OMB Number: 4040-004
Expiration Date: 08/31/2016

STATE OF RHODE ISLAND
DEPARTMENT OF HUMAN SERVICES
PUBLIC NOTICE OF PROPOSED ADOPTION – DHS STATE PLAN

In accordance to Rhode Island General Laws (RIGL) 42-35, notice is hereby given that the Department of Human Services proposes to amend the following DHS State Plan:

WEATHERIZATION ASSISTANCE PROGRAM FOR LOW-INCOME PERSONS

The U.S. Department of Energy's (DOE) Weatherization Assistance Program (WAP) was created in 1976 to assist low-income families who lacked resources to invest in energy efficiency. WAP is operated in all 50 states, the District of Columbia, Native American tribes, and U.S. territories. Funds are used to improve the energy efficiency of low-income homes using eh most advanced technologies and testing protocols available in the housing industry. The energy conservation resulting from the efforts of state and local agencies helps our country reduce its dependence on foreign oil and decrease the cost of energy for families in need while improving the health and safety of their homes.

WAP is governed by various federal regulations designed to help manage and account for the resources provided by the DOE. WAP funding is derived from annual appropriations from Congress. Each year, the Senate and House Interior Appropriations committees decide how much funding to allocate to the program.

In the development of this State Plan, consideration was given to the following: (1) alternative approaches; and (2) overlap or duplication with other statutory and regulatory provisions. No alternative approach or duplication or overlap was identified based upon available information.

This proposed state plan amendment is accessible on the DHS website (www.dhs.ri.gov) or available in hard copy upon request (401-462-2018 or RI Relay, dial 711). **A public hearing will be held to consider the proposed amendments on Friday, April 22 2016 at 1:00PM at the RI Department of Human Services Louis Pasteur Building, 57 Howard Ave, Fl#1 Cranston, RI 02920 in the West Wing Conference Room.** Persons wishing to testify may do so by signing up at the Hearing or by submitting written testimony by Friday, April 22, 2016 to Christina Clement, Office of Policy Development, Department of Human Services, Louis Pasteur Building, Bldg. 57, Howard Avenue, Cranston, RI 02920.

The Hearing will begin at 1:00 P.M. and will conclude when the last speaker finishes testimony or at 3:00 P.M., whichever occurs first. The RI Department of Human Services Louis Pasteur Building is accessible to the handicapped. Individuals with hearing impairments may request an interpreter's presence by calling 711 or Relay RI 1-800-745-6575 (Voice) and 1-800-745-5555 (TDD). Requests for this service must be made at least 72 hours in advance of the Hearing date. The Department of Human Services does not discriminate against individuals based on race, color, national origin, sex, gender identity or expression, sexual orientation, religious belief, political belief or handicap.

OMB Number: 4040-004
Expiration Date: 08/31/2016

APPLICATION FOR FEDERAL ASSISTANCE SF-424 Version 02

1. Type of Submission:
- [ ] Preapplication
- [x] Application
- [ ] Changed/Corrected Application

2. Type of Application:
- [ ] New
- [x] Continuation
- [ ] Revision

If Revision, select appropriate letter(s)

Other (specify):

3. Date Received
03/16/2012

4. Applicant Identifier:

5a. Fed Entity Identifier:

5b. Federal Award Identifier:
DE-EE0006182

State Use Only:

6. Date Received by State: 01/18/2015

7. State Application Identifier:

8. APPLICANT INFORMATION:

a. Legal Name: State of Rhode Island

b. Employer/Taxpayer Identification Number (EIN/TIN):
056000522

c. Organizational DUNS:
929922706

d. Address:

Street 1: 57 Howard Avenue
Street 2:
City: Cranston
County: PROVIDENCE County
State: RI
Province:
Country: U.S.A.
Zip / Postal Code: 029200000

e. Organizational Unit:

Department Name:
RI Department of Human Services

Division Name:
Division of Community Services

f. Name and contact information of person to be contacted on matters involving this application:

Prefix: Mrs
First Name: Julie
Middle Name: A
Last Name: Capobianco
Suffix:

Title: Chief Program Development

Organizational Affiliation: Department of Human Services

Telephone Number: 4014626420
Fax Number:

Email: Julie.Capobianco@dhs.ri.gov

APPLICATION FOR FEDERAL ASSISTANCE SF-424 Version 02

9. Type of Applicant:

A State Government

10. Name of Federal Agency:

U. S. Department of Energy

11. Catalog of Federal Domestic Assistance Number:

81.042

CFDA Title:

Weatherization Assistance Program

12. Funding Opportunity Number:

DE-WAP-0002016

Title:

2016 Weatherization Assistance Funding Opportunity

13. Competition Identification Number:

Title:

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

Statewide

15. Descriptive Title of Applicant's Project:

Weatherization Assistance Program for Low-Income Persons

APPLICATION FOR FEDERAL ASSISTANCE SF-424 Version 02

16.Congressional District Of:

a. Applicant: Rhode Island Congressional District 01 b. Program/Project: RI-01

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

17. Proposed Project:

a. Start Date: 07/01/2015 b. End Date: 06/30/2016

18. Estimated Funding ($):

a. Federal	1,094,465.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	1,094,465.00

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:
- [x] 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)**

- [x] 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: Ms First Name: Madeline

Middle Name:

Last Name: Colon

Suffix:

Title: Principal Human Services Business Officer

Telephone Number: 4014626411 Fax Number:

Email: madeline.colon@dhs.ri.gov

Signature of Authorized Representative: Signed Electronically **Date Signed:**

OMB Approval No. 0348-0044

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0006182	2. Program/Project Title Weatherization Assistance Program	
3. Name and Address	State of Rhode Island 57 Howard Avenue Cranston, RI 029200000	4. Program/Project Start Date 07/01/2015 5. Completion Date 06/30/2016

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DOE 2015 WAP Formula Funds	81.042	$ 200,000.00		$ 1,094,465.00		$ 1,294,465.00
2. STATE			$ 0.00		$ 0.00	$ 0.00
3.						
4.						
5. TOTAL		$ 200,000.00	$ 0.00	$ 1,094,465.00	$ 0.00	$ 1,294,465.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRATION	(2) SUBGRANTEE ADMINISTR	(3) GRANTEE T&TA	(4) SUBGRANTEE T&TA	
a. Personnel	$ 35,915.00	$ 0.00	$ 46,834.00	$ 0.00	$ 82,749.00
b. Benefits	$ 13,103.00	$ 0.00	$ 17,916.00	$ 0.00	$ 31,019.00
c. Travel	$ 3,000.00	$ 0.00	$ 0.00	$ 0.00	$ 3,000.00
d. Equipment	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
e. Supplies	$ 278.00	$ 0.00	$ 1,228.00	$ 0.00	$ 1,506.00
f. Contract	$ 200.00	$ 54,723.00	$ 34,900.00	$ 106,077.00	$ 1,172,164.00
g. Construction	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
h. Other	$ 2,227.00	$ 0.00	$ 1,800.00	$ 0.00	$ 4,027.00
i. Total Direct Charges	$ 54,723.00	$ 54,723.00	$ 102,678.00	$ 106,077.00	$ 1,294,465.00
j. Indirect	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
k. Totals	$ 54,723.00	$ 54,723.00	$ 102,678.00	$ 106,077.00	$ 1,294,465.00
7. Program Income	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00

OMB Approval No. 0348-0044

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0006182	2. Program/Project Title Weatherization Assistance Program	
3. Name and Address	State of Rhode Island 57 Howard Avenue Cranston, RI 029200000	4. Program/Project Start Date 07/01/2015 5. Completion Date 06/30/2016

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		$ 200,000.00	$ 0.00	$ 1,094,465.00	$ 0.00	$ 1,294,465.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2) HEALTH AND SAFETY	(3) LIABILITY INSURANCE	(4) FINANCIAL AUDITS	
a. Personnel	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 82,749.00
b. Benefits	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 31,019.00
c. Travel	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 3,000.00
d. Equipment	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
e. Supplies	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 1,506.00
f. Contract	$ 844,614.00	$ 125,000.00	$ 5,250.00	$ 1,400.00	$ 1,172,164.00
g. Construction	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
h. Other	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 4,027.00
i. Total Direct Charges	$ 844,614.00	$ 125,000.00	$ 5,250.00	$ 1,400.00	$ 1,294,465.00
j. Indirect	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
k. Totals	$ 844,614.00	$ 125,000.00	$ 5,250.00	$ 1,400.00	$ 1,294,465.00
7. Program Income	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00

OMB Control No: 1910-5127
Expiration Date: 11/30/2016

U.S. Department of Energy

WEATHERIZATION ASSISTANCE PROGRAM (WAP)

WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0006182, State: RI, Program Year: 2016)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Community Action Partnership of Providence (Providence)	$238,426.00 38
Blackstone Valley Community Action Program (Pawtucket)	$222,531.00 36
Comprehensive Community Action Programs (Cranston)	$131,929.00 21
East Bay Community Action (Riverside)	$142,942.00 23
South County Community Action Program (Wakefield)	$128,296.00 21
Tri-Town Community Action Program (Johnston)	$130,567.00 21
Westbay Community Action Program (Warwick)	$140,672.00 23
Total:	**$1,135,363.00** **183**

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	183
Reweatherized Units	0

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

Average Unit Costs, Units subject to DOE Project Rules		
VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)		
A	Total Vehicles & Equipment ($5,000 or more) Budget	$0.00
B	Total Units Weatherized	183
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	183
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)		
F	Total Funds for Program Operations	$844,614.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	183
H	Average Program Operations Costs per Unit (F divided by G)	$4,615.38
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	$0.00
J	Total Average Cost per Dwelling (H plus I)	$4,615.38

IV.3 Energy Savings

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

	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	183	29.3	5362
Prior Year Estimate	163	30.5	4972

U.S. Department of Energy

WEATHERIZATION ASSISTANCE PROGRAM (WAP)

WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0006182, State: RI, Program Year: 2016)

Prior Year Actual	49	30.5	1494

Method used to calculate savings description:

Rhode Island will use the calculation based on the energy savings study conducted by the Oak Ridge National Laboratory to support this figure for projected energy savings (multiplier of 29.3 MBTU).

IV.4 DOE-Funded Leveraging Activities

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

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

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

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

Since 2013, CLEAResult has operated as the lead vendor for National Grid's Eligible Services (IES) program. In order to provide the best possible service to our clients, DHS and CLEAResult work collaboratively to deliver weatherization services to eligible Rhode Islanders. Although the DOE WAP program in RI is not directly affected (DOE funds and utility funds are not blended on DOE jobs), the WAP program overall benefits from this working partnership. The CLEAResult team brings another element of energy efficiency knowledge and expertise to the program, and both DHS and CLEAResult share many of the same goals for process improvement and enhanced quality assurance. As an example, CLEAResult and DHS have formed a "Weatherization Technical Committee" (WTC). The WTC meets on alternating months and is comprised of a technical representative from each CAP agency (i.e. an experienced energy auditor); the CLEAResult QA Manager; and the three state monitors to discuss and as needed develop policy on weatherization matters of a technical nature. Topics covered to date include include knob and tube wiring, ASHRAE 62.2, QWP/QCI, Hancock (i.e. HEAT), attic ventilation and more. Best Practices found as a result of field monitoring are also presented and discussed. DHS and CLEAResult have also worked collaboratively on the development of a RI WAP/IES Operations Manual which will incorporate all applicable elements of WPN 15-4.

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

No state funds are used to support RI WAP.

IV.5 Policy Advisory Council Members

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

Energy Efficiency Resource and Management Council	Type of organization: Unit of State Government Contact Name: Mark Kravatz Phone: 8024825638 Email: kravatz@optenergy.com
Housing Resources Commission	Type of organization: Unit of State Government Contact Name: Mr. Raymond Neirinckx Phone: (401)450-1356 Email: raymond.neirinckx@doa.ri.gov
National Grid	Type of organization: Utility Contact Name: Mr. David MacLellan Phone: 4013511800 Email: david.maclellan@clearesult.com
	Type of organization: Unit of State Government

U.S. Department of Energy

WEATHERIZATION ASSISTANCE PROGRAM (WAP)

WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0006182, State: RI, Program Year: 2016)

Office of Energy Resources	Contact Name: Shauna Beland Phone: 4015749111 Email: Shauna.Beland@energy.ri.gov
Providence Green and Healthy Homes Initiative	Type of organization: Other Contact Name: Betsy Stubblefield Loucks Phone: 4015808075 Email: bloucks@ghhi.org
Rhode Island Community Action Agency Association	Type of organization: Non-profit (not a financial institution) Contact Name: Paula McFarland Phone: 4019410774 Email: pmcfarland@ricaa.org
Rhode Island Housing	Type of organization: Unit of State Government Contact Name: Mr. John Eastman Phone: 4014501386 Email: jeastman@rhodeislandhousing.org
RI Department of Health	Type of organization: Contact Name: Mr. Robert R. Vanderslice, PhD. Phone: (401)222-7766 Email: Robert.Vanderslice@health.ri.gov
RI Department of Health and Human Services	Type of organization: Unit of State Government Contact Name: Mr. Fred Sneesby Phone: 4014621669 Email: Frederick.Sneesby@dhs.ri.gov

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

Date Held	Newspapers that publicized the hearings and the dates the notice ran
04/22/2016	The Notice of Public Hearing on the 2016 WAP grant application was posted on the RI Department of Human Services' website (www.dhs.ri.gov) on 04/12/2016. A copy of the Notice(s) are attached to the SF-424 On 04/22/2016 a Public Hearing was held on the 2016 RIWAP State Plan. A copy of the official transcript will be sent under separate cover to the DOE Project Officer when it is received from the court stenographer.

IV.7 Miscellaneous

1. Recipient Business Officer and Recipient Principal Investigators

Recipient Business Officer

Mr. Frederick Sneesby
Administrator, Children and Family Services
Department of Human Services
57 Howard Avenue, Louis Pasteur Building
Cranston, RI 02920
(401) 462-1669
Frederick.Sneesby@dhs.ri.gov

Recipient Principal Investigator

Ms. Julie Capobianco
Chief Program Development
Weatherization Assistance Program
Department of Human Services
57 Howard Avenue, Louis Pasteur Building
Cranston, RI 02920
(401) 462-6420
Julie.Capobianco@dhs.ri.gov

2. The allocation requirements and priorities set forth in Section 440.15 (A) have been implemented. DHS ensures that all Weatherization assistance funds are allocated to non-profit corporations operating under Title II of the Economic Opportunity Act of 1964, 42 USC - 2809. The allocation process is based upon negotiation of individual contracts with non-profit corporations. The determining factors are: past performance by service area, incidence of poverty in the area covered; number of LIHEAP households assisted in the service area; and the ability of the agency to weatherize homes effectively.

OMB Control No: 1910-5127
Expiration Date: 11/30/2016

U.S. Department of Energy

WEATHERIZATION ASSISTANCE PROGRAM (WAP)

WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0006182, State: RI, Program Year: 2016)

3. Per WPN 10-12, RI WAP will comply with Section 106 of 16 USC 470 of the National Historic Perservation Act (NHPA). DHS has entered into a Memorandum of Understanding with the Rhode Island Historical Preservation and Heritage Commission (February 2010) relating to the reporting of historic properties and weatherization. In 2015, the MOU was updated and extended. A copy of this MOU has been attached to the SF-424, and was used in lieu of the Programmatic Agreement (PA). All CAP agencies submit addresses for historic review and clearance per the guidelines established by the RI Historical Preservation and Heritage Commission (RIHPHC). Historic Preservation reports are submitted to DOE as required.

4. National Grid and LIHEAP funding continue to be the largest funding sources for WAP. RI WAP received it's 10% allocation from LIHEAP in 2015 which equates to $2.42 million. LIHEAP funds provide leveraged dollars for National Grid's Income Eligible Services (IES) program. IES does not cover the majority of health and safety measures necessary for whole house weatherization and our LIHEAP allocation effectively supplements the IES program to ensure that clients receive comprehensive weatherization services. In addition, LIHEAP funds will be used to address health and safety issues for IES customers, especially costs associated with implementation of the ASHRAE 62.2 2013 and soon 2016 ventilation standards.

5. The Rhode Island PAC met on April --, 2016 to collectively review and discuss the 2016 RI DOE WAP state plan application. Members were provided a copy of the plan in advance of the meeting, and were also e-mailed the notice of public hearing.

6. Based on recent year per/home averages, an average cost per unit was estimated at $4200 including $500 for Health and Safety measures. HHS/LIHEAP funds will be used for leveraging measures not covered with DOE funds.

7. The Weatherization Policy Advisory Council is a stand alone PAC, and meets for DOE Weatherization purposes only.

U.S. Department of Energy

WEATHERIZATION ASSISTANCE PROGRAM (WAP)

STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0006182, State: RI, Program Year: 2016)

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

V.1 Eligiblility

V.1.1 Approach to Determining Client Eligibility

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

All dwelling units to be weatherized shall be determined eligible in such a manner to ensure that each weatherized unit meets the qualifications of CFR 440.22 - Eligible Dwelling Units.

Rhode Island elects to use LIHEAP income guidelines - 60% of state median income- to determine eligibility for WAP. For families with seven (7) or more in the household, DHS has revised WAP eligibility to be 200% of federal poverty level to meet the requirements of 10 CFR 440.22 and WPN 16-3. All Subgrantees will be provided with this information and have been instructed to refer to 2016 DOE WAP Income Guidelines, attached to the SF-424.

440.22 Eligible dwelling units. (a) A dwelling unit shall be eligible for weatherization assistance under this part if it is occupied by a family unit: (1) Whose income is at or below 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget, (2) Which contains a member who has received cash assistance payments under Title IV or XVI of the Social Security Act or applicable State or local law at any time during the 12-month period preceding the determination of eligibility for weatherization assistance; or (3) If the State elects, is eligible for assistance under the Low-Income Home Energy Assistance Act of 1981, provided that such basis is at least 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget.

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

Describe what household Eligibility basis will be used in the Program

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

No dwelling unit may be weatherized without documentation that the unit is an eligible dwelling unit. Applications for assistance under this Program will be made through the Weatherization Service Agency (the Subgrantee) who has the responsibility of ensuring that the applicant represents a family unit whose income is at or below minimum income guidelines. Only families with income no higher than the figures listed below may be assisted. Rhode Island elects to use LIHEAP income guidelines - 60% state median income - for the RI Weatherization Assistance Program for households with six (6) or less. In order to comply with 10 CFR 440.22. households with seven (7) or more will follow a different eligibility threshold - 200% of Poverty Level - as described in WPN 15-3.

PY 2016 Low-Income Guidelines for DOE WAP

FAMILY SIZE (12 Month Income may not exceed):

1 - $27,878

2 - $36,456

3 - $45,034

4 - $53,612

5 - $62,190

6 - $70,768

7 - $72,376 **DOE WAP Eligibility: $73,460 200% Poverty**

8 - $73,985 **DOE WAP Eligibility: $81,780 200% Poverty**

9 - $75,593 **DOE WAP Eligibility: $98,420 200% Poverty**

10 - $77,201 **DOE WAP Eligibility: $98,420 200% Poverty**

11 - $78,810 **DOE WAP Eligibility: $106,740 200% Poverty**

12 - $80,418 **DOE WAP Eligibility: $115,060 200% Poverty**

LIHEAP intake workers will be provided guidance on following the provisions of 16-3. Families with seven or more that do not qualify for LIHEAP may still be eligible for weatherization services, and it is incumbent on the Subgrantees to refer these families to WAP for further information. If a family does qualify for WAP, but not for LIHEAP, a separate intake will be done in HES by the weatherization office. If eligible for services, these jobs will be 100% DOE funded, with no LIHEAP funds leveraged.

In addition, DHS will work with HES to determine if families with seven (7) or more in the household that are denied for LIHEAP, but below 200% FPL, could be flagged for follow-up by the Subgrantee.

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

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

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

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

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

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

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

DHS helps to ensure that the benefits of weatherization are protected for tenants of rental units by requiring 1) An executed copy of the "Authorization to Perform Work" and the "Rhode Island Weatherization Assistance Program Rental Units Building Agreement". These two forms help ensure that written permission of the building owner or his agent is given before commencing work; the benefits of the services accrue primarily to the low-income tenants residing in such units; that for a reasonable period of time after completion, the household will not be subjected to rent increases (unless those increases are demonstrably related to other matters other than the weatherization work performed).

When altering the exterior to any home built after 1966, Historic Preservation protocols must be followed. The MOU between the state (DHS) and the RI Historical Preservation and Heritage Commission (RIHPHC) has been updated and is under DHS legal review. All terms and conditions of the "old" MOU are still in effect and policies and procedures are being followed. In addition, the Hancock Energy System has developed and added a "Historic Preservation Review" section on the "Audit Information" screen of the audit tool where users must indicate compliance with Historic Preservation requirements, as applicable.

RI WAP/IES AUTHORIZATION TO PERFORM WORK

I, the undersigned, _____

Name

_____

Address

_____

Telephone

Hereby certify that I am the owner or owner's agent of the improved real property located at:
_____

And, as such owner, do hereby authorize (Name of CAP agency) staff to make certain energy conservation improvements to the said real property, with the understanding that there shall be no charges made by anyone for labor, and further, I hereby release and pledge to hold harmless (Name of CAP agency) from any liability in connection with the performance of the work noted below or any act of eventuality arising from such work.

_____ ____/____/20__
Owner or Agent Date

_____ ____/____/20__
Weatherization Coordinator Date

_____
(Name of CAP Agency)

Work to be performed: Energy Audit, Weatherization

RI WAP/IES Rental Units Building Agreement

This Agreement is by and between _____("Agency") and _____, of _____("Owner")(collectively, the "Parties").

WHEREAS, the Agency makes available certain monies to weatherize eligible rental properties so as to provide energy efficient dwellings for the income eligible residents of the State of Rhode Island; and,

WHEREAS, the Owner's tenant has made application to the Agency for weatherization services; and,

WHEREAS, the Agency will consider the eligibility of the Premises for such weatherization monies upon certain terms and conditions.

NOW THEREFORE, upon the premises and conditions set forth herein, the Parties agree as follows:

1. If the Agency, in its sole discretion, determines that the rental property located at _____("Premises") is eligible for weatherization services, the Agency agrees to weatherize the Premises in accordance with the Scope of Weatherization Work set forth in Exhibit A, as attached hereto and incorporated by reference, through the services of its approved contractor at the Agency's cost ("Weatherization Program"). All Weatherization Work under the Weatherization Program shall be performed in a good workmanship manner in accordance with all applicable building laws, codes and regulations. Contractor shall be insured against its/his/her negligence in the performance the Weatherization Work at the Premises.

2. The Owner represents and warrants that it/he/she has reviewed, understands and agrees to the Scope of the Weatherization Work, that the Premises are safe for such work to be performed by the Contractor, that the Premises are in such condition that the Weatherization Work will be capable of being performed so as to make the Premises more energy efficient, that no repairs need to be made to the Premises before the Contractor arrives at the Premises to begin the Weatherization Work, and that the Contractor shall be provided access to the Premises and permitted to perform said work, with reasonable accommodation to electricity and water, as may be needed.

3. In consideration of the Weatherization Work being performed, the Owner agrees for a period no less than two (2) years from the date this agreement, that:

a. The Owner agrees not to evict the Tenant(s), as identified in Exhibit B as attached hereto, during the Term, except for non-payment of rent or material breach of the terms of any written lease.

b. The Owner agrees not to increase the stipulated rental as set forth in Exhibit B, except to recover actual increases in property taxes or the costs of capital improvements to the Premises (not resulting from the Weatherization Work) paid for by the Owner (i.e. replacement of a roof). In the event of tax increases or the payment by Owner of capital improvements, the Owner shall evenly allocate the need for a rental increase fairly and equitably amongst all units.

c. The Owner agrees a Tenant's lease may be renewed for successive periods, during and beyond the Term. However, if the Owner is not desirous of renewing a Tenant's lease should it end during the Term, Owner must lease such unit at the stipulated rental to a household which is income eligible for the Weatherization Program for the remainder of the Term.

4. The Owner hereby represents and warrants that the Premises are not presently being offered for sale, and further agrees to give the Agency thirty (30) days written notification of any intended sale of the Premises during the Term. At least ten (10) days prior to any sale, the Owner agrees to obtain, in writing, the purchaser's consent to assume the Owner's obligations under this Agreement or, if this consent is not obtained, to pay the Agency the full cost of Weatherization Work, as itemized for labor, materials, support and administrative costs to Owner, at the closing for the sale of the Premises.

5. The Owner understands that in some instances energy efficient measures cannot be installed due to delays caused by the Owner (i.e. such as a lack of access), needed repairs to the Premises beyond the scope of the Weatherization Program (i.e. repair of a leaky roof), or other reason. In such instances, the Weatherization Work may be deferred.

6. The Owner agrees to maintain the Weatherization Work performed and energy efficient materials installed under this Agreement in good order.

7. The Agency and the Owner agree that the Tenants and future tenants are meant as the persons to benefit from the Weatherization Work performed under this Agreement, and as third-party beneficiaries may enforce this Agreement in their own name. The Owner shall provide a copy of this Agreement to each Tenant.

8. The Agency agrees to give the Owner written notice, at the address above provided, of non-compliance with this Agreement and the grounds thereof. If within seven (7) days of the notice the Owner fails to take responsible steps to come into compliance, the Owner will be considered in default of this Agreement.

9. Upon default of this Agreement, the Owner agrees to pay to the Agency the full cost incurred by the Agency relating to this Agreement, including materials, labor, support, and administrative costs.

10. Upon completion of the work, the customer shall be provided a copy of the Final Acceptance Report which details the measures installed in the home.

11. This Agreement is enforceable under the laws of the State of Rhode Island.

_____ _____ Owner Date

_____ _____
CAP Agency Date

EXHIBIT A

UNITS, TENANT(S) AND RENTS

The Owner hereby certifies that the current tenant(s) at the Premises, together with the stipulated rental is/are as follows:

Unit _____ Monthly Rent: $_____

Name: _____

Print

Unit _____ Monthly Rent: $_____

Name: _____

Print

Unit _____ Monthly Rent: $_____

Name: _____

Print

Unit _____ Monthly Rent: $_____

Name: _____

Print

(collectively, "Tenant").

Owner:

_____

Sign:

_____

Print name:

_____

Date:

Describe Reweatherization compliance

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

Describe what structures are eligible for weatherization

Structures eligible for weatherization include single family, manufactured housing, and multi-family dwellings. All structures must be stationary and

have a specific mailing/street address. Campers and non-stationary trailers are not eligible for weatherization services. Shelters and group homes may also be weatherized. Eligibility is specified in the "Definitions" section of 10 CFR440.

Rhode Island has approximately 463,000 housing units of which 409,308 are occupied (88.4%). The bulk of the housing is single-family detached homes, and over half of all housing units in the state have two or three bedrooms. About 60% of occupied units in the state are owner-occupied, and the rest are renter-occupied.

It is estimated that one-third of the housing units in the state are at least 70 years old. Another half of the housing units in the state were built between 1940 and 1980. 42%) of the occupied housing units are at or below "low income" levels (80% Average Median Income). Of the 173,460 occupied low income housing units, 104,076 (60% (25.2% of overall occupied housing units) are renters and 69,384 (40% (16.8% of overall occupied housing units) are homeowners.

Describe how Rental Units/Multifamily Buildings will be addressed

1. In order to ensure that the benefits of weatherization are protected in accordance with 440.22(b)(3), all weatherization rental units are required to obtain the owner's consent on the "Authorization to Perform Work" form, and by also signing the "Rhode Island Weatherization Assistance Program Rental Units Building Agreement". Among other things, the Rental Units Building Agreement helps ensure that the benefits of Weatherization services accrue primarily to the low income tenants residing in the units and that for a reasonable period of time after completion that the household will not be subject to a rent increase unless the increases can be attributable to other causes. The Authorization to Perform Work, and the Rental Units Building Agreement is attached to the SF 424, and is referenced in Section V.1.2.

2. Because of limited DOE WAP funding, DHS does not anticipate completing any large multi-family weatherization buildings with DOE funds. In RI, National Grid provides a significant amount of DSM funding to support low-income multi-family energy efficiency projects. This program is administered by RISE Engineering, Lead Vendor for National Grid. Where appropriate, DHS refers inquiries for multi-family weatherization services to RISE. Because RI WAP does not use it's DOE or LIHEAP WAP allocation for large (5+) multi-family weatherization projects, HUD lists are not used to determine eligibility.

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

In RI, multi-family is defined by:

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

- Are connected or adjacent to each other, or to a 5+ unit building, and

- Are owned by the same individual or firm.

Stand-alone 1-4 unit buildings that do not meet the above requirements are considered “single-family” and will be served traditionally through WAP or National Grid’s Income Eligible Services Program as appropriate.

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

As provided for in 10 CFR 440.22 an eligible dwelling unit may be weatherized where not less than 66% (50% for two and four unit buildings) are eligible.

Procedures for Weatherizing Buildings with Two or More Units

A.Buildings with Less than 50% of the Dwelling Units Eligible

When less than 50% of the dwelling units in a building are eligible for weatherization, the following procedures must be followed:

- All applicable major air sealing/general heat waste, heating system and wall insulation must be completed on the eligible unit;
- All common areas (hallways, attics, basements) that are immediately adjacent to the eligible unit must be weatherized;
- The building's ineligible units cannot be weatherized.
- Allowable expenditures are limited to those of the eligible unit or units and production credit will be granted for the eligible unit(s) only.

B. Buildings Where 50% of the Units in a Two (2) or Four (4) Unit Building, or 66% of the Units in Any Building, Are Eligible

When 50% of the units in a two (2) or four (4) unit building, or 66% of the units in any building are eligible for weatherization, the Subgrantee may weatherize only the eligible unit or units and common areas in the building and the following procedures must be followed:

- All applicable major air sealing/general heat waste, heating system and wall insulation must be completed on the eligible unit(s)
- All common areas (hallways, attics, basements) regardless of their location, must be weatherized;
- The building's ineligible units cannot be weatherized.
- Allowable expenditures are limited to those of the eligible unit or units and production credit will be granted for the eligible unit(s) only.

Describe the deferral Process

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

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

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

CAP AGENCY LETTERHEAD

Dear: _____ Date: _____

Address: _____

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

1. Structurally unsound dwelling.

2. Evidence of substantial, persistent infestation of rodents, insects, or other harmful/objectionable animals that are difficult to control.

3. Electrical or plumbing hazards that cannot be resolved prior to or as part of weatherization services.

4. The presence of raw sewage around or in any part of the dwelling.

5. Environmental hazards such as excessive mold and moisture problems, excessive CO levels exceeding the scope of Weatherization, friable asbestos, or other hazardous materials, which cannot be resolved prior to or as part of weatherization services.

6. The presence of a dead animal, or animal feces, in any area of the dwelling where program staff must install weatherization measures.

7. Excessive debris build up in and around the dwelling unit which limits the program staff access to the dwelling.

8. Maintenance and housekeeping practices that are negligent to the point of limiting access of program staff to the dwelling.

9. Client is either threatening, abusive, or uncooperative to crew, contractors, auditors or program management who must work on or visit the home.

10. The presence and/or use of any controlled substance in the dwelling during the weatherization process or other illegal activity.

11. Structurally unsound dwelling or dwelling in which the cost of repairs substantially exceeds the cost of the weatherization conservation measures.

12. Major remodeling is in progress, limiting the proper completion of weatherization measures.

13. Substantial amount of standing water in or around the crawl space or basement area limiting the proper completion of weatherization measures

14. Proposed conservation measures will result in minimal energy savings and the cost of installing these measures have a savings-to-investment ratio of less than one (1).

15. Uncooperative property owner or tenant who refuses a weatherization measure, or refuses to make modifications necessary to permit a measure to be completed.

16. Other: _____

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

Sincerely,

_____

Weatheriza on Program Manager

Deferrals/Denied applica ons are tracked in the Hancock Database

V.1.3 Definition of Children

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

V.1.4 Approach to Tribal Organizations

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

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

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

V.2 Selection of Areas to Be Served

All 39 cities and towns in the state will be served. The 2016 Service Areas of the State have been identified as follows:

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

Comprehensive Community Action Agency: Cranston, Foster, Scituate

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

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

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

Providence Community Action Agency: Providence

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

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

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

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

V.3 Priorities for Service Delivery

Priority is given to identifying and providing weatherization assistance to families with children, the elderly, persons with disabilities who are low-income; length of time on waiting list, and percentage of poverty level.

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

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

1. Senior Citizen Household Member: _____

60-65.....1 point66-71..... 2 points 72-77.... 3 points78-83.... 4 points84 + ... 5 points

2. Disabled: _____

1 point for each disabled household member

3. Families with Children: _____

Under age 1.....5 points 1–2.....4 points3-5.....3 points6-9..... 2 points10-17..... 1 point *4. High Energy User:* _____

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

If true, add 1 point

V.4 Climatic Conditions

Rhode Island has one climate zone (Zone 5) as defined in the IECC.

https://www.energycodes.gov/sites/default/files/documents/RhodeIslandResidentialCostEffectiveness.pdf

For the purposes of WAP, DHS regards the entire state as having a uniform climate. Subgrantees use the "Providence" weather stations in Hancock when completing energy audits. For Providence, Hancock has calculated the HDD using data from NOAA-NWS for all sum of degrees for the days that the temperature is below 65 degrees Fahrenheit (under 65 degrees is when heating is needed)

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

Providence Heating and Cooling

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

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

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

1/1/2012	960
2/1/2012	822
3/1/2012	609
4/1/2012	423
5/1/2012	185
6/1/2012	92

7/1/2012	5
8/1/2012	9
9/1/2012	109
10/1/2012	284
11/1/2012	704
12/1/2012	815
	5017

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

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

As required by WPN 15-4, RI contracted with Saturn Resource Management to develop the SWS-aligned *Rhode Island Weatherization Field Guide*. RI's Weatherization Technical Committee (WTC) was an integral part of the review and editing of this document. In July of 2015, after the Field Guide was approved by DOE, DHS held training for all RI WAP program staff, including contractors. Jules Junker (Thermal Works Vermont)provided a detailed classroom review and each contractor received a bound copy and confirmed receipt. Field training followed, using the new field guide as the training instrument.

DHS is finalizing it's updated "RI WAP/IES Operations Manual" in collaboration with Clearesult, the administrator of NGRID's Income Eligible Services (IES) weatherization program. Expected date for release is June 1, 2016. The manual is undergoing final review, and will be thoroughly reviewed by the WTC, and all program staff. This Operations Manual has also been aligned with 15-4. Printed copies will be distributed (hand-delivered with confirmation of receipt) to all subgrantees and weatherization contractors

DHS will ensure that all expectations and requirements are communicated and codified in appropriate agreements and contracts. This will include all DHS/CAP Agency contract agreements, and all CAP Agency/Weatherization contractor contract agreement and will include the following language:

SPECIFIC TERMS

During the Term, the Subgrantee shall weatherize eligible dwelling units in compliance with the terms of the RI WAP Operations Manual, the RI Weatherization Field Guide, this Agreement, as well as any Federal or State statutes or regulations pertaining thereto, including but not limited to 42 U.S.C. § 6861 et seq.; and 10 C.F.R. Part 440 and 600; the requirements specified in Office of Management and Budget ("OMB") 2 CFR 200 and all other applicable Federal, State, and local laws, rules, regulations, administrative procedures, guides, manuals, program rules, regulations, and definitions, and any amendments thereto, in performing its obligations under this Agreement. Subgrantee specifically acknowledges that it must comply with all applicable Federal, State, and local laws, rules, and regulations pertaining to wages, hours, conditions of employment, and all health and safety standards.

Subgrantee shall perform weatherization services during the Term in accordance with the U.S. Department of Energy Weatherization Assistance Program State Plan for the State of Rhode Island, the Rhode Island Weatherization Field Guide, the Rhode Island Operations Manual, other State Weatherization directives as applicable, and any amendments thereto (collectively "State Weatherization Plan and Directives"). Subgrantee shall abide by and perform all work in accordance with the RI Weatherization Field Guide which has been aligned with the Department of Energy's Standard Work Specifications (SWS). The Subgrantee's signature on this agreement signifies its responsibility to follow all work standards as outlined in the documents referenced in this paragraph.

Subgrantee shall comply with all of the training and certification requirements that are specified in the RI Weatherization Operations Manual, and WPN 15-4 as required by the DOE.

No subcontractor of Subgrantee shall be paid for any work performed until such time as Subgrantee has performed an inspection of all of the weatherization work completed and has determined that any such work has been performed in a satisfactory manner ("Final Inspection").

Subgrantee shall ensure that all Weatherization staff and subcontractors who perform or provide Weatherization services to client homes receive and adhere to all standards as outlined in Rhode Island's Weatherization Field Guide, The Rhode Island Weatherization Assistance Program Operations Manual, the Department of Energy Weatherization Assistance Program State Plan for Rhode Island and other State Weatherization directives as applicable. The Subgrantee'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 subcontractors receive and review these documents and use them to guide the Weatherization work performed in client homes by them.

Subgrantee shall include language in subcontractor contracts detailing that all Weatherization services will be performed in accordance with the standards outlined within the documents as described in this Agreement.

The type of weatherization work to be performed by the subgrantees will include energy measures identified by the Hancock Energy Audit Tool (HEAT). All materials will be installed in accordance with the DOE-approved energy audit and Appendix A of 10 CFR 440.

DHS received single family audit approval on 8/31/15. RI conducts HEAT audits for every single family-site built unit.

Typical weatherization testing/measures include:

1. Health and safety measures allowable under 10 CFR 440, and as described in the RIWAP Health and Safety Plan

2. Furnace efficiency modifications (non-DOE funds);
a. Replacement burners designed to substantially increase the energy efficiency of the heating system;
b. Devices for modifying flue opening which will increase the energy efficiency of the heating system;
c. Electrical or mechanical furnace ignition systems which replace standing gas pilot lights;
d. Boiler or heating system replacement (non-DOE funds)

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

3. Sealing major bypasses and other air sealing/general heat waste priorities;

4. Install interior storm windows, where cost effective;

5. Ceiling, attic wall, floor and duct insulation;

6. Caulking and weatherstripping of doors and windows;

7. Installation of energy-conserving devices or technologies such as:

a. Items to improve attic ventilation;
b. Vapor barriers;
c. Materials used as a patch to reduce infiltration through the building envelope

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

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Single-Family :	Single Family Audit Approval granted 8/31/2015
Manufactured Housing :	Mobile Home Audit Expired. See Comments.
Multi-Family :	HEAT for small multi-family dwellings. See Comments.

Comments

HEAT
Rhode Island's single family audit procedures were approved on 8/31/15.

Mobile Home Audit
DHS recognizes that it is not in compliance with the requirement for an approved mobile home audit. RI had received MHEA training in 2012 from Mike Gettings (ORNL) but abandoned plans to pursue MHEA approval when it was discovered that MHEA does not recognize

or include foaming of mobile home bellies in the audit which is a common measure in the program. RI plans to begin the mobile home audit approval process with Hancock and SMS before July 1, 2016. At the time of this application, Hancock is working with the State of Vermont for mobile home audit approval, and RI is next in line in the queue.

DOE funds are never used to weatherize mobile homes. It is not allowable in Hancock. RI uses LIHEAP and/or utility funds to weatherize mobile homes so that population can continue to be served. Mobile homes account for 0.9% of the total housing units in the state. A mobile home "priority list" has been loaded into Hancock which was based on an older DOE approved mobile home audit for RI, a review of mobile home completion forms for commonly installed mobile home measures, and a review and analysis of the Vermont mobile home energy audit.

Multi-Family

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

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

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

V.5.3 Final Inspection

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

Subgrantees are strongly encouraged to conduct "work in progress" inspections on at least 50% of jobs to review contractor work, discuss issues and concerns, check for lead safe work practices, and inspect attic air sealing work.

Beginning July 1, 2015 all DOE units must receive an inspection by a certified Quality Control Inspector (QCI). At this time, there nine (9) fully certified QCI inspectors in RI. All subgrantees have at least one QCI inspector on staff (South County and Tri-Town share resources*).

Status of CAP Agency QCI Inspectors
BVCAP - 2 fully certified, 2 to be trained/certified in 2016.
CCAP - 1 fully certified, 1 to be trained/certified in 2016.
Eastbay - 1 fully certified, 1 to be trained/certified in 2016.
CAPPRI - 1 fully certified.
South County - 0 but shares resources with Tri-Town*. The WAP Coordinator (also an energy auditor) will be trained/certified in 2016.
Tri-Town - 1 fully certified.
Westbay - 1 fully certified.

State Monitors
John Costello - Passed written exam, taking field exam in May, 2016.
Dennis Lopes - Fully certified.
Tom Ferri - Fully certified.

All QCI individuals must submit copies of their certification to DHS for our files.

QCI Inspection Procedures

The following procedures are provided as a guide for performing the quality control inspection services:

1. QCI Inspector schedules an appointment with the customer to visit the dwelling and perform the inspection;
2. QCI Inspector arrives at dwelling equipped to conduct all necessary tests and services at the appointed time; Inspector performs blower door test verify results

of air infiltration reduction achieved by the local agency; combustion efficiency test, and walk-through inspection as appropriate and required;

3. QCI Inspector records comments and quality assessment on the quality control form. Inspector also records variances in resource accountability between work order and/or invoice and inspection findings;
4. Signature of customer is obtained (signature must be a resident adult); and
5. Complete the Quality Control Inspection Form in the prescribed manner and forward a copy to the local agency.

The purpose of the Quality Control inspection is to:

- To provide services in a manner that meets the highest level of professionalism and to comply with standards established by DHS, the federal government, and the industry; and
- To provide services in a timely fashion and with the highest level of resource accountability possible in accordance with the scope of work provided.

The subgrantee is responsible for ensuring that all Quality Control Inspectors are adequately trained and credentialed.

Quality Control Inspectors should be independent of the work they are inspecting. The Quality Control Inspector should not be the same individual who audited the property or performed any of the work for the property they are inspecting.

Where the auditor and the final inspector are the same, at least 20 percent of quality assurance reviews will be conducted where the auditor and the QCI inspector are the same.

It is the responsibility of the Quality Control Inspector to ascertain the completeness and quality of work according to the work order, of each dwelling unit before certifying in the Hancock system that the unit is complete.

BPI Technical Standards, The Rhode Island Weatherization Field Guide installation processes and SWS quality of standards should all be considered in this process. At a minimum, Quality Control Inspections must contain these elements:

- Perform a blower door test to verify results of air infiltration reduction achieved;
- Perform a combustion efficiency test of the central heating system (fossil fuels) to verify results of furnace service contractor;
- Perform a walk-through inspection of the property to verify the presence of installed materials and that the installation of materials as recorded on the Work Order and Invoice documents meet SWS quality;
- Document customer comments and obtain customer signature on the Customer Quality Control form which verifying the work performed; and
- Certify completeness and quality of all items listed in the work scope in the Hancock system.
- Perform all diagnostic testing, including CAZ testing, as part of the inspection process.

DHS' QCI inspectors are required to review not less than 5% of each batch provided to DHS by the subgrantees. If the QCI Inspector finds a pattern of missing or poor quality work in the random sampling, a higher percentage or all dwelling units of that agency may be inspected.

The agency must access Hancock and create a work order of all items rated poor. When the work has been corrected, the subgrantee will arrange for the QCI re-inspection.

"Poor" rated units must be resolved within five working days. Failure to adhere to this policy could result in the withholding of referrals, stopping payment on current invoices and, in extreme cases, suspension or removal from one or more of RI WAP/IES weatherization programs.

DHS requires that all outstanding "Poor" units be resolved and may request a corrective work plan to be developed by the agency.

Upon receiving the QC report, DHS' fiscal manager unit will process the completed job for reimbursement. Each subgrantee's production will be batched and submitted to DHS on a monthly basis. In no case will payment be made prior to receiving the QC Certification.

Acceptance of Work

To clarify standard inspection protocols, please note the following:

- A unit will fail inspection if materials reported as installed cannot be found;
- A unit will receive a poor QA inspection if measures were not installed to standards;
- No unit will be failed for missed opportunities regarding air infiltration reduction, unless the inspector uses a blower door and can verify that substantial air leakage still exists;
- A unit may fail if major weatherization services or leveraging opportunities were missed (e.g., no attic insulation installed and could have been, no furnace work performed etc.) and the file does not indicate why the service was omitted.
- A unit will fail if additional, uninstalled health and safety measures are still required to protect the family.

Customer "No-Show" Policy

It is anticipated that a small percentage of units will not receive Quality Control inspections due to a variety of extenuating circumstances including:

Customer moves/dies & property is vacant or occupied by a second party; or Customer is unavailable after several attempts to re-enter and inspect.

The following are the procedures for reporting "no show" properties:

1. Local agency completes the weatherization services and forwards the Work Order to the QCI Inspector.
2. QCI Inspector will be responsible for contacting landlords/property managers to seek assistance in completing the inspection process, as required.
3. QCI Inspector must make several attempts to enter the property, including:
    a. Contacting the customer by telephone to schedule appointment;
    b. Forwarding of a letter setting a time and date for the inspection;
    c. Conducting an unscheduled site visit to the dwelling; and
    d. In the case of rental properties, performing the previous steps with the landlord as well as the customer.
4. Where QCI inspections are not possible, an alternative (non-DOE) funding source must be used. The unit cannot be reported to DOE as a completed unit without a QCI inspection.

The QCI Inspector alerts DHS staff that the unit cannot be accessed and provides documentation of each attempt to contact.

NOTE: Each dwelling unit must be inspected and the inspection report submitted to the State office and the local agency within ten calendar days after being notified of its completion by the local agency.

Because RI WAP does not use DOE resources to weatherize multi-family buildings at this time, there is no plan to receive training on the NREL Multifamily Quality Control Inspector JTA.

Contract language (see Special Terms) was developed and integrated into Subgrantee and Subgrantee Contractor Agreements which codify the signatory's responsibility to perform work to the specifications outlined in WPN 15-4 and in accordance with other state and federal requirements.

SPECIFIC TERMS

During the Term, the Subgrantee shall weatherize eligible dwelling units incompliance with the terms of the RI WAP Operations Manual, the RI Weatherization Field Guide, this Agreement, as well as any Federal or State statutes or regulations pertaining thereto, including but not limited to 42 U.S.C. § 6861 et seq.; and 10 C.F.R. Part 440 and 600; the requirements specified in Office of Management and Budget ("OMB") 2 CFR 200 and all other applicable Federal, State, and local laws, rules, regulations, administrative procedures, guides, manuals, program rules, regulations, and definitions, and any amendments thereto, in performing its obligations under this Agreement. Subgrantee specifically acknowledges that it must comply with all applicable Federal, State, and local laws, rules, and regulations pertaining to wages, hours, conditions of employment, and all health and safety standards.

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

Subgrantee shall comply with all of the training and certification requirements that are specified in the RI Weatherization Operations Manual, and WPN 15-4 as required by the DOE.

Subgrantee shall provide in-home energy education regarding reducing energy consumption and health and safety concerns to the persons who receive the weatherization services pursuant to this Agreement.

No subcontractor of Subgrantee shall be paid for any work performed until such time as Subgrantee has performed an inspection of all of the weatherization work completed and has determined that any such work has been performed in a satisfactory manner ("Final Inspection").

Subgrantee shall select subcontractors in a manner that assures competitive procurement of services in compliance with all applicable laws, including but not limited to 10 CFR 600.236, and 2 CFR 200.318 through 2 CFR 200.326. Neither Subgrantee nor any subcontractor of Subgrantee shall be reimbursed until such time as Subgrantee has performed an inspection of the work performed and has determined in writing that any such work has been completed in a satisfactory manner.

Subgrantee shall ensure that all Weatherization staff and subcontractors who perform or provide Weatherization services to client homes receive and adhere to all standards as outlined in Rhode Island's Weatherization Field Guide, The Rhode Island Weatherization Assistance Program Operations Manual, the Department of Energy Weatherization Assistance Program State Plan for Rhode Island and other State Weatherization directives as applicable. The Subgrantee'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.

Subgrantee shall include language in subcontractor contracts detailing that all Weatherization services will be performed in accordance with the standards outlined within the documents as described in this Agreement.

In making any procurement or entering into any contract that requires the expenditure of funds provided pursuant to this Agreement, Subgrantee shall adhere to the applicable provisions of 10 CFR. 440, 10 CFR 600 and 2 CFR 200.318 through 2 CFR 200.326, and Minority Business Enterprise (MBE) policies including R.I.G.L. 37-14.1, regarding procurement.

Subgrantee acknowledges and agrees that funds provided through this Agreement shall not be used for the purchase or improvement of land, or for the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy- related home repairs) of any building or other facility.

Sub-grantee acknowledges and agrees that it must maintain an overall average cost per dwelling amount not to exceed Six Thousand Five Hundred and No/100 Dollars ($6,500.00), to be established annually by DHS.

Subgrantee acknowledges and agrees that the funds provided through this Agreement shall be used to supplement, and not supplant, State or local funds and, to the extent

practicable, to increase the amounts of such funds that would be made available in the absence of Federal funds for carrying out activities specified in this Agreement.

V.6 Weatherization Analysis of Effectiveness

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

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

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

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

V.7 Health and Safety

HEALTH AND SAFETY

DHS and its Weatherization subgrantees have always considered the heath and safety of its weatherization clients a high priority. Health and Safety measures are measures that are necessary to maintain the physical well-being of both the occupants and the weatherization workers where the actions are necessary as a result of weatherization work. The reason for all health and safety work must be documented in the client file, including pictures and written documentation.

The RIWAP Health and Safety Plan (attached to SF-424) is a working document and has been provided to all WAP subgrantees and contractors. The document will be continually updated as needed and will follow all requirements of WPN 11-6, including ASHRAE 62.2 2013 requirements. Additionally, through the Green and Healthy Homes Initiative and the RI Alliance for Healthy Homes, a 560 page "Health and Safety Compendium" that describes the negative effects of major environmental housing hazards, the policies and laws connected to those hazards, and resources that are available to help remediate those hazards. Health and Safety hazards addressed include Asbestos and MMMF's; Biocides; Carbon Monoxide and Combustion Safety; Fire Safety and Explosions; Lead; Mold; Pests; Radon; VOC's and more. Designed to be a living document, the Compendium will be placed on a wiki site with editing capacity so that experts in the field can update information. All CAP Agencies will be provided with a copy and will serve as a supplement to the Field Guide and Health and Safety Plan. The Compendium and other useful health and safety resources is available at http://wikihousing.org

For the 2016 Program Year, 15% has been budgeted for Health and Safety measures. This increase reflects the additional costs for ASHRAE 62.2 2013 compliance. The WAP Hancock database will allow the state and subgrantees to track and manage H&S measures and costs more efficiently.

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

Clients must be informed of any Health and Safety risk discovered during the inspection process. In the case of a rental property, the property owner and/or authorized agent must also be notified. As potential hazards are identified, an assessment must be made on severity, and how they will be addressed, up to and including deferral.

V.8 Program Management

V.8.1 Overview and Organization

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

An organizational chart which show's RIWAP placement within the Department of Human Services is attached.

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

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

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

V.8.2 Administrative Expenditure Limits

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

In 2015, no additional administrative funds will be made available for grants less than $350,000.

V.8.3 Monitoring Activities

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

DHS program, fiscal, and technical staff will monitor Subgrantee activities to ensure that the highest quality weatherization services are provided to eligible low-income Rhode Islanders. Effective monitoring provides objective reporting to and from Subgrantees and makes recommendations to address program and administrative deficiencies and needs. Subgrantee monitoring is an on-going process which involves the coordinated and cooperative efforts of both DHS and its Subgrantees. DHS will make a coordinated effort to follow the updated monitoring approach outlined in WPN 16-4: Updated Weatherization Assistance Program Monitoring Guidance.

Subgrantee Programmatic and Management Monitoring includes the following areas: Subgrantee Review; Financial/Administrative; Equipment/Inventory/Materials; Eligibility; Rental; Feedback and Reporting; Energy Audits; Field Work; Health and Safety; Quality Assurance; Training and Technical Assistance; Staff or Entity performing the monitoring; and How monitoring results are handled and required follow-up procedures. Subgrantee Monitoring includes an evaluation of the following areas: Program Overview (Client File Review, Work Orders etc); Financial/Administration; Inventory; Energy Audits; Qualifications and Training; Weatherization of Units; Health and Safety; Final Inspections; Staff or entity performing the monitoring; and How monitoring results are handled and required follow-up procedures. Financial Monitoring will evaluate the following: Financial Management/Accounting Systems and Operations; Audits; Payroll/Personnel; Vehicles and Equipment; Procurement; Sub-awards/Subgrantee Monitoring; Invoicing; Records Retention; Staff or entity performing the monitoring and; How monitoring results are handled and required follow-up procedures.

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

During the grant period, DHS staff will conduct an annual comprehensive on-site monitoring visit to each Subgrantee. This visit includes a review of client files, administrative systems, client priorities, leveraging activities, contractor procurement, utilization and file maintentance, technical procedures (energy audits, health and safety testing, work orders, contractor invoices, quality control inspections). The monitoring will also include a review by a state fiscal monitor to ensure the soundness of the subgrantees accounting systems so that grant funds are expended in accordance with applicable law, including regulations contained in 2 CFR 200, Weatherization Program Notices; and other procedures that DOE may issue.

Whenever possible, WAP monitoring reviews will be coordinated with LIHEAP and CSBG on-site monitoring to maximize utilization and efficiency of resources.

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

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

DHS will also develop a "Subgrantee Monitoring Analysis Overview" as described in WPN 16-4 which will summarize each Subgrantees' financial reviews, program monitoring reports, outstanding issues, and will identify each Subgrantees' needs, strengths, and weaknesses. DHS will also include a copy of the overview with its T&TA, Monitoring and Leveraging Report. As described in WPN 16-4, DHS will also provide information on: Subgrantees monitored; Any major findings (waste, fraud and abuse) and resolutions; Trends with respect to findings, concerns or other issues; Needed T&TA (programmatic/administrative, technical, financial); Any Subgrantees that are considered high risk and plan for how to resolve; and outcome activities involving T&TA and monitoring training.

ON-GOING TECHNICAL MONITORING

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

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

Targeted training and technical visits are conducted if problems are identified, and until the issue or concern is resolved. Field monitors complete written field reports after each monitoring visit, and a copy is sent to the agency for their files. If there are any call backs as a result of the technical monitoring visit, the Subgrantee must provide DHS with the resolution of the call back. Monitoring visits are also used to identify problems and potential training opportunities. Call backs related to the work of WAP contractors are completed at no cost to WAP. If additional work that was not identified by the Subgrantee but is needed and is identified by DHS inspectors, and the unit has already been reported to DOE, no DOE funds can be used to complete the work. Typically, LIHEAP funds are used to cover such costs. DHS hopes to be able to track "go backs" in a more efficient way with the Hancock data base.

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

BPI Building Analyst Professional Certification;
Quality Control Inspector Training and Certification ;
Advanced Blower Door/Pressure Diagnostics Training;
Combustion Safety Training;
Thermal Imaging Camera Training;
EPA Lead RRP Certified Renovator;
Lead Safe Work Practices Training
OSHA Confined Space Training
ASHRAE 62.2 2013 Training;
Advanced Air Sealing Training;

HEAT Audit Training;
Appliance Management Training;
CAZ/Worst Case Training

In addition to these formal trainings, the inspectors/monitors have also attended continuing education opportunities at ACI Conferences, local training opportunities (RI Building Code, RI Builders Association etc.), QCI training at the Green Jobs Academy, NYSWDA, and others. Grantee T&TA funds are used to support personnel costs for the three technical monitors. Sixty-three percent (63%) of grantee T&TA funds are used to support state monitoring.

*Quality Control Inspection

RI WAP requires Quality Control inspection for every unit assisted through all weatherization programs. Every weatherized unit reported as a completed unit must receive a quality control inspection to ensure that all work meets the minimum specifications outlined in the SWS.

QCI Inspection Procedures

The following procedures are provided as a guide for performing the quality control inspection services:

1. QCI Inspector schedules an appointment with the customer to visit the dwelling and perform the inspection;
2. QCI Inspector arrives at dwelling equipped to conduct all necessary tests and services at the appointed time; Inspector performs blower door test verify results of air infiltration reduction achieved by the local agency; combustion efficiency test, and walk-through inspection as appropriate and required;
3. QCI Inspector records comments and quality assessment on the quality control form. Inspector also records variances in resource accountability between work order and/or invoice and inspection findings;
4. Signature of customer is obtained (signature must be a resident adult); and
5. Complete the Quality Control Inspection Form in the prescribed manner and forward a copy to the local agency.

The purpose of the Quality Control inspection is to:

- To provide services in a manner that meets the highest level of professionalism and to comply with standards established by DHS, the federal government, and the industry; and
- To provide services in a timely fashion and with the highest level of resource accountability possible in accordance with the scope of work provided.

The Subgrantee is responsible for ensuring that all Quality Control Inspectors are adequately trained and credentialed.

Quality Control Inspectors must be independent of the work they are inspecting. The Quality Control Inspector should not be the same individual who audited the property or performed any of the work for the property they are inspecting. Per WPN 13-5, if the initial auditor and the QCI inspector are the same person, quality assurance reviews will be increased to ensure that audits are being performed consistently and correctly. At least 20 percent of quality assurance reviews will be conducted where the auditor and the inspector are the same.

It is the responsibility of the Quality Control Inspector to ascertain the completeness and quality of work according to the work order, of each dwelling unit before certifying in the Hancock system that the unit is complete.

BPI Technical Standards, The Rhode Island Weatherization Field Guide installation processes and SWS quality of standards should all be considered in this process. At a minimum, Quality Control Inspections must contain these elements:

- Perform a blower door test to verify results of air infiltration reduction achieved;
- Perform a combustion efficiency test of the central heating system (fossil fuels) to verify results of furnace service contractor;
- Perform a walk-through inspection of the property to verify the presence of installed materials and that the installation of materials as recorded on the Work Order and Invoice documents meet SWS quality;
- Document customer comments and obtain customer signature on the Customer Quality Control form which verifying the work performed; and
- Certify completeness and quality of all items listed in the work scope in the Hancock system.

DHS' QCI inspectors are required to review not less than 10% of each batch provided to DHS by the Subgrantees. If the QCI Inspector finds a pattern of missing or poor quality work in the random sampling, a higher percentage or all dwelling units of that agency may be inspected.

DHS' QCI staff will inspect only those units that have been certified as complete in the Hancock system by the Subgrantee's QCI Inspector. If a unit is rated "Poor" the contact person at the agency will be notified via email by the QCI inspector and will receive an automated email from the software advising of the poor-rated QA.

The agency must access Hancock and create a work order of all items rated poor (see Appendix D, Hancock Manual for specific process). The software will email the QCI Inspector to inform them that a call-back work order has been created. Once the installation of the call-back work order is entered and certified by the Subgrantee's QCI Inspector, the software will email the DHS QCI Inspector that the unit is ready for re-inspection.

"Poor" rated units must be resolved within five working days. Failure to adhere to this policy could result in the withholding of referrals, stopping payment on current invoices and, in extreme cases, suspension or removal from one or more of RI WAP/IES weatherization programs.

DHS requires that all outstanding "Poor" units be resolved and may request a corrective work plan to be developed by the agency.

Upon receiving the QC report, DHS' fiscal manager unit will process the completed job for reimbursement. Each subgrantee's production will be batched and submitted to DHS on a monthly basis. In no case will payment be made prior to receiving the QC Certification.

Acceptance of Work

To clarify standard inspection protocols, please note the following:

- A unit will fail inspection if materials reported as installed cannot be found;
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- A unit will fail if additional,uninstalled health and safety measures are still required to protect the family.

Customer "No-Show" Policy

It is anticipated that a small percentage of units will not receive Quality Control inspections due to a variety of extenuating circumstances including:

Customer moves/dies & property is vacant or occupied by a second party; or Customer is unavailable after several attempts to re-enter and inspect.

The following are the procedures for reporting "no show" properties:

1. Local agency completes the weatherization services and forwards the Work Order to the QCI Inspector.

2. QCI Inspector will be responsible for contacting landlords/property managers to seek assistance in completing the inspection process, as required.

3. QCI Inspector must make several attempts to enter the property, including:

   a. Contacting the customer by telephone to schedule appointment;

   b. Forwarding of a letter setting a time and date for the inspection;

   c. Conducting an unscheduled site visit to the dwelling; and

   d. In the case of rental properties, performing the previous steps with the landlord as well as the customer.

The QCI Inspector alerts DHS staff that the unit cannot be accessed and provides documentation of each attempt to contact.

NOTE: Each dwelling unit must be inspected and the inspection report submitted to the State office and the local agency within ten calendar days after being notified of its completion by the local agency.

V.8.4 Training and Technical Assistance Approach and Activities

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

On-site visits provide a key opportunity for identifying T&TA needs in the field. All state monitors have received extensive training in all aspects of weatherization including: BPI Building Analyst Professional Certification; QCI Training and Certification; Advanced blower door/pressure diagnostics training; Combustion Safety/Worst Case Scenario training; Thermal Imaging Camera training; EPA Lead RRP Certified Renovator; Lead Safe Work Practices training; Lead Assessor Training; OSHA Confined Space Training; ASHRAE 62.2 2013 training; Advanced Air Sealing training; HEAT audit training; and more. DHS technical monitors use diagnostic equipment as a means to monitor weatherization work and train Subgrantee energy auditors and weatherization contractors. Infrared cameras, blower doors, gas leak detectors and combustion and carbon monoxide detectors are required and used extensively in monitoring of WAP. These tools are necessary to evaluate the the quality of weatherization work and assess health and safety concerns of the home. All Subgrantees are required to have blower doors and have been trained on its proper use. In addition, Subgrantees are required to use combustion efficiency test equipment, carbon monoxide detectors and gas leak detectors to help ensure health and safety concerns regarding combustion appliances are addressed. All subgrantees also have multiple infrared cameras to be used in conjunction with blower door testing to identify air leakage areas and as a quality assurance tool to verify that wall, slope and ceiling insulation and air sealing work was completed properly.

Energy Auditors
All energy auditors will be required to have BPI Building Analyst Certification before performing any energy audits on their own. Auditors that have BPI certification will be encouraged to maintain that certification pending DOE's move to the Home Energy Professional Certification. Beginning in 2016, T&TA funds will be used to support HEP Energy Auditor (EA) Certification. It is the goal of the program to have at least one energy auditor at every agency with EA certification in PY 2016.

Weatherization Auditor Requirements

1. BPI Building Analyst certification is required to perform audits for the RI WAP/IES program. Quality Control Inspector certification is required to do Final Inspections on all DOE work, and must be obtained within one year of field auditing.

2. Rhode Island Lead Safe Renovator Remodeler certification is required to perform Audits for the RI WAP/IES program. All Auditors must attend Lead Safe Work Practices training before performing audits.

3. All RI WAP/IES Weatherization Auditors must pass the National Grid Background Check

4. Auditors must possess the tools listed in Appendix 24 of the RI WAP Operations Manual - "*Required Tools for Weatherization Auditors*".

Auditors, inspectors and monitors are also required to complete OSHA 10 Job Site Safety training, RI Department of Health Lead RRP Certified Renovator and Lead Safe Weatherization training, and are required to take advantage of continuing education opportunities such as Advanced Blower Door/Pressure Diagnostics and Combustion Safety and training involving heating system sizing, installation and operation. DHS collects and maintains a spreadsheet based record of training and certification of Subgrantee technical staff. A module to collect and store energy auditor and state monitor certifications, trainings and CEU's will be added as an enhancement to the Hancock system.

Quality Control Inspectors

A Quality Control Inspector (QCI Inspector) is an evaluator who verifies the work performed against the work plan, specifications and standards, performs building diagnostics, records/reports findings and concerns, and specifies corrective actions; by conducting a methodological audit/inspection of the building, performing safety and diagnostic tests, and by observing the retrofit work; in order to ensure the completion, appropriateness and quality of the work providing for the safety, comfort, and energy savings of the building occupants. **Quality Control Inspector (QCI) Requirements for DOE Funded Work**

Beginning FY2015 Quality Control Inspectors must be certified as Home Energy Professional Quality Control Inspectors for all DOE inspections

- Licensed Renovator/Remodeler
- Trained on Lead Safe Work Practices

Each Subgrantee has at least one QCI certified individual on staff. Two state monitors have QCI certification, and one will be taking the field exam in May of 2016. That individual has already passed the written exam. We will not limit the number of Subgrantee WAP staff within the network that can receive the QCI training and certification. The current status of QCI certified staff is outlined in Section V.5.3 of the Master Plan.

RIWAP Implementation Plan for WPN 15-4

DOE WPN 15-4 describes requirements to support and verify quality work in the Department of Energy's (DOE) Weatherization Assistance Program (WAP). It defines what constitutes a quality installation of weatherization measures, outlines how those measures are inspected and validated, and prescribes acceptable training and credentialing of workers.

Due to the technical and changing nature of the Weatherization Assistance Program (WAP), a high priority has been placed on the training aspect of the program. Training and monitoring are the tools that RI WAP uses to ensure that weatherization measures are applied consistently and that Rhode Island maintains a high standard of work. Along with increasing flexibility in the combining of funds, RI WAP will implement training requirements to help ensure that monies provided are used on weatherization measures that will guarantee energy savings. By including all staff and contractors in this process, it will assure organizational performance while providing the means for evaluating our achievements, as well as developing plans to improve upon our successes.

Subgrantees are provided T&TA funds with their HHS WAP and DOE Contracts. Subgrantees are required to utilize these resources to maintain and improve program operations across all levels of RI WAP. The subgrantee is responsible for tracking the compliance of its auditors with training requirements. Travel to attend training, is to be budgeted and charged to either the T&TA or administrative categories. Out-of-state travel for Subgrantee personnel, when charged to the RI WAP contract, requires prior written approval by DHS if not included in the T&TA Plan.

Training for all WAP workers (aligned with the NREL JTA for the position in which the worker is employed) will be phased in. This "Tier 1" training will be phased in over multiple years, but on a regular and consistent basis. Because it is difficult for auditors to be out of the office for more than 1-2 days, trainings may be broken down into "chunks". Another possibility is to arrange for an out-of-state training organization to travel to RI to conduct a week-long training (such as the Energy Auditor training). Ultimately, a cost-benefit analysis will be used to support the decision to train out-of-state vs. in-state. Initially Tier 1 training will focus on the Energy Auditor and Quality Control Inspectors, and later Crew Chiefs and Installers.

Tier 1 Training

Tier 1 Training is comprehensive, occupation-specific training which follows a curriculum aligned with the JTA for that occupation. Tier 1 training must be administered by, or in cooperation with, a training program that is accredited by a DOE-approved accreditation organization for the JTA being taught. All DOE funded Tier 1 training will be provided by DOE-approved accredited training programs. Accredited training can be administered in a number of ways including traveling training programs, distance learning programs and other options approved by DOE.

All Weatherization field staff must receive regular Tier 1 training. DHS will decide on the regularity of training based on workforce needs and availability of funds. Trainings will be based on an analysis of training needs and a plan for meeting those needs over a defined period of time, which can span multiple Program Years.

Accredited teaching facilities closest to RI are: Green Jobs Academy, Worcester, MA (QCI, Crew Leader); Institute for Environmental Management and Technology in Shelton CT (Auditor, Crew, Installer and QCI); NYSWDA, and Greenfield Community College in Greenfield, MA (Auditor, Crew and Installer). All organizations combine lecture and applied field demonstrations of the concepts discussed in the classroom in order to provide theory and application to weatherization staff and contractors.

Tier 2 Training

Tier 2 Training is single-issue, short-term, training to address acute deficiencies in the field such as dense packing, crawlspace, ASHRAE, etc. Conference trainings are included in this category. DHS will initiate Tier 2 Training from time to time. These trainings can take place in the field, at a subgrantees office, college or technical school or at the fire department.

Some potential Tier 2 Trainings for 2016 are:

BPI Heating Professional Certification
Residential Ventilation/ Proper use of the RED (Residential Energy Dynamics) Tool/Introduction to ASHRAE 62.2 2016.

Electrical Safety 101
Asbestos Awareness Training
OSHA Training (where applicable)*

In addition, DHS will hold it's annual training on proper placement of smoke and CO detectors in conjunction with the State Fire Marshall's Office. This training will be mandatory for all weatherization staff. Tier 2 training can be provided on an as-needed basis, however, the majority of worker training will occur in Tier 1.

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

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

A copy of the Customer Feedback Form has been attached to the SF-424. In addition, DHS and Clearesult (the National Grid lead vendor) are working in collaboration to develop client education packets which will include materials such as: *The Lead Safe Certified Guide to Renovate Right (required for every weatherization job); Brief Guide to Mold and Moisture and the Home; Some Facts About Mold; Save Energy on Your Own; Top 10 Ways Homeowners Can Ensure Good Air Quality; Consumers Guide to Radon Reduction; Asbestos Safety Information; Top 20 Asbestos Questions; An Overview of Domestic Hot Water Tanks; Electrical Safety Workbook and Seven Tips for Keeping a Healthy Home.* These materials will be distributed to customers as needed, and are included as an Appendix to the RI WAP Operations Manual. Other client education materials will be added or updated to the materials portfolio as necessary.

DHS and CLEAResult will continue to hold Weatherization Technical Committee (WTC) meetings with subgrantees to discuss technical issues and identify areas of concern that may shape future Tier 2 training opportunities. During each WTC meeting, pictures are reviewed by all participants via Power Point that show good weatherization practices seen in the field, and poor weatherization work as well. These slides are discussed, and are helpful in identifying training opportunities. In addition, National Grid holds quarterly "Best Practices" meetings which all Subgrantees, CLEAResult and DHS attend.

DHS does not collect data on actual energy savings. Subgrantee effectiveness is determined by reviewing monthly production, in-field technical monitoring observations, annual monitoring, WTC meetings, and more. T&TA activities are developed based on these elements, and are always mandatory for all energy auditors and state monitors. At this time, RI has 22 energy auditors and 3 state monitors.

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

LIHEAP funding will provide additional funds needed to complete training and testing requirements.

V.9 Energy Crisis and Disaster Plan

Energy Crisis Relief (ECR)

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