of lead-based paint in the house would potentially create further health and safety hazards
- The unit has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by local or state building officials or utilities.
- The unit is in foreclosure, for sale or condemned and the owner will not be occupying the unit throughout the duration of the weatherization work.
- Any existing condition that could endanger the health and/or safety of the work crew or subcontractor and cannot be safely abated within the scope of weatherization.

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 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
- State LIHEAP funds as outlined in section 908 (IHICDA's Weatherization Policy & Procedures Manual)

All clients who are deferred must receive a letter outlining the reason(s) for the deferral. A copy of the deferral letter must be placed in the client file. The deferral letter must be specific as to the reason(s) for the deferral, outline next steps for the client, and provide a timeline for action.

Any client who has received a deferral by a local sub-grantee must be allowed to pursue an appeal. The appeal will follow the established procedure set forth in the Section 101 of this manual.
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 deferred invoice that the charge was for a deferred home and is not attributable to any particular completion.

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

Health and Safety Issues

Health and safety issues must be remedied before, or because of, the installation of weatherization materials.

The following provisions apply to the health and safety issues listed further below, where applicable:

- Proper disposal of replaced appliances will include the removal of the old appliance from the client’s premises. Recycling is encouraged when possible. In the event of replaced heating systems and water heaters, the replaced units will be disabled at the time of removal to prevent the appliance from being installed or used in a different location.
- Where hazards are identified, clients will be informed in writing of the hazards on the final inspection form or the moisture assessment form - both of which the client signs. A copy of the form(s) is kept in the client file.
- State and local codes must be followed while installing health and safety measures.
- Crews and contractors installing health and safety measures must be trained per IHCDAs’ training guidelines as outlined in Section 600 of IHCDAs’ Weatherization Policy and Procedures Manual.

Air Conditioning and Heating Systems

Action/Acceptability:

If the heating and air conditioning system is operable the system must be run through NEAT or MHEA first to determine if it is allowable to be replaced as an energy conservation measure. If it calls for a replacement, only the heating system would be replaced because Indiana is a heating state. "Red tagged", inoperable or nonexistent heating system replacement, repair, or installation is allowed with DOE funds; IHCDAs does not allow DOE funds to be used for replacing air conditioners. Repairs to an air conditioning system may only be made when current operation of the AC unit endangers the operation of the furnace. Repairs can be charged to either DOE or LIHEAP. The sub-grantee will first determine whether repairs can effectively be made to the heating system to enable it to operate safely, rather than require a replacement. Sub grantees are allowed to replace heating systems in certain circumstances, as follows:

- A verifiable condition exists that allows combustion gases to enter the living environment. For example, a breach in the heat exchanger that allows combustion gases to mix with the air in the ductwork.
- An improper application of a non-sealed combustion furnace, installed in a mobile home. Mobile homes are required to have furnaces that draw their combustion air from outside the carriage. The installation of a furnace intended for use in site built homes could cause serious concentrations of combustion gases in the living environment by causing the furnace to back-draft.
- Inefficient furnaces can be replaced when a NEAT or MHEA run shows the replacement to meet a SIR of 1 or greater.

Sub-grantees must seek approval from IHCDAs prior to weatherizing homes without an existing heat source.

The sub-grantee may not continue with weatherization work, particularly air sealing the structure, until the combustion gases have been appropriately vented away from the living area. In the case of a plugged or non-functioning vent on a combustion appliance, appropriate steps must be taken to repair, or replace, the vent.

Before a furnace is installed in a weatherization dwelling unit, the proper size of the furnace must be determined. Sub grantees will determine the most effective output size of the replacement furnace using Manual J heat load calculations or other appropriate methods.

Furnace replacements in Indiana’s Weatherization Assistance Program are justified by Indiana’s Heating Degree Days numbering in the range of 4,000 – 5,499 in the lower one-third of the State and 5,500 – 7,000 in the upper two-thirds of the State. This climatic information is incorporated into Indiana’s NEAT and MHEA runs as well as their Site Built and Mobile Home Waiver Audits.

Testing:

Health and safety inspections make sure that systems are present, operable, and performing. The health and safety inspection of combustion appliances, including heating systems, includes the following items:

- The rated and measured BTU input of each gas furnace
- A complete electrical inspection of the furnace including proper grounding, polarity, wiring connections, fuse type and size, element amperage (electrical furnace), disconnect requirements and conduit requirements
- An inspection of all gas lines in the home from the source to the gas appliances or line termination. This includes all fittings, connections, shut-off valves, gas valves, sediment traps and end caps
- An inspection for spillage and a reading of the draft of gas furnaces and water heaters (Completion of the Indiana Gas Appliance Inspection Form)
A visual check for flame interference
A test of the setting and operation of the high limit control switch
An evaluation of the adequacy of combustion air for combustion appliances
A check that there are no open return air ducts/leaks in the Combustion Appliance Zone
Carbon monoxide testing of all gas appliances
An inspection, and replacement if necessary, of the furnace filter
Worst case draft test

Client Education:

Auditors will discuss and provide information on appropriate use and maintenance of units and proper disposal of bulk fuel tanks when not removed.

Training:

Auditors receive extensive training in the evaluation of combustion appliances, including heating systems. Home evaluation forms that document existing combustion appliance functionality and combustion gas presence are required to be in every client file. Measurement and careful consideration of the air leakage rate of the dwelling unit prior to, and during, the course of air sealing, are important steps in the weatherization process to ensure safety and appropriateness of the weatherization measures.

Appliances and Water Heaters

Action/Allowability:

Following WPN 16-7, the replacement of gas and electric water heaters is listed as an approved weatherization material by DOE. Replacement and installation of other appliances, including gas cook stoves, are not allowable health and safety costs. Replacement of gas cook stoves is only allowable with LIHEAP funds and in following appropriate LIHEAP program rules. Repair and cleaning of water heaters, stoves and furnaces are allowed.

Indiana’s Weatherization Program justifies a replacement with health and safety funds for the following reasons:

- Existing water heater is leaking beyond repair hindering the Weatherization process from proceeding and causing continuing and worsening moisture conditions in the home,
- Gas burner deficiencies, venting issues [draft], interior baffle issues, or a combination of such that renders the water heater beyond repair and a safety hazard to the household, and/or
- Carbon monoxide production above Indiana’s standards that cannot be lowered by cleaning, adjusting or repairing.

If the total repair costs for any of the issues stated above would exceed the cost for installation upon initial inspection, sub-grantees will be required to install a new unit. Sub-grantees are required to document the reasons for replacing the water heater in the client’s file.

Testing:

Sub-grantees will determine whether water heaters are performing safely. Combustion safety testing is required when combustion appliances are present. The health and safety inspection of combustion appliances, including water heaters, includes the following items:

- An inspection of all gas lines in the home from the source to the gas appliances or line termination. This includes all fittings, connections, shut-off valves, gas valves, sediment traps and end caps
- An inspection for spillage and a reading of the draft of gas furnaces and water heaters (Completion of the Indiana Gas Appliance Inspection Form)
- A visual check for flame interference
- A test of the water temperature with adjustments made as close to 120 degrees as possible
- An evaluation of the adequacy of combustion air for combustion appliances
- A check that there are no open return air ducts/leaks in the Combustion Appliance Zone
- Carbon monoxide testing of all gas appliances
- Check for a properly installed temperature and pressure relief valve on the water heater
- Worst case draft test

Client Education:

Discuss and provide information on appropriate use, maintenance, and disposal of water heaters.

Training:

Auditors receive extensive training in the evaluation of combustion appliances, including water heaters. Home evaluation forms that document existing combustion appliance functionality and combustion gas presence are required to be in every client file. Measurement and careful consideration of the air leakage rate of the
dwelling unit prior to, and during, the course of air sealing, are important steps in the weatherization process to ensure safety and appropriateness of the weatherization measures.

Asbestos - in siding, walls, ceilings, etc.

**Action/Allowability:**

Removal, cutting or drilling of asbestos siding is not allowed. In homes where asbestos siding exists and exterior wall insulation is needed, IHCDCA recommends, where possible, insulating the walls from the interior of the home.

**Testing/Sampling:**

Sampling and testing for asbestos may only be performed by Indiana licensed asbestos building inspectors and is not required by IHCDCA.

**Client Education:**

Inform the client that suspected asbestos siding is present and how the presence of asbestos will affect the flow of Weatherization services.

**Training:**

Asbestos training is available at the Environmental Management Institute (EMI). Neither asbestos training nor certification is required by IHCDCA. As such, IHCDCA does not cover the cost for asbestos training. Basic knowledge of asbestos is covered within the scope of other Weatherization trainings offered through INCAA.

**Client Education:**

Inform the client that suspected asbestos siding is present and how precautions will be taken.

**Training:**

Contractor training courses will teach safe practices for siding removal and replacement and how to identify asbestos containing materials.

Asbestos - in vermiculite

**Action/Allowability:**

When vermiculite is present, unless testing determines otherwise, IHCDCA recommends taking precautionary measures as if it contains asbestos. Safe practices include, but are not limited to, utilizing the appropriate personal protective equipment, limiting dust production, limiting foot traffic from the attic to the home, wetting the area to be disturbed and limiting the amount of vermiculite disturbed. Where blower door tests are performed, it is a best practice to perform pressurization instead of depressurization.

**Testing/Sampling:**

Sampling and testing for asbestos may only be performed by Indiana licensed asbestos building inspectors and is not required by IHCDCA.

**Client Education:**

Clients will be notified of the existence of vermiculite in the attic and basic precautions against disturbing the material.

**Training:**

Asbestos training is available at the Environmental Management Institute (EMI). Neither asbestos training nor certification is required by IHCDCA. As such IHCDCA does not cover the cost for asbestos training. Basic knowledge of asbestos in vermiculite is covered within the scope of other Weatherization trainings offered by INCAA.

Asbestos - on pipes, furnaces, other small covered surfaces

**Action/Allowability:**

Auditors receive training within other courses offered at INCAA instructing them on the appearance of asbestos tape and insulation. Upon finding these materials in homes the auditors should assume that these materials contain asbestos and use precautionary measures including, but not limited to, utilizing appropriate personal protective gear, limiting dust production and limiting disturbance of the material.
Testing:

Sampling and testing for asbestos may only be performed by Indiana licensed asbestos building inspectors and is not required by IHCD.

Client Education:

Clients should be instructed not to disturb suspected asbestos containing material. Auditors will provide asbestos safety information to the client.

Training:

Asbestos training is performed at the Environmental Management Institute (EMI). Neither asbestos training nor certification is required by IHCD. As such, IHCD does not cover the cost for training. Basic knowledge of asbestos is covered within the scope of other Weatherization trainings offered by INCAA.

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

Action/Allowability:

Biological concerns or unsanitary conditions are cause for deferral unless other funds are available or the cost is considered when running NEAT or MHEA. Addressing bacteria and viruses is not an allowable cost. Deferral might be necessary in cases where a known agent is present in the home that might create a serious risk to occupants or weatherization workers.

Testing:

Auditors will conduct a sensory inspection for biological and unsanitary conditions.

Client Education:

Auditors will inform the client of observed conditions. Auditors will provide information on how to maintain a sanitary home and steps to correct deferral conditions.

Training:

Auditors receive training on how to recognize biological and unsanitary conditions and when those conditions are cause for deferral. Auditors are also trained in worker safety when coming into contact with biological and unsanitary conditions.

Building Structure and Roofing

Action/Allowability:

Building rehabilitation is beyond the scope of the Weatherization Assistance Program. Homes with conditions that require more than incidental repairs should be deferred or repaired to a condition where weatherization can occur by using OOR funds (see above for restrictions).

Testing:

Auditors will conduct a visual inspection of the building structure and roofing. Auditors will ensure that access to areas necessary for weatherization is safe for entry and performance of assessment, work, and inspection.

Client Education:

Auditors will notify clients of structurally compromised areas.

Training:

Auditors are trained on how to identify structural and roofing issues.

Code Compliance

Action/Allowability:

Correction of preexisting code compliance issues is not an allowable cost in areas other than where weatherization measures are installed. State and local (or jurisdiction having authority) codes must be followed while installing weatherization measures. Condensed properties and properties where "red tagged" health and safety conditions exist that cannot be corrected under this guidance should be deferred or repaired with OOR funds (see above).
Testing:

Auditors will conduct a visual inspection for local code enforcement inspections.

Client Education:

Clients will be informed of observed code compliance issues.

Training:

Auditors are trained in how to determine what code compliance may be required.

Combustion Oases

Action/Allowability:

All gas furnaces, space heaters, and water heaters must be properly vented to ensure all flue products exit the home. Flue systems must be in compliance with all applicable state and local codes and be verified to vent properly by passing all IHCDCA required draft testing. Repair and/or replacement of vent systems are an allowable cost for DOE Health & Safety and LIHEAP Mechanical funding.

The sub-grantee may not continue with weatherization work, particularly air sealing the structure, until the combustion gases have been appropriately vented away from the living area. In the case of a plugged or non-functioning vent on a combustion appliance, appropriate steps must be taken to repair, or replace, the vent.

Testing:

Health and safety inspections make sure that systems are present, operable, and performing. The health and safety inspection of combustion appliances, including heating systems, includes the following items:

- The rated and measured BTU input of each gas furnace
- A complete electrical inspection of the furnace including proper grounding, polarity, wiring connections, fuse type and size, element amperage (electrical furnace), disconnect requirements and conduit requirements
- An inspection of all gas lines in the home from the source to the gas appliances or line termination. This includes all fittings, connections, shut-off valves, gas valves, sediment traps and end caps
- An inspection for spillage and a reading of the draft of gas furnaces and water heaters (Completion of the Indiana Gas Appliance Inspection Form)
- A visual check for flame interference
- A test of the setting and operation of the high limit control switch
- An evaluation of the adequacy of combustion air for combustion appliances
- A check that there are no open return air ducts/leaks in the Combustion Appliance Zone
- Carbon monoxide testing of all gas appliances
- An inspection, and replacement if necessary, of the furnace filter
- Check for a properly installed temperature and pressure relief valve on the water heater
- A measurement and adjustment, if needed, of the water temperature
- Worst case draft test

Client Education:

Auditors will provide clients with combustion safety and hazards information, including the importance of using exhaust ventilation when cooking and the importance of keeping burners clean to limit the production of CO.

Training:

Auditors receive extensive training in the evaluation of combustion appliances. Home evaluation forms that document existing combustion appliance functionality and combustion gas presence are required to be in every client file. Measurement and careful consideration of the air leakage rate of the dwelling unit prior to, and during, the course of air sealing, are important steps in the weatherization process to ensure safety and appropriateness of the weatherization measures.

Drainage- gutters, down spouts, extensions, flashing, sump pumps, landscape, etc

Action/Allowability:

Major drainage issues are beyond the scope of the Weatherization Assistance Program. Major drainage issues are those requiring grading, underground drainage, foundation repair, roof replacement, total plumbing system replacement, sewer line replacement, etc. Homes with conditions that might create a serious health concern are cause for deferral unless other funds are available, the cost is considered when running NEAT or MHEA, or is funded through the OOR program (see above).
Testing:
Auditors will conduct a visual inspection for drainage issues.

Client Education:
Auditors will inform clients of the importance of cleaning and maintaining drainage systems and relay information on proper landscape design.

Training:
Auditors receive training on how to recognize drainage issues.

Electrical, other than knob-and-tube wiring

Action/Allowability:

Minor electrical repairs are allowed with DOE incidental repairs funds where the health and safety of the client is at risk. Additionally, upgrades and repairs are allowed to electrical systems when those repairs are necessary to perform specific weatherization measures. Minor repairs are defined as, but not limited to, the following: Installation of junction boxes, installation of junction box covers, flagging of junction boxes, replacement of broken outlets and switches, etc. Installing a new electrical panel, new incoming service or completely rewiring a home are not considered minor electrical repairs.

Testing:
Auditors will conduct a visual inspection for electrical issues. They will also conduct voltage drop and voltage detection tests when needed.

Client Education:
Auditors will provide information to clients on overloading circuits, electrical safety, and electrical risks.

Training:
Auditors are trained in how to identify electrical hazards and are knowledgeable of local codes for compliance.

Electrical, knob-and-tube wiring

Action/Allowability:

Per the electrical inspection section of the Indiana Weatherization Field Guide SWS-Aligned Edition, auditors identify any knob and tube wiring found in the dwelling and test it to see if it is live. If it is spliced into conventional circuitry, auditors note the breakers or fuses controlling the circuit.

Live knob and tube wiring can never be covered or surrounded by insulation as a result of any weatherization measure. Boxing of knob and tube wiring prior to insulation is acceptable.

Testing:
Auditors will inspect for the presence and condition of knob-and-tube wiring and check for alterations that might create an electrical hazard. Voltage drop and voltage detection tests are allowed. Please reference the approved variance in Appendix Y of IPICDA's Weatherization Policy and Procedures Manual.

Client Education:
Auditors will provide clients with information on over-current protection, overloading circuits, and basic electrical safety and risks.

Training:
Auditors are instructed to avoid insulating over or dense packing around live knob and tube wiring while installing insulation in attics, floors, or walls. Auditors are also instructed on the proper way of to perform voltage drop test to determine the level of safety and integrity of knob and tube wiring.

Fire Hazards

Action/Allowability:
Correction of fire hazards is an allowable cost when necessary to safely perform weatherization.

Testing:
Auditors will check for fire hazards in the home during the audit and while performing weatherization.

Client Education:
Auditors will inform the client of observed fire hazards.

Training:
Auditors are trained on how to recognize potential hazards and when removal is necessary.

Formaldehyde, Volatile Organic Compounds (VOCs), and other Air Pollutants
Action/Allowability:
Removal of pollutants that might create a serious health concern are cause for deferral unless other funds are available, the cost is considered when running NEAT or MHEA or is funded through the OOR program (see above). If removal cannot be performed or is not allowed by the client, the unit must be deferred.

Testing:
Auditors will conduct a sensory inspection for formaldehyde, VOCs, and other air pollutants.

Client Education:
Auditors will inform clients of the observed conditions and the associated risks. Auditors will provide the client written materials on safety and proper disposal of household pollutants.

Training:
Auditors are trained on how to recognize potential hazards and when removal is necessary.

Injury Prevention of Occupants and Weatherization Workers—measures such as repairing stairs and replacing handrails
Action/Allowability:
Workers must take all reasonable precautions against performing work on homes that will subject workers or occupants to health and safety risks. Minor repairs and installation may be conducted only when necessary to effectively weatherize the home; otherwise, these measures are not allowed. Examples of allowable minor repairs include broken stair risers or broken handrails which facilitate safely entering a portion of the home to complete weatherization work. Replacement or the addition of complete stairwells are not allowable. Building or installing new exterior steps or walkways are not allowable.

Testing:
Auditors will observe if dangers are present that would prevent weatherization.

Client Education:
Auditors will inform clients of observed hazards and associated risks.

Training:
Auditors are trained to be aware of potential hazards.

Lead Based Paint
In response to DOE's actions in adopting the EPA's revised lead protocols, Indiana underwent a number of steps in order to adhere to EPA standards as outlined in the Renovation, Repair, and Painting Rule (RRP). Indiana is compliant with this rule and the steps taken to be compliant are outlined below:

- All 22 sub-grantees have at least one XRF analyzer. Re-calibration of the XRF is not an allowable cost with DOE funds. All re-calibration expenses must be paid for with LIHEAP dollars. See the policies and procedures manual for further details.
The purpose of the steps outlined above is to ensure full compliance with the EPA rule and to ultimately provide a better service to those clients which live in housing built prior to 1978 wherein the weatherization program will be disturbing more than the de minimus levels of painted surface.

Indiana has implemented a policy regarding lead based paint procedures on homes being weatherized. This policy includes providing clients with the pamphlet "Renovate Right: Important Lead Hazard Information for Families, Child Care Providers and Schools" and obtaining certification that they received the form. Sub-grantee staff working in homes are trained on how to work in a safe lead environment to ensure adherence to EPA, OSHA Rule 29 CFR 1926 as well as to HUD's Lead Paint Hazard Control, 24 CFR 35 (Part 35). All sub-grantees performing weatherization services are encouraged to obtain Pollution Occurrence Insurance.

New employees are trained on lead safe work practices within the first six months of employment to protect employees from the hazards of lead during weatherization work, to limit worker exposure to airborne lead during weatherization, and to ensure that sub-grantees communicate the hazards of all hazardous chemicals in the workplace by:

1. Labeling all containers of hazardous chemicals
2. Having a written hazard communication program
3. Providing material safety data sheets, including on lead
4. Training workers on safe chemical practices during normal and emergency actions.

What must sub-grantees do?

1. Provide the Lead Paint pre-renovation education form to all clients and landlords.
2. Either:
   1. Use the XRF machine to determine levels of lead in work areas as well as in individual components that might be disturbed when completing weatherization work.
   2. Assume Lead Based Paint and follow Lead Safe Work Practices including clean-up and cleaning verification as outlined in the RRP rule for applicable housing.
3. Utilize IHICDA's Minor Paint Disturbance Policy as outlined below:
   - All homes built prior to 1978, where paint will be disturbed and the paint is either verified or assumed to be lead based paint, the following lead safe work practices, at a minimum, shall be used:
     - Lay 6 mil plastic 10' beyond the area where lead based paint is disturbed (exterior)
     - Lay 6 mil plastic 6' beyond the area where lead based paint is disturbed (interior)
     - Wet the area of paint being disturbed
     - Wet all paint chips prior to clean-up and removal
     - Limit access to the area where paint is being disturbed
     - Ensure that all appropriate personal protective equipment is used
     - Ensure proper disposal of trash and material
     - Provide pictures for the client file showing use of lead safe work practices
     - Use the XRF to limit the need for lead safe work practices
   - Firms must be certified
   - Renovators must be certified
   - Lead-safe work practices must be followed

Firm Responsibilities

Firms performing renovations must ensure that:

1. All individuals performing activities that disturb painted surfaces on behalf of the firm are either certified renovators or have been trained by a certified renovator;
2. A certified renovator is assigned to each renovation and performs all of the certified renovator responsibilities;
3. All renovations performed by the firm are performed in accordance with the work practice standards of the Lead-Based Paint Renovation, Repair, and Painting Program
4. Pre-renovation education requirements of the Lead-Based Paint Renovation, Repair, and Painting Program are performed;
5. The program's recordkeeping requirements are met.
6. All contractors who disturb paint above de minimus must be a certified Lead Firm.
7. All projects where known or assumed lead based paint is disturbed must utilize a Certified Renovator.
Renovator Certification

To become a certified renovator an individual must successfully complete an eight-hour initial renovator training course offered by an accredited training provider (training providers are accredited by EPA, or by an authorized state or tribal program). The course completion certificate serves as proof of certification. Training providers can apply for accreditation for renovator and dust sampling technician training. Once accredited, trainers can begin to provide certification training.

Any sub-grantee staff or contractors who have successfully completed an accredited lead abatement worker or supervisor course, or individuals who have successfully completed an EPA, Department of Housing and Urban Development (HUD), or EPA/HUD model renovation training course, need only take a four-hour refresher renovator training course instead of the eight-hour initial renovator training course to become certified.

Renovators at either the sub-grantee or the sub-grantee’s contractor must adhere to the following:

1. Must use a test kit or paint chip sample acceptable to EPA, when requested by the party contracting for renovation services, to determine whether components to be affected by the renovation contain lead-based paint.
2. Must provide on-the-job training to workers on the work practices they will be using in performing their assigned tasks.
3. Must be physically present at the work site when warning signs are posted, while the work-area containment is being established, and while the work-area cleaning is performed.
4. Must regularly direct work being performed by other individuals to ensure that the work practices are being followed, including maintaining the integrity of the containment barriers and ensuring that dust or debris does not spread beyond the work area.
5. Must be available, either on-site or by telephone, at all times renovations are being conducted.
6. Must perform project cleaning verification.
7. Must have with them at the work site copies of their initial course completion certificate and their most recent refresher course completion certificate.
8. Must prepare required records.

Work Practice Requirements: General

1. Renovations must be performed by certified firms using certified renovators and trained workforce;
2. Firms must post signs clearly defining the work area and warning occupants and other persons not involved in renovation activities to remain outside of the work area. These signs should be in the language of the occupants;
3. Prior to the renovation, the firm must contain the work area so that no dust or debris leaves the work area while the renovation is being performed;
4. Work practices listed below are prohibited during renovation:
   - Open-flame burning or torching of lead-based paint;
   - Use of machines that remove lead-based paint through high speed operation such as sanding, grinding, power planning, needle gun, abrasive blasting, or sandblasting, unless such machines are used with HEPA exhaust control; and
   - Operating a heat gun on lead-based paint at temperatures of 1100 degrees Fahrenheit or higher.
5. Waste from renovations:
   - Waste from renovation activities must be contained to prevent releases of dust and debris before the waste is removed from the work area for storage or disposal;
   - At the conclusion of each work day and at the conclusion of the renovation, waste that has been collected from renovation activities must be stored to prevent access to and the release of dust and debris.
   - Waste transported from renovation activities must be contained to prevent release of dust and debris.

Work Practice Requirements: Specific to Interior Renovations

1. Remove all objects from the work area or cover them with plastic sheeting with all seams and edges sealed.
2. Close and cover all ducts opening in the work area with taped-down plastic sheeting.
3. Close windows and doors in the work area. Doors must be covered with plastic sheeting.
4. Cover the floor surface with taped-down plastic sheeting in the work area a minimum of six feet beyond the perimeter of surfaces undergoing renovation or a sufficient distance to contain the dust, whichever is greater.
5. Use precautions to ensure that all personnel, tools, and other items, including the exteriors of containers of waste, are free of dust and debris when leaving the work area.
6. After the renovation has been completed, the firm must clean the work area until no dust, debris or residue remains. The firm must:
   1. Collect all paint chips and debris, and seal it in a heavy-duty waste bag.
   2. Remove and dispose of protective sheeting as waste.
   3. Clean all objects and surfaces in the work area and within two feet of the work area in the following manner:
      1. Clean walls starting at the ceiling and working down to the floor by either vacuuming with a HEPA vacuum or wiping with a damp cloth.
      2. Thoroughly vacuum all remaining surfaces and objects in the work area, including furniture and fixtures, with a HEPA vacuum.
      3. Wipe all remaining surfaces and objects in the work area, except for carpeted or upholstered surfaces, with a damp cloth. Mop uncarpeted floors thoroughly using a mopping method that keeps the wash water separate from the rinse water, or using a wet mopping system.
5. Cleaning verification is required to ensure the work area is adequately cleaned and ready for re-occupancy. See Flow Chart 6 for instructions on performing cleaning verification for interior projects.
Work Practice Requirements: Specific to Exterior Renovations

1. Close all doors and windows within 20 feet of the renovation.
2. Ensure that doors within the work area that will be used while the job is being performed are covered with plastic sheeting in a manner that allows workers to pass through while confining dust and debris.
3. Cover the ground with plastic sheeting or other disposable impermeable material extending a minimum of 10 feet beyond the perimeter or a sufficient distance to collect falling paint debris, whichever is greater.
4. In situations such as where work areas are in close proximity to other buildings, windy conditions, etc., the renovation firm must take extra precautions in containing the work area, like vertical containment.
5. After the renovation has been completed, the firm must clean the work area until no dust, debris or residue remains. The firm must:
   - Collect all paint chips and debris, and seal it in a heavy-duty waste bag.
6. Once the area has been adequately cleaned you're finished.

Renovators at either the sub grantees or the sub grantees's contractor must adhere to the following:

1. Must use a test kit or paint chip sample acceptable to EPA, when requested by the party contracting for renovation services, to determine whether components to be affected by the renovation contain lead-based paint. (Please check our Web site at www.epa.gov/lead).
2. Must provide on-the-job training to workers on the work practices they will be using in performing their assigned tasks.
3. Must be physically present at the work site when warning signs are posted, while the work-area containment is being established, and while the work-area cleaning is performed.
4. Must regularly direct work being performed by other individuals to ensure that the work practices are being followed, including maintaining the integrity of the containment barriers and ensuring that dust or debris does not spread beyond the work area.
5. Must be available, either on-site or by telephone, at all times renovations are being conducted.
6. Must perform project cleaning verification.
7. Must have with them at the work site copies of their initial course completion certificate and their most recent refresher course completion certificate.
8. Must prepare required records.

All sub grantees are also subject to the following recordkeeping requirements:

- All documents must be retained for three years following the completion of a renovation.
- Records that must be retained include:
  - Reports certifying that lead-based paint is not present.
  - Records relating to the distribution of the lead pamphlet.
- Documentation of compliance with the requirements of the Lead-Based Paint Renovation, Repair, and Painting Program (EPA has prepared a sample form that is available at


Mold and Moisture

Action/Allowability:

The Weatherization Assistance Program is not a mold remediation program. The use of DOE funds for removal of mold and other related biological substances is not an allowable weatherization expense. DOE funds should not be used to test, abate, remediate, purchase insurance, or alleviate existing mold conditions identified during the audit, the work performance period, or the quality control inspection. Low cost or no cost measures to clean moisture damaged surfaces are allowed and may be charged to Health and Safety. Houses with mold and moisture issues that require more than no cost or low cost measures must be deferred or remedied with the use of non-DOE regulated funds.

Sub-grantees must measure indoor humidity levels and potential sources for excess moisture. Identified problems and sources are documented on the Moisture Assessment Findings form that is signed by the local sub-grantee, client, and/or landlord. The Indiana Moisture Assessment Form lists moisture conditions that exist in the home at the time of initial audit before any weatherization measures were installed. The conditions must also be confirmed by the shell crew/contractor prior to performing their work. This form must be present in every file in compliance with DOE Program Guidance 05-1.

Testing:

Visual assessment is required and diagnostics, such as moisture meters, are recommended at initial audits and prior to final inspections. Mold testing is not an allowable cost.

Client Education:
Solutions for mold remediation and educational talking points are discussed with the homeowner and/or occupants to determine roles in creation of problems and/or mitigation. Occupants are given a copy of the Environmental Protection Agency (EPA) brochure, "A Brief Guide to Mold, Moisture, and Your Home" as part of the client education process.

Training:

Each sub-grantee’s crews or contractors receive specialized training in moisture awareness, ventilation, indoor air quality, and mold hazards. A mold awareness course is offered by the training and technical service provider and teaches Weatherization technicians and auditors how to identify the conditions that promote mold growth. This class identifies treatment options for less extensive mold conditions and best Weatherization practices to prevent mold growth. This class also discusses the health aspects related to mold and moisture issues for both workers and clients. This course is intended to prepare technicians and auditors to know how to safely proceed with Weatherization services or when to defer the home until serious mold and moisture conditions have been eliminated.

Occupant Preexisting or Potential Health Conditions

Action/Allowability:

When a person’s health may be at risk and/or the work activities could constitute a health or safety hazard, the occupant at risk will be required to take appropriate action based on severity of risk. Appropriate action could include but not be limited to removal of excessive trash and debris, proper cleaning of moisture damaged surfaces, or removal of an unapproved alternative heat source. Failure or the inability to take appropriate actions must result in deferral.

Testing:

Auditors must require the client to reveal known or suspected health concerns as part of initial application for weatherization. Auditors must screen occupants again during the audit.

Client Education:

Auditors provide clients information of any known risks.

Training:

Auditors are trained on how to assess a client’s preexisting conditions and determine what action to take if the home is not deferred. They are also trained on awareness of potential hazards.

Occupational Safety and Health Administration (OSHA) and Crew Safety

Action/Allowability

Workers must follow OSHA standards and Safety Data Sheets (SDS) and take precautions to ensure the health and safety of themselves and other workers. SDS must be available wherever workers may be exposed to hazardous materials.

Testing:

Sub-grantees must perform assessments to determine if crews are practicing and utilizing safe work practices.

Client Education:

Not applicable.

Training:

The OSHA 10 hour training is required for all weatherization workers. The OSHA 30 hour training is required for all crew leaders and HVAC personnel working alone. All new weatherization workers must receive the appropriate OSHA training within six months commencing 45 days from the date of hire. HHCD has provided OSHA Confined Space guidance following WAP Memorandum 013 during the Semi-Annual Manager's Meetings (SAMMs) conducted December 11, 2015.

Pests

Action/Allowability:

Pest removal is cause for deferral unless other funds are available to cover the cost of extermination.

Testing:
Auditors will assess the presence and degree of infestation and risk to workers.

**Client Education:**

Auditors will inform clients of the observed condition and associated risks.

**Training:**

Auditors are trained in how to assess the presence and degree of infestation, associated risks, and need for deferral.

**Radon**

**Action/Allowability:**

Whenever site conditions permit, exposed dirt must be covered with a vapor barrier. In homes where radon may be present, precautions should be taken to reduce the likelihood of making radon issues worse. Radon abatement is not an allowable activity with DOE funds.

**Testing:**

Radon testing is not currently required by IHCDA.

**Client Education:**

Auditors discuss the potential existence of radon with the clients where appropriate.

**Training:**

Auditors are trained on what radon is, how it occurs, what factors might make it worse, and what weatherization measures can be helpful to radon control. Crews and contractors are trained in vapor barrier installation.

**Refrigerant**

**Action/Allowability:**

Sub-grantees must reclaim refrigerant per the Clean Air Act of 1990. Section 608, as amended by 40 CFR 82, 5/14/1993.

**Testing:**

Auditors or contractors use EPA testing protocols.

**Client Education:**

Clients are instructed not to disturb refrigerants.

**Training:**

Auditors and contractors are trained on the EPA-approved section 608 type 1 or universal certification.

**Smoke and Carbon Monoxide Alarms and Fire Extinguishers**

**Action/Allowability:**

The installation of smoke and carbon monoxide alarms is an allowable expense with DOE funds where alarms are not present or inoperable. Replacement of operable smoke and/or carbon monoxide alarms is not an allowable cost.

**Testing:**

Auditors will check existing smoke and carbon monoxide alarms for operation.

**Client Education:**

Auditors will provide the client with verbal and written information on the use of smoke and carbon monoxide alarms.
Training:
Auditors, crews, and contractors are trained on where to install smoke and carbon monoxide alarms.

Solid Fuel Heating (wood stoves, etc)

Action/Allowability:
Maintenance, repair, and replacement of primary indoor heating units is allowed where a client’s health and safety is a concern.

Testing:
Auditors must complete the solid wood fuel inspection form as part of their audit. This form is located in the appendices of IHCDAs’s Weatherization Policy and Procedures Manual.

Client Education:
Auditors provide clients with safety information including recognizing depressurization.

Training:
Auditors are trained on how to perform a CAZ depressurization test and conduct a proper inspection of solid fuel heating systems.

Space Heaters, Stand Alone Electric

Action/Allowability:
Repair, replacement, or installation of electric stand alone space heaters is not allowed. Removal of these space heaters is recommended. The energy auditor is required to perform a complete evaluation of the heating system on each home weatherized. Part of this evaluation will be determining what modifications or replacements are required. Stand alone electric heaters cannot be left in place as a client’s sole source of heat. If provisions cannot be made for the installation of a permanent heating source, the home must be deferred. In instances where a new heating system is installed, the client will be educated on the new heating system and advised against using the stand alone electric space heater. Should the stand alone electric space heater be found to be unsafe for use in the client’s home, it must be removed from use prior to weatherization proceeding.

Testing:
Auditors check overall electrical safety of the home as part of their initial audit process.

Client Education:
Auditors must inform the client of hazards associated with the use of standalone electric space heaters and collect a signed waiver if removal is not allowed by the client.

Training:
Auditors are trained to be aware of this guidance.

Space Heaters, Unvented Combustion

Action/Allowability:
Removal of unvented combustion space heaters is required, except as an emergency heat source as allowed by DOE WPN 11-6. Unvented space heaters are only allowed to remain in the home when meeting all requirements as outlined in the Unvented Gas Space Heater Inspection Form, Appendix L, IHCDAs’s Policy and Procedure Manual. This form must be completed and placed in the client file where either an unvented space heater was removed or remains in the home.

Testing:
Carbon monoxide testing, combustion air requirements and completion of the Unvented Gas Space Heater Inspection Form are required.

Client Education:
Auditors must inform clients of the dangers of unvented space heaters and specifically the dangers of carbon monoxide and moisture production.
Training:
Auditors are trained on the dangers of unvented space heaters and how to perform air-free carbon monoxide tests.

Space Heaters: Vented Combustion

Action/Allowability:
Vented gas combustion space heaters are an acceptable source of heat and must be tested the same as gas furnaces. Replacements, where necessary, follow the same guidelines as gas furnaces.

Testing:
Auditors must test vented space heaters in the same manner as a gas furnace and complete Indiana's Gas Appliance Inspection Form.

Client Education:
Auditors inform clients of the work performed to their space heaters, safe and efficient operating tips, and maintenance issues.

Training:
Auditors are trained on appropriate testing, operation and venting requirements for vented space heaters.

Spray Polyurethane Foam

Action/Allowability:
Use of two-part foam is acceptable where all applicable EPA, OSHA, SWS, manufacturer and IHCDA requirements are followed.

Testing:
Auditors determine the most appropriate use for two-part foam based upon pricing, cost effectiveness and conditions in the home.

Client Education:
Auditors notify the client of the plans to use two-part foam and the precautions that may be necessary.

Training:
Auditors, crews and contractors are trained on the proper use, application and safety concerns for two-part foam.

Ventilation

Action/Allowability:
ASHRAE 62.2 is required to be met to the fullest extent possible. Indiana utilizes an automated ASHRAE form that calculates, based upon dwelling information input, the CFM of exhaust required in each home weatherized. The current ASHRAE 62.2 form is attached to the SF-424.

Pursuant to WAP Memorandum 007, Indiana accepted Addendum B of the ASHRAE 62.2-2013 which became effective October 1, 2014.

Testing:
Each home is evaluated to meet the ASHRAE 62.2 standard at the initial audit. Fans installed as a result of ASHRAE 62.2 are tested for proper flow and adjusted to meet blower door readings at the time work is completed.

Client Education:
Auditors will provide clients with information on function, use, and maintenance of ventilation systems and components. Auditors will include a disclaimer that ASHRAE 62.2 does not account for high polluting sources or guarantee indoor air quality.

Training:
Auditors are required to complete ASHRAE 62.2 training which includes evaluation of existing and new systems, depressurization tightness limits, critical air zones.
moisture assessments and completion of Indiana’s ASHRAE 62.2 calculation form. Indiana’s ASHRAE 62.2 training curriculum includes proper fan selection, operational controls (timers and switches), fan settings, and client education.

**Window and Door Replacement, Window Guards**

**Action/Allowability:**

Replacement, repair, or installation of windows and doors is not an allowable health and safety expense but may be allowed as an incidental repair in Base Program Operations on a case-by-case basis if considered when running NEAT and MHEA and the measure is cost justified. When incidental repair dollars are used for the installation of windows or doors, clear documentation must be present in the client file as to why this decision was made and what conditions were that led to this work being necessary. Required documentation can include but not be limited to: pre and/or post digital photographs, written documentation of the energy auditor’s observations at the initial audit, or Moisture Assessment Form notations indicating these measures were necessary for the weatherization services to proceed. IHICDA strongly discourages the installation of doors and windows in Indiana’s Weatherization Assistance Program.

**Testing:**

Not applicable.

**Client Education:**

Not applicable.

**Training:**

Auditors are trained on the proper application of incidental repairs, the proper use of NEAT/MHEA and how to recognize the most fitting energy efficient measures for each home weatherized.

Indiana is aware that WAP Memorandum 017 is currently under review and update process. When the update of WAP Memorandum 017 is complete, Indiana will incorporate the changes as appropriate within their Weatherization Assistance Program and all related documents.

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**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 (IHICDA). IHICDA 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. IHICDA is located within the Family of Business of the Indiana Lieutenant Governor's Office. IHICDA is located in Indianapolis, IN.

IHICDA staff responsible for the oversight of the Weatherization Assistance Program in Indiana are Chief Community Programs Officer Donna Billiard Wright, Director of Community Programs Lauren Perry, Community Programs Manager Andrew Hoff, Community Programs Analyst Pamela Emery, and Community Programs Monitor Steve Osborne. The primary point of contact for Indiana's WAP is Andrew Hoff.

IHICDA 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.

Additionally IHICDA utilizes the Environmental Management Institute (EMI) to perform lead based paint and OSHA training. EMI is located in Indianapolis, IN.

During the 2015-2016 DOE funding cycle, IHICDA streamlined the fiscal monitoring process of the DOE, EAP, IDA and CSBG programs by contracting with Engaging Solutions to perform a comprehensive/combined monitoring. Engaging Solutions performed financial monitoring for Indiana's WAP. During the 2017-2018 DOE funding cycle, Engaging Solutions will perform Weatherization Program and File Monitoring in addition to Weatherization File Monitoring.

Indiana utilizes twenty-two (22) sub-grantees to administer the Weatherization Assistance Program (WAP). Twenty (20) sub-grantees are Community Action Agencies, one (1), People Working Cooperatively, is a nonprofit agency, and one (1), Job Source,(DBA CICAP) is a unit of local government.

In August 2016, IHICDA reassigned three counties of service territory from NWICA to NCCAA. This reassignment was originally temporary in nature. During the 2016-2017 funding cycle NCCAA was awarded 3 counties previously assigned to NWICA.
In December 2016, IHCDA decided to RFP Area V’s service territory consisting of Cass, Miami, Wabash, Howard, and Tipton counties. A public RFP will be posted in the 1st Quarter of 2017.

To meet requirements within WPN 15-4 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-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.

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-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.

V.8.2 Administrative Expenditure Limits

Section 500 of 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.

Administrative cost for Indiana’s sub-grantees will be up to 7% of the total grant expenditures for 2017-2018 DOE funding. IHCDA will retain 3% for Grantee use.

V.8.3 Monitoring Activities

IHCDA has one full time monitor dedicated to the technical monitoring of Indiana’s 22 Weatherization sub grantees. This monitoring expense is covered completely with T&TA funds. Salary, benefits and travel cost estimates related to Indiana’s full time monitor equates to approximately 9% of Indiana’s T&TA budget. A proposed/estimated technical monitoring schedule is listed later in this section to help detail the estimated travel time and expense.

Financial, program, administrative and file monitoring is performed by Engaging Solutions - a contracted accounting firm. IHCDA’s Community Programs Manager oversees and supports both the monitor and contracted staff.

IHCDA, by using a combination of the monitoring entities mentioned above, visits each sub grantee for programmatic, fiscal and technical reviews at least once per program year. All monitoring is performed in real time meaning that monitoring will keep pace with sub grantee production during the course of a grant year. IHCDA’s technical monitoring process includes, when feasible, performing in-progress site visits. The primary purpose of monitoring visits are to assist the sub grantee in providing high quality energy conservation services to low income homes.

IHCDA’s Community Program Manager will make T&TA visits to sub grantees who are struggling, have new Weatherization Program Managers, or upon request for assistance.

The following information is taken from Section 700 of Indiana’s Weatherization Policy and Procedures Manual detailing sub-grantee monitoring procedures in Indiana. The complete Section 700 is attached to the SF-424.

701 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 that:

High 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.

Innovative technological advances are promoted.

702 STANDARDS AND PRACTICES

Program Monitoring:

IHCDa will perform real-time Program Monitoring for each Weatherization Sub-grantee at least once a year. The program monitoring includes a review of Program Administration, Procurement, Training & Licensing, Database Input, Fiscal Information, Client File Review and Field Inspections. 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 – IHCDa will review agency policies as they apply to awarding priority, wait list maintenance, rental policies, and client re-determination.

Procurement – This section covers materials procurement and selection; contractor selection, procurement, and evaluation; price lists and written procurement standards. Please reference Section 800, sub-section 807.1 of this manual for additional information.

Training and Licensing – IHCDa 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 Section 600 of this manual. Monitors will also review contractors for compliance with local licensing standards. Agency 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 getting entered into the IWAP database accurately and completely.

Fiscal – Financial monitoring will be performed by IHCDa's contracted monitor as part of the program and file monitoring. The contractor will be checking for appropriate payment processing as specified in Section 506 of this manual. The contracted monitor will also be following at grant utilization to make sure funding is utilized in allowable combinations, that Weatherization Program Managers have made use of all utility dollars first, that contractors are paid within the allowable payment period, and that the back-up documentation provided with claims is appropriate to the claim made.

Client File Review – Files will be pulled at random from completions entered into the weatherization software. These files will be checked for correct forms, accurate information, appropriate work processes, and eligibility verification. Monitors will also request a sampling of deferred files to review for appropriate documentation and appropriate deferral. A minimum of 10% of all completed DOE units will be reviewed.

Field Inspections (See Technical Monitoring below) – IHCDa staff will conduct on-site inspections of a sample of dwellings pulled from the field review or at random from the IWAP database. The purpose of the field inspection is to ensure that weatherization services are provided in a professional manner in compliance with all standards, regulations and policies set forth by IHCDa. The local sub-grantee is responsible for quality control on all completed units and the final inspection completed by staff or contractors 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 agency diagnostics.

A copy of the Program Monitoring Tool utilized by IHCDa’s monitoring staff can be found at the end of this manual as Appendix F.

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 monitoring staff is available for consultation via the phone or email on a daily basis. If sub-grantee personnel feel it necessary, and time allows, IHCDa monitoring personnel may be available for T&TA visits to the sub-grantee.

Quality Improvement Plan – Program Monitoring visits uncovering serious, numerous or recurring findings may result in the agency being placed on a 120-day Quality Improvement Plan [QIP]. The intent of the QIP is to help the agency improve the areas of deficiency. As part of the QIP, IHCDa monitors will make additional visits to the agency during the 120-day period to ensure changes are being implemented and all noted findings are being resolved. The QIP may be extended or modified as deemed necessary by IHCDa to accomplish the needed sub-grantee improvement. IHCDa also reserves the right to issue a modified QIP, which could encompass fewer visits or a modified timetable.

- A sub-grantee may be placed on a QIP 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 home exceeds cost guidelines set forth by DOE or HHS (LIHEAP) funding.
At least 25 percent of client files reviewed are deemed ineligible.

**703 MONITORING PROCESS FOR STANDARD DOE ALLOCATIONS**

**Program Monitoring**

IHCDAs’s staff and contracted monitors prepare the monitoring schedule and contacts each sub-grantee to establish the necessary appointments. Requests for Program and/or Financial Monitoring include notification of the client files chosen for review and all additional information such as financial, procurement, training, etc. Upon completion of the Program Monitoring IHCDAs’s monitor will perform an exit interview to summarize any issues discovered during the monitoring and offer suggestions for improvement. Within thirty business days of the exit interview IHCDA will issue a written report to the sub-grantee. The sub-grantee will then have fifteen business days as outlined within IHCDAs’s report to respond in writing to IHCDA. Upon receiving the sub-grantee’s response, IHCDA’s monitor will review the documentation and clear the monitoring as warranted. If additional information is required from the sub-grantee, IHCDA will issue a follow-up response detailing what information is needed with an appropriate deadline for the response. This process will continue until all items in the report are cleared and the monitoring closed. Technical Monitoring

IHCDAs’s monitoring staff prepares the monitoring schedule and contacts each sub-grantee to establish the necessary appointments. Requests for Technical Monitoring include a list of desired homes to visit as well as alternates should clients not be available the date of the visit. Upon completion of the Technical Monitoring IHCDAs’s monitor will perform an exit interview to summarize any issues discovered during the monitoring and offer suggestions for improvement. For Technical Monitoring visits, an exit interview may be delayed, conducted via telephone or other means as situations permit and the parties agree. Within thirty business days of the exit interview IHCDA will issue a written report to the sub-grantee. The sub-grantee will then have fifteen business days as outlined within IHCDA’s report to respond to IHCDA. Upon receiving the sub-grantee’s response, IHCDA’s monitor will review the documentation and clear the monitoring as warranted. If additional information is needed from the sub-grantee IHCDA will issue a follow-up response detailing what information is needed with an appropriate deadline for response. This process will continue until all items in the report are cleared and the monitoring closed.

Sub-grantees are prohibited from revisiting client homes chosen by IHCDA 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. Additionally IHCDAs may, at their discretion, require a Return of Funds for all expenses associated with the revisited home thereby removing it as a completed unit.

- Quality Improvement Plan – Technical Monitoring visits uncovering serious, numerous or recurring findings may result in the agency being placed on a 120-day Quality Improvement Plan [QIP]. The intent of the QIP is to help the agency improve the areas of deficiency. As part of the QIP, IHCDA monitors will make additional visits to the sub-grantee during the 120-day period to ensure changes are being implemented and all noted findings are being resolved. The QIP may be extended or modified as deemed necessary by IHCDA to accomplish the needed sub-grantee improvement. IHCDA also reserves the right to issue a modified QIP, which could encompass fewer visits or a modified timetable.
  - A sub-grantee may be placed on QIP if the following technical performance deficiencies are identified:
    - For a modified QIP, at least 25 percent of the homes monitored are deemed ineligible
    - For a QIP, at least 50 percent of the homes monitored are deemed ineligible
    - The average cost per home has exceeded cost guidelines identified in DOE and HHS funding
    - At least 50 percent of the homes monitored fail the combustion appliance zone testing
    - Issues with overall work quality or failure to meet work specifications as prescribed by the Field Guide SWS-Aligned Edition
  - Sub-grantees who have been placed on a QIP will receive a higher level of oversight and monitoring from IHCDA staff. Sub-grantees can expect for IHCDA staff to:
    - Review completion reporting on a more frequent basis
    - Perform DOE and LIHEAP fiscal analysis to ensure that the amount of funds claimed falls in line with the average cost per home based on completions entered into TIWAP
    - Additional monitoring of claims submitted for payment
    - Training and technical assistance for program and administrative staff that will be customized to mitigate performance deficiencies
    - Additional onsite visits, as needed, to monitor the agency’s progress in correcting the performance deficiencies
    - At least four additional homes monitored for a modified QIP and up to eight additional homes for a standard QIP

**704 LIHEAP PROGRAM AND TECHNICAL MONITORING**

Monitoring for LIHEAP and STATE LIHEAP funds will be performed in conjunction with DOE monitoring and/or as deemed necessary by IHCDA. LIHEAP and STATE LIHEAP monitoring practices will be the same as outlined above for DOE with the exception of the percentage of client file and technical completions monitored. The percentages for client file and technical monitoring will be determined by IHCDA based upon funding levels and sub-grantee performance.

For homes utilizing DOE and LIHEAP funds both funding sources are monitored as outlined above.

**MONITORING NOTES**

IHCDA reserves the right to question all associated costs and may require that the sub-grantee repay grant funds to IHCDA out of private agency funds or non-
Federal dollars. Examples for repayment are the following: insufficient justification for work performed, insufficient documentation, ineligible clients, lack of adherence to policy or Federal guidelines or negligence is evident resulting in a dangerous condition for a client.

IHCDA monitoring staff may use alternate procedures or request additional information to verify compliance when it is necessary or deemed appropriate.

Failure by the sub-grantee to respond in writing to the monitoring report by the established deadline may result in claims being held by IHCDA until the proper response is received.

IHCDA regularly tracks DOE, LIHEAP and State LIHEAP expenditures, production and average cost per home.

IHCDA may, at their discretion, reallocate funding during the grant cycle should grant tracking reveal low sub-grantee expenditure or production rates as well as issues with their average cost per home.

IHCDA’s full time monitor currently carries the following credentials: BPI/DOE Quality Control Inspector, Indiana’s Energy Auditor Competency, Indiana licensed Lead Inspector and Certified Lead Renovator, IHCDA’s full time monitor performs technical monitoring for Indiana’s 22 sub-grantees.

IHCDA’s Community Programs Manager assists with monitoring and/or T&TA as needed, especially with struggling or problematic sub-grantees. The Community Programs Manager currently carries the credential of BPI/DOE Quality Control Inspector.

Starting with the 2017-2018 grant cycle, IHCDA will implement benchmarks of 15% DOE production by the end of the 1st Quarter (June 1, 2017), and 30% DOE production by the end of the 2nd Quarter (September 1, 2017) for all sub-grantees. IHCDA will use these benchmarks to track sub-grantee progress with Weatherization funding.

Sub-Grantees failing to spend at least 80% of their awarded grant funds could be subject to funding allocation reduction or redistribution at IHCDA’s discretion.

IHCDA may, at their discretion, reallocate funding during the grant cycle should grant tracking reveal low sub-grantee expenditure or production rates.

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
- Depth of existing waiting lists
- Met self-imposed benchmarks
- Financial and program management capacity

IHCDA will devote a portion of Indiana’s T&TA funds toward salary and travel expense associated with monitoring of their sub grantees. These amounts are broken down within the budget portion of this application.

The following is IHCDA’s proposed Technical Monitoring Schedule for Program Year 2017-2018:

April 2017 - Quality Improvement Plan [QIP] visit to HSI
May 2017 - Quality Improvement Plan [QIP] visit to CAGI, CFS
June 2017 - Quality Improvement Plan [QIP] visit to CASI
July 2017 - NCCAA, SIEOC, Area IV
August 2017 - CAGI, CANI, COWI
September 2017 - Real Services, NWICA, CFS
October 2017 - WICAA, HSI, OVO
November 2017 - JobSource (CICAP), PWC
December 2017 - CASI
January 2017 - Tri-Cap, CAPE
February 2017 - LHDC, HUEDC, ICAP
March 2017 - PACE, SCCAP
The following is IHCDAs proposed Program/Financial Monitoring Schedule for Program Year 2016-2017:

- **July 2017** - NCCAA, SIEOC, Area IV
- **August 2017** - CAGI, CANI, COWI
- **September 2017** - Real Services, NWICA, CFS
- **October 2017** - WICAA, HSI, OVO
- **November 2017** - JobSource (CCAP), PWC
- **December 2017** - CASI
- **January 2017** - Tri-Cap, CAPE
- **February 2017** - LHDC, HUEDC, ICAP
- **March 2017** - PACE, SCCAP

IHCDa has prepared a spreadsheet detailing the number of client files and homes to be monitored at each sub-grantee and has included the spreadsheet as an attachment to the SF-424 section of this application.

IHCDa has attached a copy of their Program Monitoring Tool to the SF-424 section of this application.

IHCDa has attached a copy of their Technical Monitoring Tool to the SF-424 section of this application.

Section 700 of Indiana's Weatherization Policy and Procedures Manual covers the monitoring practices and requirements followed by IHCDa. A copy of Indiana's Weatherization Policy and Procedures Manual is attached to the SF - 424.

Additional information regarding the potential removal of a sub-grantee is contained within Indiana's grant agreements with each sub-grantee. Below is the language from the DOE grant agreements between IHCDa and their sub-grantees regarding possible suspension and termination.

IHCDa will utilize a contracted monitoring firm during the 2017-2018 DOE funding cycle to perform financial, program, file, and administrative monitoring.

**SUSPENSION AND TERMINATION**

1. If either party has failed to comply with the terms of this Agreement, the other party may, upon written notice to the party in breach, suspend services or payment in whole or in part or terminate this Agreement. The notice of suspension or termination shall state the reasons for the suspension or termination, any corrective action required of the party in breach, and the effective date. Notice shall be provided by certified or overnight mail.

2. If IHCDa determines that any breach of this Agreement by Grantee endangers the life, health, or safety of its employees or agents, or applicants for or recipients of services under this Agreement, IHCDa may terminate this Agreement by orally notifying Grantee of the termination, followed by the mailing of written notification thereof within three (3) business days specifying the reasons for the termination. Termination pursuant to this paragraph shall become effective at the time of the oral notification.

3. When the Executive Director of IHCDa makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of this Agreement, the Agreement shall be canceled. Such determination by the Executive Director that funds are not appropriated or otherwise available shall be final and conclusive.

4. Grantee agrees that IHCDa may terminate this Agreement if Grantee ceases doing business for any reason. IHCDa will notify Grantee of the termination, in writing, by overnight, registered or certified mail. The termination shall be effective from the date Grantee ceases doing business.

5. The parties acknowledge and agree that this Agreement may be terminated immediately by either party should the other party attempt to assign, transfer, convey, or encumber this Agreement in any way. Any notice of termination pursuant to this paragraph shall be provided in writing to the other party, by overnight, registered or certified mail.

6. This Agreement may be suspended and/or terminated immediately if Grantee has committed fraud or has misused or misappropriated funds received under this Agreement or another agreement between the Grantee and the IHCDa. In this event IHCDa may de-obligate and/or re-distribute all or any portion of this award to another grantee. Further, Grantee's breach or default with respect to other agreements or obligations related to WAP shall constitute a material breach of this Agreement.

7. This Agreement may be terminated, in whole or in part, by the IHCDa whenever, for any reason, the IHCDa determines that such termination is in the best interest of the IHCDa. Termination shall be effected by delivery to the Grantee of a Termination Notice, specifying the extent to which such termination becomes effective. The Grantee shall be compensated for completion of the services or activities properly performed prior to the effective date of termination. The IHCDa will not be liable for activities or services performed after the effective date of termination.

8. Grantee shall provide written notice to IHCDa of any change in Grantee's address, legal name, or legal status including, but not limited to, a sale, dissolution of Grantee's business. IHCDa reserves the right to terminate this Agreement should Grantee's legal status change in any way. Termination
pursuant to this paragraph shall be effective from the date of the change in Grantee’s legal status. Notice shall be provided by certified or overnight mail.

9. The Grantee and its agents shall abide by all ethical requirements that apply to persons who have a business relationship with the State, as set forth in Indiana Code § 4-2-6 etseq., the regulations promulgated thereunder, and Executive Order 04-08, dated April 27, 2004. If the Grantee is not familiar with these ethical requirements, the Grantee should refer any questions to the Indiana State Ethics Commission, or visit the Indiana State Ethics Commission website at <http://www.in.gov/ethics/>. If the Grantee or its agents violate any applicable ethical standards, IHCDCA may, in its sole discretion, begin the appropriate administrative proceeding to terminate this Agreement. In addition, the Grantee may be subject to penalties under Indiana Code § 4-2-6-12.

10. If this Agreement is terminated pursuant to any paragraph in this section, Grantee shall remit to IHCDCA, within sixty (60) days of such termination, any unexpended funds and such other payments received by Grantee determined to be due IHCDCA. The action of IHCDCA in accepting any such amount shall not constitute a waiver of any claim that IHCDCA may otherwise have arising out of this Agreement.

11. Upon expiration of any fiscal year period specified in Attachment A, or termination of this Agreement, IHCDCA may require that all documents including, but not limited to, client files, data, studies, and reports prepared by Grantee pursuant to this Agreement, and all property purchased by Grantee with IHCDCA, state, or Federal funds under this Agreement, be delivered to IHCDCA. IHCDCA may require the transfer of records or property to its own offices or to a designated successor.

12. IHCDCA shall provide a full and detailed accounting of any property or records taken from Grantee and shall make any records available to Grantee as necessary for subsequent audit. IHCDCA and Grantee may negotiate amounts of reimbursement related to Grantee’s expenses for a period of closeout. In no event, however, shall IHCDCA reimburse Grantee an amount exceeding the Grant Amount set forth in Attachment A of this Agreement.

13. If this Agreement is terminated for any reason, IHCDCA shall only be liable for payment for services properly provided prior to the effective date of termination. IHCDCA shall not be liable for any costs incurred by Grantee in reliance upon this Agreement subsequent to the effective date of termination.

14. Grantee acknowledges and agrees that due to programmatic changes required in the WAP by IHCDCA, the United States Department of Energy, and/or Health and Human Services, IHCDCA may terminate this Agreement at the end of any fiscal year period specified on Attachment A upon sixty (60) days written notice to Grantee specifying the reasons for termination.

15. In the event this Agreement is terminated pursuant to this section, the Grantee shall cooperate with IHCDCA to ensure a smooth transition of services to recipients of the WAP.

Should a sub-grantee need to be suspended or their agreement terminated, IHCDCA will not do so until every effort has been made to locate another weatherization provider for the affected area so that clients may continue to receive services. In the event that finding a replacement provider is necessary, IHCDCA will follow the guidelines for weatherization sub-grantees detailed in 10 CFR 440 as well as any applicable DOE and IHCDCA regulations.

Single Audit:

Currently the single audit reports for Indiana’s Weatherization sub-grantees are reviewed by IHCDCA’s Financial Operations Department. Any issues or concerns that are Weatherization specific are brought to the attention of IHCDCA’s Community Programs Manager to determine if the response supplied by the sub-grantee is sufficient or if IHCDCA will require additional information or response.

During the 2017-2018 DOE funding cycle, Financial, Program and File Monitoring will be performed by a contracted firm.

V.8.4 Training and Technical Assistance Approach and Activities

Indiana utilizes T&TA to properly train all Weatherization Program Managers, Energy Auditors, crew personnel, sub-contractors, appropriate State staff as well as to cover monitoring practices.

Indiana’s Weatherization Training Center is the Indiana Community Action Association (INCAA). INCAA is IREC Accredited in all four DOE Job Task Analyses and has three IREC accredited Master Trainers. Those Master Trainer accreditations cover Energy Auditor, Retrofit Installer Technician, and Quality Control Inspector.

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. IHCDCA’s monitors are available daily via phone and/or email to answer programmatic questions. Sub-grantees with more serious needs may schedule/request an on-site visit from IHCDCA or INCAA training staff.

IHCDCA and INCAA work together closely to ensure that Indiana’s Weatherization Assistance Network receives the necessary training to meet DOE and IHCDCA requirements. Adjustments are made throughout the funding cycle as necessary to meet the T&TA needs of Indiana’s Weatherization Network.

Indiana addresses client energy education within the courses taught at INCAA. The primary focus of client energy education is within INCAA’s Energy Auditor training. While the energy education process is part of all phases of the weatherization process, Indiana believes that the Energy Auditor plays a vital role in establishing client energy education.

INCAA has available the following classes, as deemed necessary, for the 2017 DOE funding cycle:

Retrofit Installer Shell
Retrofit Installer Mechanical
Quality Control Inspector
Energy Auditor
Crew Leader
Introduction to Infrared Thermography
Zone Pressure Diagnostics
High Performance insulation
Daily Safety Test Out Procedures

Mobile Home Weatherization
Carbon Monoxide and Combustion Analysis
Electric Furnace & Heat Pump Inspections
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
Introduction to NEAT/MHEA
NEAT/MHEA Training
Whole House Heat Load Calculations
New Furnace Installation Inspections
Applying The ASHRAE 62.2
DOE Health & Safety Policy
Lead Safe Weatherization

Moisture Assessment
Testing for DOE's QCI and Energy Auditor Certifications
Multi-Family Training for QCIs
Optimizing Weatherization Program Resources

Indiana currently requires competency testing for all individuals performing work as an Energy Auditor, Retrofit Installer Shell, Retrofit Installer Mechanical and Crew Leader. The requirements and timelines for these competencies are contained in Section 600 of Indiana's Weatherization Policy and Procedures Manual. Section 600 is attached to the SF-424. Sub-grantees are required to ensure that all staff and contractors meet IHCAA's training requirements and properly track training documentation. IHCAA reviews the training documentation and tracking during their monitoring process to ensure compliance.

Indiana is looking into expanding training requirements for Weatherization Managers for 2017, and is gathering feedback from sub-grantees and technical staff at INCAA to develop curriculum for a Weatherization Manager ISV as a requirement.

T&T&A activities that took place in Indiana during the 2016 DOE grant cycle include the following:

National DOE Quality Control Inspector certification training and testing activities
National DOE Energy Auditor certification training and testing activities
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 Training
Participation in and attendance by IHCAA Staff to both NASCSP Conferences
Attendance by IHCAA's full time monitor to the Affordable Comfort Conference
Semi Annual Managers Meetings (Samm)
Semi Annual Technical Trainings
Certification/Competency Maintenance Trainings
T&T&A for Indiana's Field Guide/SWS document
Implementation of a standardized QCI/Final Inspection form for Indiana
Development and delivery of an Optimizing Weatherization Resources training for WX Energy Auditors
Development and Implementation of Multi-family QCI Course
Development of Indiana's updated site built and mobile home waiver audits

T&T&A Activities anticipated to take place during the 2017 DOE Funding Cycle include the following:

Continued testing for QCI and DOE/BPI Energy Auditor Certification
Continued participation and attendance to NASCSP Conferences
Continued training and testing for Indiana's competencies
Submit for approval Indiana's next Waiver Audit Priority List
Provide Optimizing Weatherization Resources Training for sub-grantee Executive Directors & financial staff
Provide RRP refresher training for Indiana's Weatherization Network
Provide OSHA 30 and 10 hour training opportunities
Provide Multi-family training for certified QCI
Continued BEACON energy savings analysis for each of Indiana's 22 WX sub-grantees
Enhanced focus on NEAT and MHEA training and use within Indiana's WX Network
Research and Development by INCAA on improving forms, researching current practices, etc.
Provide MITEA training for Multi-Family audits

When available, Indiana utilizes energy saving results from PRISM and BEACon to evaluate energy savings at each sub-grantee. These programs used together evaluate one year pre and one year 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 and BEACon also breaks down the performance of each contractor and energy auditor. Sub grantees are also encouraged to look at this information to identify top performers and those who may need additional training or oversight. During the 2017 DOE funding cycle IHCCA and INCAA will work to enhance the evaluation of electric usage and savings for those sub-grantees with a larger percentage of total electric homes.

Savings information is also utilized as part of Indiana's incentive pool for future and active funding opportunities. Please find below information from Indiana's Weatherization Policy and Procedures Manual showing the guidelines for the incentive pool and how energy savings plays a role in those funding decisions.

DOE and LIHEAP allocations are distributed using the census-based allocation formula for 80% of Weatherization Sub-Grantees contracted funds. The remaining 20% of the allocation is distributed out to those Weatherization Sub-Grantees who meet all of following criteria:

1. 55% or more of the prior program year contract total must have been expended.
2. Close Out Reports must be submitted and approved on time (within 45 days after the program year ends). IHCCA DMS, WAP Quarterly, Job Expense and sub-grantee Close Out report must match exactly when final claims are processed, with all line items and averages being within allowable limits
3. A 15% average energy savings as determined by PRISM/BEACon analysis of local Sub-Grantee production.
   - Effective April 1, 2017, the savings benchmark for consideration for inclusion in the incentive pool will raise to 20%.
4. No Weatherization Sub-Grantee operating under a 120-day or modified Quality Improvement Plan (QIP) will be included in the incentive pool.
5. Weatherization Sub-grantees must demonstrate regular use of the XRF for lead based paint testing.
6. Sub-grantee must meet the 45 day requirement for vendor and sub-contractor payments.

No Weatherization Sub-Grantee operating under a 120-day or modified Quality Improvement Plan (QIP) will be permitted to be included in the incentive pool during the QIP period.

No Weatherization sub-grantee operating under a Tiered Funding Agreement will be permitted to be included in the incentive pool.

Indiana uses the above process to promote full grant expenditure, quality program management and performance, and demonstrated energy savings.

IHCCA will utilize T&TA funds as outlined above to ensure compliance with all of DOE's deadlines regarding final inspections, the QCI Certification and alignment of Indiana's Weatherization Field Guide with DOE's Standard Work Specifications.

Indiana does not foresee any difficulties being able to provide the required Tier 1 and or Tier 2 training as outlined in WPN 15-4 through the use of INCAA for the Weatherization Training Indiana provides.

To meet requirements within WPN 15-4 IHCCA added the following language to their sub grantee contracts:

Sub-grantee 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-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.

Additional language was added as follows:

Sub-grantee 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 2016-2017 DOE Grant Agreements, IHCDA will update the above language 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 14-5. INCAA continues to offer training for Quality Control Inspector, Energy Auditor, Retrofit Installer, Shell and Crew Leader.

For Tier 2 training, INCAA continues to offer the following training opportunities: Moisture Assessment, Daily Safety Test Out, Retrofit Installer Mechanical, Lead Safe Work Practices, Applying ASHRAE 62.2 and Optimizing Weatherization Resources.

INCAA’s class registration system is capable of placing students on a waiting list if a class is full at time of registration. By utilizing the waiting list, INCAA, in cooperation with IHCDA, 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.

IHCDA foresees the primary focus for Tier 1 training during the 2016 Program Year to be on QCI and Energy Auditor. This is due, in part, to IHCDA’s desire to increase the number of available QCIs and their efforts to position Indiana’s WX Network to test for the national Energy Auditor Certification.

V.9 Energy Crisis and Disaster Plan

IHCDA will follow the guidance for Energy Crisis and Disaster Plan as outlined in WPN 12-07.

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. The health and safety expenditure cannot exceed 20% and the incidental repair cannot exceed $500 per unit following the Waiver Audit Priority List. Incidental repair costs as outlined in NEAT/MHEA must be followed if the NEAT/MHEA audit is utilized.

All actions taken in response to an energy crisis would be governed by WPN 12-07, 10 CFR 440.18 and require approval from IHCDA prior to engaging in any disaster related activity.
INDIANA HOUSING & COMMUNITY DEVELOPMENT AUTHORITY

WEATHERIZATION ASSISTANCE PROGRAM
2017 STATE PLAN

ATTACHMENTS CAN BE FOUND ONLINE AT
http://www.in.gov/myihcda/2395.htm

NOTE: Budget and allocation data provided in this document are estimates, official award announcements have not been made at this time.