

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

1. Type of Submission:

- Preapplication
- Application
- Changed/Corrected Application

2. Type of Application:

- New
- Continuation
- Revision

If Revision, select appropriate letter(s)

Other (specify):

3. Date Received

12/04/2020

4. Applicant Identifier:

5a. Fed Entity Identifier:

5b. Federal Award Identifier:

DE-EE0007948

State Use Only:

6. Date Received by State:

12/04/2020

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: 25 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: Mr

First Name: Frederick

Middle Name:

Last Name: Sneesby

Suffix:

Title: Administrator

Organizational Affiliation: Department of Human Services, Children and Family Services

Telephone Number: 4014621669

Fax Number:

Email: Frederick.Sneesby@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-0002021

Title:

2021 Weatherization Assistance Program

13. Competition Identification Number:

Title:

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

Statewide

15. Descriptive Title of Applicant's Project:

RI Weatherization Assistance Program for Low-Income Persons

BUDGET INFORMATION - Non-Construction Programs

| | | | |
|--|---|---|--|
| 1. Program/Project Identification No. EE0007948 | | 2. Program/Project Title Weatherization Assistance Program | |
| 3. Name and Address State of Rhode Island 25 Howard Avenue Cranston, RI 029200000 | 4. Program/Project Start Date 07/01/2021 | | |
| | 5. Completion Date 06/30/2022 | | |

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 2021 WAP Formula Funds | 81.042 | \$ 4,654,640.00 | | \$ 1,451,556.00 | | \$ 6,106,196.00 |
| 2. STATE | | | \$ 0.00 | | \$ 0.00 | \$ 0.00 |
| 3. | | | | | | |
| 4. | | | | | | |
| 5. TOTAL | | \$ 4,654,640.00 | \$ 0.00 | \$ 1,451,556.00 | \$ 0.00 | \$ 6,106,196.00 |

SECTION B - BUDGET CATEGORIES

| 6. Object Class Categories | Grant Program, Function or Activity | | | | Total (5) |
|----------------------------|-------------------------------------|--|---------------------|-------------------------|-----------------|
| | (1) GRANTEE ADMINISTR ATION | (2) SUBGRANTE E ADMINISTR ATION | (3) GRANTEE T&TA | (4) SUBGRANTE E T&TA | |
| a. Personnel | \$ 60,641.00 | \$ 0.00 | \$ 35,344.00 | \$ 0.00 | \$ 95,985.00 |
| b. Fringe Benefits | \$ 30,512.00 | \$ 0.00 | \$ 21,323.00 | \$ 0.00 | \$ 51,835.00 |
| c. Travel | \$ 1,500.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 1,500.00 |
| d. Equipment | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |
| e. Supplies | \$ 3,586.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 3,586.00 |
| f. Contract | \$ 10,400.00 | \$ 108,874.00 | \$ 215,000.00 | \$ 12,000.00 | \$ 5,951,063.00 |
| g. Construction | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |
| h. Other Direct Costs | \$ 2,227.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 2,227.00 |
| i. Total Direct Charges | \$ 108,866.00 | \$ 108,874.00 | \$ 271,667.00 | \$ 12,000.00 | \$ 6,106,196.00 |
| j. Indirect Costs | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |
| k. Totals | \$ 108,866.00 | \$ 108,874.00 | \$ 271,667.00 | \$ 12,000.00 | \$ 6,106,196.00 |
| 7. Program Income | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |

BUDGET INFORMATION - Non-Construction Programs

| | | | |
|--|---|---|--|
| 1. Program/Project Identification No. EE0007948 | | 2. Program/Project Title Weatherization Assistance Program | |
| 3. Name and Address State of Rhode Island 25 Howard Avenue Cranston, RI 029200000 | 4. Program/Project Start Date 07/01/2021 | | |
| | 5. Completion Date 06/30/2022 | | |

| 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 | | \$ 4,654,640.00 | \$ 0.00 | \$ 1,451,556.00 | \$ 0.00 | \$ 6,106,196.00 |

| 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 | \$ 95,985.00 |
| b. Fringe Benefits | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 51,835.00 |
| c. Travel | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 1,500.00 |
| d. Equipment | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |
| e. Supplies | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 3,586.00 |
| f. Contract | \$ 5,334,789.00 | \$ 255,000.00 | \$ 12,000.00 | \$ 3,000.00 | \$ 5,951,063.00 |
| g. Construction | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |
| h. Other Direct Costs | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 2,227.00 |
| i. Total Direct Charges | \$ 5,334,789.00 | \$ 255,000.00 | \$ 12,000.00 | \$ 3,000.00 | \$ 6,106,196.00 |
| j. Indirect Costs | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |
| k. Totals | \$ 5,334,789.00 | \$ 255,000.00 | \$ 12,000.00 | \$ 3,000.00 | \$ 6,106,196.00 |
| 7. Program Income | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: RI Grant Number: EE0007948 Program Year: 2021

| | | | | | |
|------------------|---|---------------------------------------|---------------------------------|---|--|
| Name: | Community Action Partnership of Providence | | Contact: | Ms. Dayanarah Baez, Weatherization Coordinator | |
| Address: | 518 Hartford Avenue Providence, RI 02909-0000 | | DUNS: | 078796458 | |
| Counties served: | PROVIDENCE County | Tentative allocation: \$ 1,202,389.00 | Phone: | (401) 273-2000 | |
| | | Planned units: 147 | Fax: | ()- | |
| | | Type of organization: Local agency | Email: | dbaez@cappri.org | |
| | | Source of labor: Contractors | Congressional districts served: | CD RI-02 RI-01 | |
| <hr/> | | | | | |
| Name: | Blackstone Valley Community Action Program | | Contact: | Mr. Ed Fisk, Weatherization Coordinator | |
| Address: | 32 Goff Avenue Pawtucket, RI 02860 | | DUNS: | 075692079 | |
| Counties served: | PROVIDENCE County | Tentative allocation: \$ 1,202,389.00 | Phone: | (401) 723-4520235 | |
| | | Planned units: 147 | Fax: | ()- | |
| | | Type of organization: Local agency | Email: | efisk@bvcap.org | |
| | | Source of labor: Contractors | Congressional districts served: | CD RI-01 | |
| <hr/> | | | | | |
| Name: | Comprehensive Community Action Programs | | Contact: | Ms. Sherry Diaz, Weatherization Coordinator | |
| Address: | 311 Doric Avenue Cranston, RI 02910-0000 | | DUNS: | 040106098 | |
| Counties served: | PROVIDENCE County | Tentative allocation: \$ 744,338.00 | Phone: | (401) 562-8336 | |
| | | Planned units: 91 | Fax: | ()- | |
| | | Type of organization: Local agency | Email: | sdiaz@comcap.org | |
| | | Source of labor: Contractors | Congressional districts served: | CD RI-02 | |
| <hr/> | | | | | |
| Name: | East Bay Community Action | | Contact: | Mr. Cory Guglietti, Dir of Admin | |
| Address: | 100 Bullocks Point Avenue Riverside, RI 02915-0000 | | DUNS: | 0848115040000 | |
| Counties served: | NEWPORT County BRISTOL County | Tentative allocation: \$ 687,079.00 | Phone: | (401) 437-0006109 | |
| | | Planned units: 84 | Fax: | ()- | |
| | | Type of organization: Local agency | Email: | cguglietti@ebcap.org | |
| | | Source of labor: Contractors | Congressional districts served: | CD RI-01 | |

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: RI Grant Number: EE0007948 Program Year: 2021

| | | | | | |
|------------------|---|-----------------------|----------------------------------|---------------------------------|--------------------|
| Name: | Tri-County Community Action | Contact: | Stephanie DiTusa, Wx Coordinator | | |
| | | DUNS: | 037092988 | | |
| Address: | 11 Emmanuel Street North Providence, RI 02911-0000 | Phone: | (401) 519-1917 | | |
| | | Fax: | () - | | |
| | | Email: | sditusa@tricountyri.org | | |
| Counties served: | PROVIDENCE County | Tentative allocation: | \$ 1,202,389.00 | Congressional districts served: | <u>CD</u> RI-01 |
| | | Planned units: | 147 | | |
| | | Type of organization: | Non-profit organization | | |
| | | Source of labor: | Contractors | | |

| | | | | | |
|------------------|---|-----------------------|--|---------------------------------|--------------------|
| Name: | Westbay Community Action Program | Contact: | Mr. Bill Larocque, Weatherization Coordinator | | |
| | | DUNS: | 075724252 | | |
| Address: | 487 Jefferson Blvd. Warwick, RI 02886-0000 | Phone: | (401) 732-4660103 | | |
| | | Fax: | (401) - | | |
| | | Email: | blarocque@westbaycap.org | | |
| Counties served: | KENT County | Tentative allocation: | \$ 687,079.00 | Congressional districts served: | <u>CD</u> RI-02 |
| | | Planned units: | 84 | | |
| | | Type of organization: | Local agency | | |
| | | Source of labor: | Contractors | | |

**U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET**

(Grant Number: EE0007948, State: RI, Program Year: 2021)

IV.1 Subgrantees

| Subgrantee (City) | Planned Funds/Units |
|---|-------------------------------------|
| Community Action Partnership of Providence (Providence) | \$1,202,389.00 147 |
| Blackstone Valley Community Action Program (Pawtucket) | \$1,202,389.00 147 |
| Comprehensive Community Action Programs (Cranston) | \$744,338.00 91 |
| East Bay Community Action (Riverside) | \$687,079.00 84 |
| Tri-County Community Action (North Providence) | \$1,202,389.00 147 |
| Westbay Community Action Program (Warwick) | \$687,079.00 84 |
| Total: | \$5,725,663.00 700 |

IV.2 WAP Production Schedule

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

| | |
|---------------------------------------|------------|
| Weatherization Plans | Units |
| Total Units (excluding reweatherized) | 700 700 |
| Rewatherized Units | 0 0 |

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 | 700 |
| C Total Units Reweatherized | 0 |
| D Total Dwelling Units to be Weatherized and Reweatherized (B + C) | 700 |
| 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 | \$5,334,789.00 |
| G Total Dwelling Units to be Weatherized and Reweatherized (from line D) | 700 |
| H Average Program Operations Costs per Unit (F divided by G) | \$7,621.13 |
| I Average Vehicles & Equipment Acquisition Cost per Unit (from line E) | \$0.00 |
| J Total Average Cost per Dwelling (H plus I) | \$7,621.13 |

IV.3 Energy Savings

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

| | Units | Savings Calculator (MBtus) | Energy Savings |
|---------------------|-------|----------------------------|----------------|
| This Year Estimate | 700 | 29.3 | 20510 |
| Prior Year Estimate | 0 | 29.3 | 0 |
| Prior Year Actual | 0 | 29.3 | 0 |

Method used to calculate savings description:

**U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET**

(Grant Number: EE0007948, State: RI, Program Year: 2021)

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.

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. The CLEAResult team brings another element of energy efficiency knowledge and expertise to the Rhode Island weatherization program, and both DHS and CLEAResult share many of the same goals for process improvement and enhanced quality assurance. DHS and CLEAResult have also worked collaboratively on the development and updates of RI WAP/IES Operations Manual which will incorporate all applicable elements of WPN 15-4.

Beginning in PY21, RI will allow blending of DOE WAP funds with National Grid weatherization funds.

No state funds are used to support RI WAP.

IV.5 Policy Advisory Council Members

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

| | |
|---|--|
| Energy Efficiency Resource and Management Council | Type of organization: Unit of State Government Contact Name: Anthony Hubbard Phone: 4012737528 Email: ahubbard@ybprep.org |
| 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 |
| Office of Energy Resources | Type of organization: Unit of State Government Contact Name: Becca Trietch Phone: 4015749106 Email: Becca.Trietch@energy.ri.gov |
| Providence Green and Healthy Homes Initiative | Type of organization: Other Contact Name: Margarita Robledo-Guedes Phone: 4014008425 Email: mrobledo@ghhi.org |
| Rhode Island Community Action Agency Association | Type of organization: Non-profit (not a financial institution) Contact Name: Paul Salera Phone: 4017324666 |

**U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET**

(Grant Number: EE0007948, State: RI, Program Year: 2021)

| | |
|--|---|
| Rhode Island Housing | Email: psalera@westbaycap.org Type of organization: Unit of State Government Contact Name: Mr. Charly Pytel Phone: 4014571265 Email: cpytel@rhodeislandhousing.org |
| RI Department of Health | Type of organization: Unit of State Government Contact Name: Ms. Bonnie CassaniBrandt Phone: 4012227784 Email: Bonnie.CassaniBrandt@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

04/28/2020 The Notice of Public Hearing on the 2021 DOE WAP state plan application was posted on the RI Department of Human Services' website (www.dhs.ri.gov) on 04/xx/2021. A copy of the notice has been uploaded to the document library. The stenographer's official transcript of the Public Hearing has been uploaded to the SF-424. The RI WAP Policy Advisory Council met on 4/xx/2020 via Teams due to the Covid-19 crisis. The notes from the PAC meeting have been uploaded to the SF-424.

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
25 Howard Avenue, Bldg. 57
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
25 Howard Avenue, Bldg. 57
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 Subgrantee, incidence of poverty in the service area covered; number of LIHEAP households assisted in the service area; and the ability of the agency to weatherize homes effectively.

3. Per WPN 10-12, RI WAP will comply with Section 106 of 16 USC 470 of the National Historic Preservation Act (NHPA). DHS 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. In 2020, this MOU was replaced with a Programmatic Agreement (PA) which has been signed by the Office of Energy Resources, the Department of Human Services, the RI Historic Preservation and Heritage Commission, and the U.S. Department of Energy. 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. A copy of the PA has been uploaded to the SF-424.

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0007948, State: RI, Program Year: 2021)

4. National Grid and LIHEAP funding continue to be the largest funding sources for WAP. RI WAP received a 15% allocation from LIHEAP in 2021, totaling \$3,367,596. LIHEAP funds provide leveraged dollars for National Grid's Income Eligible Services (IES) program.
5. The Rhode Island PAC met on 04/xx/2021 via Teams to collectively review and discuss the 2021 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. A copy of the PAC meeting notes has been uploaded to the SF-424.
6. All six Subgrantees were provided a copy of the draft state plan application as part of an "Interested Parties" email distribution from DHS on 4/xx/2021. The Interested Parties notice also included information about the Public Hearing on 4/xx/2021.
6. RI has established an average cost per unit for DOE jobs at \$7,708. LIHEAP funds will be used for leveraging measures not covered with DOE funds, or any measures which may not meet the DOE SIR requirement.
7. The Weatherization Policy Advisory Council is a stand alone PAC, and meets for DOE Weatherization purposes only.
8. This plan has been prepared for PY 2021, but may be impacted by the Covid-19 pandemic.

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0007948, State: RI, Program Year: 2021)

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

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

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

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

Rhode Island elects to use LIHEAP income guidelines - 60% of state median income- to determine eligibility for WAP. For families with eight (8) 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 the most recent version of DOE WAP Poverty Income Guidelines and Definition of Income available. All Subgrantees will be provided with this information and have been instructed to refer to 2021 DOE LIHEAP and 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. Both LIHEAP and WAP use the Hancock Energy Software program. 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 eight or less. In order to comply with 10 CFR 440.22, households with eight (8) or more will follow a different eligibility threshold - 200% of Poverty Level - using the most recent version of DOE WAP Poverty Income Guidelines and Definition of Income available.

PY 2021 Low-Income Guidelines for DOE WAP

FAMILY SIZE (12 Month Income may not exceed):

1 - \$32,265

2 - \$42,193

3 - \$52,120

4 - \$62,048

5 - \$71,976

**U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET**

(Grant Number: EE0007948, State: RI, Program Year: 2021)

- 6 - \$81,903
- 7 - \$83,765
- 8 - \$85,626 **DOE WAP Eligibility: \$89,300 200% Poverty**
- 9 - \$87,488 **DOE WAP Eligibility: \$98,400 200% Poverty**
- 10 - \$89,349 **DOE WAP Eligibility: \$107,480 200% Poverty**
- 11 - \$91,211 **DOE WAP Eligibility: \$116,560 200% Poverty**
- 12 - \$93,072 **DOE WAP Eligibility: \$125,640 200% Poverty**

LIHEAP intake workers will be provided guidance on following the provisions of WPN 20-3. Families with 8 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 8 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 certifies 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.

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 Subgrantees mandates that each agency certifies 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 2) 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

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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 before 1966, Historic Preservation protocols must be followed. The Programmatic Agreement between the state (DHS and OER), DOE and the RI Historical Preservation and Heritage Commission (RIHPHC) has been executed, and is uploaded to the SF-424. 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 Authorization to Perform Work - uploaded to the SF-424

RI WAP Rental Units Building Agreement - uploaded to the SF-424

Describe Reweathering compliance

RI will implement the revised re-weatherization policy described in the The Consolidated Appropriations Act of 2021:

(h) AMENDING RE-WEATHERIZATION DATE.—Paragraph (2) of section 415(c) of the Energy Conservation and Production Act (42 U.S.C. 6865(c)) is amended to read as follows: “ Dwelling units weatherized (including dwelling units partially weatherized) under this part, or under other Federal programs (in this paragraph referred to as ‘previous weatherization’), may not receive further financial assistance for weatherization under this part until the date that is 15 years after the date such previous weatherization was completed. This paragraph does not preclude dwelling units that have received previous weatherization from receiving assistance and services (including the provision of information and education to assist with energy management and evaluation of the effectiveness of installed weatherization materials) other than weatherization under this part or under other Federal programs, or from receiving non-Federal assistance for weatherization.”.

Subgrantees are required to maintain historical records of previously weatherized units. The current Hancock client database, as well as older databases (e.g. Access Database, Captain excel spreadsheet, card catalog files) are checked for any previous WAP activity before an audit is scheduled. DHS also reviews the Subgrantee approach to determining building eligibility during the annual subgrantee monitoring.

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.

According to the 2019 Housing Fact Book published by HousingWorksRI at Roger Williams University, RI's population is 1,056,138 which includes 412,028 households. 60% of households are owners and 40% are renters.

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 "RI WAP 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.

2. DHS does not plan to weatherize any large multi-family weatherization buildings with this grant award. In RI, multifamily weatherization needs are addressed

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through the National Grid Income Eligible Multi-Family Program. 2021, \$3.010 million in ratepayer funds were allocated to support multi-family weatherization in RI. The Income Eligible Multi-Family Program is administered by RISE Engineering, Lead Vendor for National Grid. Where appropriate, DHS refers inquiries for multi-family weatherization services to RISE.

https://www1.nationalgridus.com/files%5CAaddedPDF%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.

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.

DOE funding for MF projects may be used only where allowed where minimum program requirements are met.

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 the entire dwelling with DOE funds.

- All applicable major air sealing/general heat waste, heating system and wall insulation must be completed
- All common areas (hallways, attics, basements) regardless of their location, must be weatherized

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. If the reasons for deferral are resolved, the home may be considered for weatherization services provided that the application still meets eligibility guidelines.

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 (i.e. CDBG, Green and Healthy Homes or local government 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

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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.

A copy of the RI WAP Deferral Form is uploaded to the SF-424. The HES database allows for tracking of deferrals.

V.1.3 Definition of Children

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

V.1.4 Approach to Tribal Organizations

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

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

The low-income members of an Indian Tribe shall receive benefits equivalent to the assistance provided to other low-income persons within the State. According to the 2019 US Census, there are approximately 5,277 Native Americans living in the State of Rhode Island. 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.

V.2 Selection of Areas to Be Served

All 39 cities and towns in the state will be served by six subgrantees:

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

- Failure to maintain adequate fiscal controls and accounting procedures
- Filing late and inaccurate financial and programmatic reports
- Misuse of program funds
- Inability of the subgrantee to account for materials and equipment purchased
- Failure to adhere to the schedule for goals and objectives established
- Provision of weatherization services that are not done in a quality manner
- Failure to use weatherization materials that meet or exceed Federal specifications
- Failure of a subgrantee to comply with the terms of a contract

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- Failure to comply with audit requirements
- Failure to comply with required purchasing procedures
- Discrimination of employees
- 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.

V.3 Priorities

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.

Where all of the above is equal, applicants who have been waiting for weatherization services longer, may be prioritized for service over an applicant who has not been on the waiting list as long.

Priority Categories

1. Senior Citizen Household Member: _____
60-65.....1 point
66-71.....2 points
72-77..... 3 points
78-83..... 4 points
84 + 5 points

2. Disabled: _____
1 point for each disabled household member

3. Families with Children: _____
Under age 1.....5 points
1-2.....4 points
3-5.....3 points
6-9..... 2 points
10-17..... 1 point

4. High Energy User: _____
1 point for High Energy Users

5. High Energy Burden: _____
1 point for High Energy Burden

Parameters are set up in Hancock to calculate if a customer is a High Energy User, and/or have a High Energy Burden. A recent study by ACEEE "Lifting the High Energy Burden in America's largest cities revealed that Providence, RI has the highest percentage of low-income energy burden in the Northeast (Providence, Pittsburgh, Philadelphia, Hartford, New York City, Baltimore, Boston, and Washington DC) based on the average of the median energy burdens across all groups.

RI WAP considers a household that spends more than 10% of their income on energy costs as having a High Energy Burden and priority points are given.

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V.4 Climatic Conditions

In Hancock, Subgrantees can choose from the following weather stations for modeling audits and should select the location of the nearest weather station:

Block Island State Arpt

Pawtucket

Providence

Providence TF Green Airport

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

RI contracted with Saturn Resource Management to develop the SWS-aligned *Rhode Island Weatherization Field Guide*, and its recent update in 2019. RI's Weatherization Technical Committee (WTC) was an integral part of the review and editing of this document. On 4/9/19, DOE notified RI that the Field Guide had been approved with 2 variance requests. The updated Field Guide has been distributed to subgrantees, CLEARResult staff, DHS weatherization staff, and weatherization contractors.

The "RI WAP IES Operations Manual" is uploaded to the SF-424 and is accessible for all subgrantees in Hancock Weatherization Guidelines. In 2020, the OM was updated with the assistance of an ad hoc working group comprised of energy auditors, state monitors, weatherization coordinators, DHS program manager and CLEARResult staff. The OM will be bound and printed with removable pages for updating ease and convenience.

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. 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. section 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

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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. RI conducts HEAT audits for every single family-site built unit.

In September 2020, DHS submitted single family and manufactured housing energy audit approval packages to DOE. At this time, the status of the approvals are pending.

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, washing machines, etc.).

Field guide types approval dates

| |
|--------------------------------|
| Single-Family: 4/8/2019 |
| Manufactured Housing: 4/8/2019 |
| Multi-Family: |

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

| |
|--------------------------------|
| Audit Procedure: Single-Family |
| Audit Name: HEAT |
| Approval Date: |

| |
|---------------------------------------|
| Audit Procedure: Manufactured Housing |
| Audit Name: HEAT |
| Approval Date: |

| |
|--|
| Audit Procedure: Multi-Family |
| Audit Name: Other (specify) |
| <input type="text" value="HEAT for small 2-4 unit multi-family dwellings. See Comments."/> |
| Approval Date: |

Comments

| |
|---|
| <p><u>Single Family Audits - HEAT</u> Rhode Island's single family audit procedures were approved on 8/31/15.</p> <p>DOE moved RI to "Conditional Audit Approval" on 9/6/17.</p> <p>DHS submitted single family and manufactured housing energy approval packages to DOE in September 2020. Approvals are pending.</p> <p><u>Mobile Home Audit</u> DHS recognizes that it is not in compliance with the requirement for an approved mobile home audit. 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 this population can continue to be served. Mobile homes account for 0.9% of the total housing units in the state. A full HEAT audit is modeled for every mobile home weatherization job.</p> |
|---|

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Multi-Family Weatherization

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 (2-4 units) are modeled in 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 DHS/Subgrantee contract agreements. The QCI form certifies that each home has been completed and is signed and dated by the client, the QCI inspector, and the weatherization coordinator. 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. DHS recommends that subgrantees perform "real time" final inspections whenever possible, on the last day of scheduled work, and while the weatherization contractor is still on-site. This practice improves responsiveness and efficiency of program operations by allowing contractors to immediately address any unsatisfactory work. Subgrantees are strongly encouraged to conduct "work in progress" inspections on at least 20% of jobs to review contractor work, discuss issues and concerns, check for lead safe work practices, and inspect attic air sealing work.

Disciplinary actions for inadequate inspection practices are reviewed on a case-by-case basis, and are identified through state monitoring visits. When disciplinary action is warranted, a subgrantee corrective action plan may be requested by the state, and should reflect the significance of the finding or concern. Examples of when disciplinary action may be warranted include:

- A. Repeated occurrences of failed CAZ testing resulting in re-work;
- B. Repeated monitoring finding related to the contractor performing the work;
- C. Repeated incidents of unsatisfactory, sub-standard work performance;
- D. Repeated incidences of violating DHS, DOE or LIHEAP program requirements;
- E. Fraudulent activity or fraudulent charges that are being reimbursed by the Weatherization Assistance Program;
- F. Negligent work performance that leaves clients or other workers in imminent danger (i.e. Health and Safety such as carbon monoxide allowed to enter the home or a gas leak not addressed).

Depending on the severity of the issue, consequences may include:

1. **Remedial Training, Category A.** A worker (auditor or contractor) that falls under **Category A** will be recommended for remedial training and may be denied from participating in the program until the remedial training is completed. In addition to remedial training, an increase of on-the-job training or supervision may be warranted as well.
2. **Denial of Participation.** A contractor or worker performing work that falls under categories **B, C and D** may be denied participation for up to 2 years.
3. **Permanent Debarment** - A contractor or persons performing work that falls under category **E and F** may be permanently debarred from providing weatherization services through DHS' Weatherization Assistance Program.

In all disciplinary cases, an increase in the number of units monitored will be implemented.

At this time, there are 12 QCI inspectors in RI.

Status of CAP Agency QCI Inspectors
BVCAP - 2 QCI (Steve Calise, Ed Fisk)
CCAP - 1 QCI (Merredith Plante)

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Eastbay - 0 QCI
CAPPRI - 2 QCI (Steve Santos, Keith Shillan)
Tri-County - 2 QCI (Sal Estacio, Steve Saccoccio)
Westbay - 2 QCI (Bill Larocque, Kevin O'Grady)

State Monitors

John Costello - QCI
Ramon Lantigua - QCI

Derek DeCosta - QCI

All QCI individuals must submit copies of their certifications (lead renovator, BA, QCI, EA, other HEP certifications) to DHS.

The RI WAP Field Inspection Form has been uploaded to the SF-424.

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. Ideally, the QCI inspector should not be the same individual who audited the property or performed any of the work for the property they are inspecting. In instances where this is not possible due to staffing, DHS will increase monitoring to 10% of completed units.

Where the auditor and the final inspector are the same, at least 10 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;
- 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 QCI Form 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.

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DHS' QCI inspectors are required to review not less than 10% of completed units. 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 that failed. When the work has been corrected, the subgrantee will notify DHS and arrange for the QCI re-inspection.

Units with failed measures must be resolved within five working days. Failure to adhere to this policy could result in the withholding of funds, 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 "failed" units be resolved and treated as a priority. Repeated failures may result in DHS requesting a corrective work plan to be developed by the agency.

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;
- 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.
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 subgrantee is required to notify DHD that the unit cannot be accessed and provide documentation of each attempt to contact.

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) is included in 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.

QCI - Overall Job Rating

- Good (no missed opportunities, all work installed according to standards)
- Poor (measures were not installed to standards, client files incomplete)
- Fail (materials reported as installed are not found, major weatherization opportunities were missed without an explanation of why the measure(s) were omitted in the client file, uninstalled health and safety measures that are still required to protect the family)

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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

Disciplinary actions for non-compliance with post inspection protocols will be classified as:

- Level 1: Subgrantee has routinely responded to corrective actions, 100% effective.
- Level 2: Subgrantee has had marginal or insufficient results responding to corrective improvement on initial responses, but ultimately addressing all concerns and demonstrating improvement. Subgrantee will be subject to increased state monitoring and inspection
- Level 3: Subgrantee has failed to address corrective actions and/or deficiencies repeatedly. This designation may result in temporary suspension and disallowed costs.
- Level 4: Indefinite suspension, defunding of Subgrantee and contract termination.

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. section 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.

Subgrantees 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”).

Subgrantees 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).

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

Subgrantees 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 RI WAP 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

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purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy- related home repairs) of any building or other facility.

Subgrantee acknowledges and agrees that it must maintain an overall average cost per dwelling amount not to exceed \$7,708 for PY 2021.

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, adhering to the SIR requirement helps ensure that the program maintain its mainstay of cost-effectiveness.

EA and QCI Inspector training and certification will also help ensure that high quality work standards and cost effective energy conservation practices are followed. Recent DOE requirements for Quality Work Plans and Quality Management Plans will help improve the overall efficiency of WAP. DHS will continue its efforts for program and process improvement by providing technical and program training for state and subgrantee staff as needed.

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.

Annual program and fiscal 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 10% of the housing units completed are physically inspected by DHS state monitors. 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 Weatherization Manager Meetings and "NGRID 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.

DHS will continue to hold daily "huddles" of the state monitoring team, and weekly staff meetings to review reports and monitoring findings from the previous week. The weekly meetings will be a chance to discuss trends, T&TA recommendations, best practices and more.

DHS and CLEAResult (lead vendor for the National Grid Income Eligible Services Program) hold monthly KPI meetings with the 6 subgrantee weatherization coordinators. A copy of the KPI worksheet is attached to the SF 424 for reference. The purpose of the monthly KPI meetings is to review and discuss: the prior months' production goals and spending, T&TA and staffing and provide support for program development as needed.

In PY 21, DHS plans to work with Hancock to collect and analyze data on CFM reductions for completed units. This data will be sorted by agency, by auditor, and by contractor.

In response to the recent ACSI survey, DHS will continue to implement corrective actions particularly surrounding effective communication strategies. DHS has enlisted additional staff to support these efforts, and promote process improvement.

V.7 Health and Safety

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

The 2021 RI WAP Health and Safety Plan, uploaded to the SF-424, is a working document and has been provided to all RI WAP subgrantees. The

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document will be updated as necessary, and follows all requirements of WPN 17-7.

For PY 21, 11.8% has been budgeted for DOE Health and Safety work. The WAP Hancock database allows the state and subgrantees to track and manage H&S measures and costs more efficiently. Subgrantees can quickly see spending percentages by category and funding source by accessing the Production and Job Cost report in Hancock. Additionally, Hancock has a feature whereby jobs that exceed the H&S average job funding limit (\$900) are sent to "state approval" before they can be sent to work order. This control allows the agencies, and DHS, to track Health and Safety averages and address any issues before a work order is created.

Subgrantees are encouraged, but not required, 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. Deviations from the RI Health and Safety Plan must be requested in the form of a waiver, and must include a thorough assessment (including photo documentation) of the situation and a detailed plan for addressing the issue.

At-Risk Customers

RI WAP provides AC assistance through the Appliance Management Program. Any A-60 (discount rate) customers is eligible for AC replacement, if the InDemand audit (baseload audit) deems it cost effective. Window AC's are replaced with energy star models; almost all AC's are replaced. There is no assesment of an "at risk" situation; if the customer is income eligible, they are eligible to participate in the program. Window AC's are replaced 1:1 (eg. like for like).

The RI WAP IES "Audit Instructions Form" seeks to obtain customer health and safety information that may be affected by the weatherization work set to occur. If it is found that a customer may be considered "At Risk" based on the information provided, the job will be deferred for the health and safety of the customer.

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 RI WAP placement within the Department of Human Services has been uploaded to the SF-424.

An organizational chart for the Weatherization Assistance Program itself has been uploaded to the SF-424.

The State Energy Plan (SEP) program remains at the Office of Energy Resources in the RI Department of Administration. The Office of Housing and Community Development (OHCD) administers all CDBG grants awarded to the State of Rhode Island. The State Community Development Block Grant (CDBG) program is intended to develop viable communities by providing decent housing, expanding economic opportunities and creating suitable living environments - primarily for low/moderate income persons (those earning at or below 80% of Area Median Income). Each year the State of Rhode Island receives a formula allocation of CDBG funding from the Department of Housing and Urban Development (HUD) to be distributed to eligible Rhode Island communities.

The weatherization assistance program is operated by six community action agencies statewide. Historically, RI Community Action Agencies have implemented WAP 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

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DHS will comply with the rules for administrative limits which states that not more than 15% 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 7.5% may be used by the state for such purposes, and not less than 7.5% must be made available to subgrantees by states.

V.8.3 Monitoring Activities

In accordance with 10 CFR 440, DHS, as the Grantee for the Weatherization Assistance Program, will perform monitoring and oversight of WAP program, and establish monitoring procedures for evaluating Subgrantee performance. Monitoring functions as the state's principal method for determining Subgrantee compliance and evaluating the effectiveness of WAP policies and procedures. All monitoring activities will be conducted in compliance with DOE WPN 15-4, the RI Weatherization Field Guide, the approved DOE state plan, the RI WAP/IES Operations Manual, and DOE WPN 20-4.

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 20-4: 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. Monitoring tasks are shared by the DHS weatherization manager (Chief Program Development), three state monitors, and DHS Financial Management. This visit includes a review of client files, administrative systems, client priorities, leveraging activities, contractor procurement, utilization and file maintenance, technical procedures (energy audits, health and safety 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 on-site monitoring to maximize utilization and efficiency of resources.

Findings such as waste, fraud, or abuse will be reported to DOE immediately.

Subgrantees are subject to removal from the program and will be defunded of all remaining allocations in the event that findings remain consistently non-compliant with either state or federal requirements. Such findings may include, but are not limited to: consistent sub-standard workmanship with no measureable improvement within 90 days of notification; inadequate fiscal or management policies, procedures, or enforcement of controls; failure to improve current management systems within stated notification timeframes and/or implementation of corrected policies, procedures and practices.

Technical field staff will review inventory (weatherization 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 10% of completed units and 10% of client files to ensure quality workmanship and that DOE guidelines are followed. Field monitors detail inspection findings on a "QCI Inspection Report", and provide a copy to the Subgrantee within 10 days whenever possible. 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

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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 that includes programmatic strengths, programmatic weaknesses, training needs and recommendations, and deficiencies requiring immediate attention. 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 has developed a "Subgrantee Monitoring Analysis Overview" in as described in WPN 20-4, using an Excel spreadsheet, which tracks and summarizes each Subgrantees' financial reviews, program monitoring reports, outstanding issues, and will identify each Subgrantees' needs, strengths, and weaknesses. By organizing state monitoring information onto one spreadsheet, DHS will be better able to gauge and measure success and improvements at the agencies from year to year.

DHS will also include a copy of the overview with its T&TA, Monitoring and Leveraging Report. As described in WPN 20-4, 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

State monitors visit with subgrantees regularly to perform file reviews, conduct field inspections with contractors, auditors, and final inspectors; and provide technical assistance as necessary. The three technical monitors/inspectors at DHS devote a significant portion of their time to in-field monitoring activities including monitoring completed jobs (10%) 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 geographical size - 37 miles wide and 40 miles long - DHS field monitors are routinely "out in the field" providing T&TA to auditors and contractors and responding to requests for assistance while jobs are in progress.

Technical monitors also inspect units "in progress" beyond the 10% 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.

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 2016 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 HPC Conferences, local training

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opportunities (RI Building Code, RI Builders Association, CLEAResult etc.), CHP, NYSWDA, and others. Grantee T&TA funds are used to support personnel costs for the three technical monitors. 21% 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. In cases where the initial auditor and the QCI inspector are the same person, QCI inspections will be increased to ensure that audits are being performed consistently and correctly (10% minimum).

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.

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.

“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.

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 QCI 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;

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- 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.

The QCI Inspector alerts DHS staff that the unit cannot be accessed and provides documentation of each attempt to contact. Units that do not receive a full QCI inspection may not be charged to DOE. NGRID or LIHEAP funds must be used.

Beginning in 2021, state technical monitors will perform regular auditor performance evaluations using the "Energy Auditor Evaluation Tool" which assigns weighted values to seven categories of auditing including Building Assessment, Health and Safety, Heating System, Client Education, Blower door diagnostics, Tools and Equipment, and Post Audit. A baseline score will be developed for each energy auditor in 2021. The tool will also guide statewide and individual training and technical assistance needs. A copy of the tool has been uploaded to the SF 424.

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.

In 2021, RI plans to use the majority of its T&TA allocation to support the hiring of a "Training and Technical Assistance Coordinator". DHS plans to contract with CLEAResult, the lead vendor for RI's Income Eligible Services (IES) program, on this new initiative. The T&TA Coordinator will collaborate with DHS program and technical staff to create a customized training plan for RI WAP. The training will include a virtual component for classroom requirements. The plan will include, at a minimum, the following list of required trainings and any others as identified by DHS.

- Energy Auditor Certification Training (BPI)
- EPA Certified Renovator Training
- Quality Control Inspector (QCI) Training (BPI)
- Combustion Appliance Zone (CAZ) Refresher Training
- Health and Safety training to include ASHRAE 62.2 2016,
- Personal Protection Equipment and other health and safety trainings as identified by DHS
- ??????HEAT Training - New Users and Refresher Training

The T&TA Coordinator will develop a system for tracking training effectiveness and will report monthly progress. Upon completion of the full plan the provider will deliver a comprehensive assessment report that details the overall impact of the WAP training for the State of RI. The report will include both qualitative

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and quantitative data reflective of improvements in network capacity and knowledge in each identified training area.

State Technical Monitors

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
- Certified Lead Renovator
- ASHRAE 62.2 2016
- Advanced Air Sealing training
- HEAT audit training

Observations of trends during field monitoring are a determining factor in developing Single Topic training opportunities.

DHS has implemented weekly WAP monitoring meetings to review and track field and QCI reports. State monitors will provide copies of any field reports, post inspections, or QCI inspection reports and an overview of their findings. These reports will be tracked on a spreadsheet to identify auditor, agency, and contractor issues and trends. This feedback is also beneficial to other state monitors who may be facing similar issues and concerns with their agencies. DOE monitoring observations and recommendations are also factored into the development of RI's annual T&TA plan.

Attendance for all training is tracked in a database maintained by DHS. The database is also used to track renewals for licenses and certifications. See "Summary of Qualifications", uploaded to the SF-424.

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 are required to have BPI Building Analyst Certification before performing any energy audits on their own. On a case by case basis, an energy auditor without BA certification may be allowed to perform energy audits independently. In all cases, DHS must approve this request and will ensure that audits are reviewed by a qualified person before a work order is issued. Throughout PY 21, energy auditors and state monitors will attend HEP Energy Auditor training as needed.

Weatherization Auditor Requirements

1. BPI Building Analyst certification is required to perform audits for the RI WAP/IES program, unless prior approval has been obtained by DHS.
2. Rhode Island Lead Safe Renovator Remodeler certification (RRP) is required to perform Audits for the RI WAP/IES program. All Auditors must attend Lead Safe Work Practices training within six months of hire.
3. All energy auditors must have OSHA 10 certification.
4. All RI WAP/IES Weatherization Auditors must pass the National Grid Background Check
5. Auditors must possess and maintain proper use of all "Required Tools for Weatherization Auditors" listed n the RI WAP Operations Manual.

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.

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WEATHERIZATION ASSISTANCE PROGRAM (WAP)
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(Grant Number: EE0007948, State: RI, Program Year: 2021)

Quality Control Inspector (QCI) Requirements for DOE Funded Work

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

There are 9 QCI inspectors in RI at this time. DHS will not limit the number of auditors that can receive the EA and QCI training and certification. To the greatest extent possible, LIHEAP funds will be used to supplement T&TA activities where DOE funding falls short.

RI WAP 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.

If funding allows, RI will also offer HEP Crew Leader and Retrofit Installer training and certification to eligible RI WAP contractors. Contractors will be required to sign a retention agreement with the subgrantee. The retention agreement shall require that contractors will work in the program for a specific amount of time, and must align with the cost of the T&TA provided.

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 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. In PY 2021, "Comprehensive" training will be focused primarily on EA and QCI training and certification for all energy auditors and state monitors. If a mandatory training is missed, the individual must re-schedule the training on their own, or take the class/course online. DHS will determine what trainings are mandatory. Attendance for all training is tracked.

Comprehensive Training (formerly called Tier 1 training)

Comprehensive training is occupation-specific training which follows a curriculum aligned with the JTA for that occupation. Comprehensive 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 Comprehensive 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 may receive regular Comprehensive training. 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.

Specific Training (formerly called Tier 2 training)

Specific Training is single-issue, short-term, training to address acute deficiencies in the field such as dense packing, ASHRAE 62.2 2016, etc. Conference trainings are included in this category. DHS will initiate Specific Training from time to time. These trainings can take place in the field, at a subgrantees office, college or technical school or other locations.

DHS will also assess subgrantee and contractor compliance with OSHA requirements. 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.

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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. All RI WAP customers are provided with a self-addressed and stamped "Client Satisfaction Card" at the post inspection. All customers are given the customer satisfaction card, regardless of the funding source. CLEAResult compiles all responses on a spreadsheet, and shares results with with DHS and Subgrantees. At the final inspection, the customer is given a copy of the Hancock Energy Savings Report for the weatherization work completed. Each energy auditor has a portable printer and Ipad for convenience in providing this important report.

In addition, client education packets have been provided to all Subgrantees and 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; Save Energy on Your Own; Top 10 Ways Homeowners Can Ensure Good Air Quality; EPA's Citizen's Guide to Radon; 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 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, job cost reports, customer survey cards, and more. T&TA activities are developed based on these elements, and are usually mandatory for all energy auditors and 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.

Percent of overall trainings

| | |
|--------------------------|------|
| Comprehensive Trainings: | 70.0 |
| Specific Trainings: | 30.0 |

Breakdown of T&TA training budget

| | |
|--|-------|
| Percent of budget allocated to Auditor/QCI trainings: | 100.0 |
| Percent of budget allocated to Crew/Installer trainings: | 0.0 |
| Percent of budget allocated to Management/Financial trainings: | 0.0 |

V.9 Energy Crisis and Disaster Plan

Energy Crisis Relief (ECR)

DHS will comply with WPN 12-7: "Revised Guidance on Weatherization Disaster Guidance and Relief". Rhode Island currently utilizes LIHEAP funds for our Energy Crisis Relief (ECR) program. The activities and measures that will be performed under ECR are, but not limited to, repair of heating systems, replacement of irreparable heating systems, repair of gas or other fuel lines, pipe thawing service, and loans of auxiliary heaters. Because of LIHEAP and NGRID funding for emergency boiler repair and replacement, DHS does not foresee the need to use DOE WAP funds for an emergency crisis program.