



Arizona
Department
of Housing

Weatherization Assistance Program

Policies and Procedures

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Table of Contents	1-8
Chapter 1 – Program Introduction and General Management	5
1.1 Introduction	5
1.2 Weatherization Program Resources	5
1.3 Sub-grantee Selection Process.....	5
1.4 Sub-grantee Responsibilities	6
1.4.1 Lobbying	6
1.4.2 Conflict of Interest Policy	6
1.4.3 Confidentiality	8
1.4.4 Limited English Proficiency Customers	8
1.4.5 Final and Quality Control Inspections	8
1.4.6. Basic Energy Auditor Certification	8
1.4.7 Client Rights and Responsibilities	9
1.4.8 Training and Technical Assistance	9
1.5 Tribal Weatherization Services	9
Chapter 2 – Eligibility	10
2.1 Approach to determine client eligibility.....	10
2.1.1 Qualified Aliens Receiving Weatherization Benefits	10
2.1.2 Period of Eligibility	11
2.1.3 Priority of Service and Wait List	11
2.2 Building Eligibility	11
2.2.1 Temporary Shelters	12
2.2.2 Applications for Multi-Family Buildings in Weatherization	12
2.2.3 Owner Occupied Multi-Unit Buildings – Condominiums	13
2.2.4 Rental Units Containing Commercial Property	13
2.3 Re-weatherization	13
2.4 Use of WAP Funds for Add-on/Call-back Work	14
2.5 Rental Requirements	14
2.6 Deferrals.....	15
2.7 Denial of Weatherization Services	16
Chapter 3 – Procurement and Contract Management	18
3.1 Procurement Requirements	18
3.2 Contract Management and Contractor Performance Management	18
3.3 Warranty Requirements	18
3.4 Sub-grantee Responsibilities for Property Improvements through Sub-Contractors	19
3.5 Vendor Payments.....	19
Chapter 4 – Energy Audits	21
4.1 Initial Audit.....	21
4.1.1 Audit for Multi Family of 5 Units or more per Building	21
4.2 Diagnostic Tests.....	22
4.2.1 Required Equipment	22
4.2.2 Required Equipment for Instrumented Air Sealing	23
4.3 REM for DOE and SWG Projects.....	23
4.4 Work Performed.....	23
4.4.1 Health and Safety Measures	23

4.4.2 Mechanical Ventilation in 1-4 Unit Buildings and Mobile Homes	23
4.4.3 Mechanical Ventilation in 5+ Unit Buildings	24
4.4.4 Air Sealing	24
4.5 Final Inspection.....	24
4.6 Quality Control Inspection (QCI) Required for DOE Assisted Units.....	25
Chapter 5 – Health and Safety Requirements	27
5.1 Inspection.....	27
5.2 Level of Concern.....	27
5.3 Worker Safety	28
5.4 Deferred Weatherization Services	28
5.5 Occupant Pre-Existing Health Conditions.....	28
5.6 Lead Safe Weatherization.....	28
5.7 Dwelling Units Receiving HUD Funding.....	30
5.8 Mold and Moisture	30
5.8.1 Moisture Assessment	31
5.8.2 Repair or Elimination of Moisture Problems	31
5.9 Asbestos Containing Materials (ACM) Guidelines for Weatherization	32
5.10 Use of Spray Polyurethane Foam.....	33
5.11 Cooking Stoves.....	34
5.12 High Efficiency Particulate Air (HEPA) Filter Shrouds on Power Tools	34
5.13 Comprehensive Health and Safety Planning	34
Chapter 6 – Equipment and Materials Management	35
6.1 Sub-grantee Information Technology (IT) Requirements.....	35
6.1.1 ADOH WAP Database	35
6.2 Program Leasing of Sub-grantee Owned Property.....	35
6.3 Vehicles Leased or Purchased from the Sub-grantee	35
6.4 Property	36
6.5 Property Record Keeping.....	37
6.5.1 Vehicles, Equipment and Tools Records	37
6.5.2 Inventory Asset Accounts	37
6.6 Consumable Materials Cost Allocation	38
6.7 Disposition of Property.....	38
6.7.1 Consumable Inventory Disposal	38
6.7.2 Vehicle, Equipment and Tool Disposal	39
Chapter 7 – Program Costs	41
7.1 General	41
7.2 Allowable Costs	41
7.2.1 Administration	41
7.2.2 Operations	42
7.2.2.1 Direct Labor	42
7.2.2.2 Delivery	43
7.2.2.3 Contractor Costs	43
7.2.2.4 Repair Costs	43
7.2.2.5 Transportation	43
7.2.2.6 Tools and Equipment	43
7.3 Health and Safety	43
7.4 Liability Insurance	44
7.4.1 Pollution Occurrence Insurance (POI)	44

7.5 Financial Audit.....	45
7.6 Training and Technical Assistance (T&TA).....	45
7.6.1 Subcontractor Training	46
7.6.2 Out-of-State Travel	46
7.7 Purchase of Vehicles and Equipment	46
7.8 Disallowed Costs.....	47
7.9 Average Unit Cost.....	47
Chapter 8 – Documentation and Record Keeping	48
8.1 Client Records.....	48
8.2 Client Files	48
8.3 Open Records/Public Records.....	49
8.4 Scope of Work.....	49
8.5 Historic Preservation	50
Chapter 9 – Reporting Requirements	51
9.1 General	51
9.2 Monthly Requests for Payment.....	51
9.3 Final Close-Out Invoice.....	51
9.4 Tool and Equipment Purchased.....	52
9.5 Vehicles Purchased/Leased.....	52
9.6 Special Reports.....	52
Chapter 10 – Financial Standards	53
10.1 General	53
10.2 Source Documentation.....	53
10.3 Expenditure Documentation.....	53
10.4 Cash.....	54
10.5 Record Retention	54
10.6 Financial Audits.....	55
10.6.1 Audit Package	55
10.6.2 Compliance Requirements and Audit Procedures	56
10.7 Program Income.....	56
10.8 Purchase Orders	56
Chapter 11 Monitoring, Training and Technical Assistance	58
11.1 Monitoring Goals	58
11.2 On-Site Monitoring	58
11.2.1 On-Site Technical	58
11.2.2 On-Site Fiscal	61
11.3 Desk Top Monitoring.....	61
11.3.1 Performance Monitoring	62
11.4. Enforcement.....	62
11.4.1 Remedies for Noncompliance	62
11.4.2 Appealable Agency Action.	62
11.4.3 Effects of suspension and termination.	63
11.4.4 Relationship to debarment and suspension.	63
11.5 Cancellation	63
11.6 Training and Technical Assistance	64
11.6.1 Methods Used to Provide Training	64
11.6.2 Description of Training Activities to be undertaken:	64

11.6.3 Required Training	65
11.6.4 Required Training - New Field Employees and/or Contractors.....	66
11.6.5 Tier 1 Training	66
11.6.6 Tier 2 Training	66
11.6.7 Contractor Training	67
11.6.8 Client Education	67
Chapter 12. Forms	69
12.1 Client Rights and Responsibilities.....	69
12.2 Training and Technical Assistance	70
12.3 No Previous Weatherization Checklist.....	71
12.4 Landlord/Tenant Agreement	72
12.5 Progress Form	73
12.6 Residential Diagnostic Evaluation.....	74
12.7 Field Waiver	81
12.8 Refusal of Services, Indemnification and Waiver of Claims.....	82
12.9 QCI Checklist	83
12.10 Client Health and Safety Evaluation- Client	90
12.11 Client Health and Safety Evaluation – Auditor	91
12.12 Health and Safety Waiver	92
12.13 Client File Checklist	93
12.14 Hazard Disclosure Form	95
12.15 Household Action Plan.....	96
Appendix A – Definitions and Acronyms	97

Chapter 1 – Program Introduction and General Management

1.1 Introduction

Created in 1976, the federal Weatherization Assistance Program (WAP) assists low-income families who lack resources to invest in energy efficiency. The Weatherization Assistance Program operates in all 50 states, the District of Columbia, Native American tribes, and U.S. territories. Funds are used to improve the energy efficiency of homes occupied by low-income households, using the most advanced technologies and testing protocols available in the housing industry. The energy conservation resulting from the efforts of state and local agencies helps our country reduce its dependence on foreign oil and decrease the cost of energy for families in need while improving the health and safety of their homes.

The Weatherization Assistance Program is governed by federal regulations designed to help manage and account for the resources provided by the U.S. Department of Energy (DOE). Weatherization Assistance Program funding is derived from annual appropriations from Congress. Each year the Senate and House Interior Appropriations committees decide the level of funding allocated to the program.

Arizona Department of Housing Weatherization Assistance Program (ADOH WAP) is administered by the Community Development and Revitalization (CD&R) division of ADOH through a network of sub-grantees including city and county agencies, regional councils of government, community-based organizations, and non-profits.

The ADOH WAP website provides further program information for the general public.

1.2 Weatherization Program Resources

The ADOH WAP is funded with a combination of funds including DOE, Low Income Home Energy Assistance Program (LIHEAP), and Southwest Gas (SWG) funding. SWG funding may only be used on residences served by SWG.

Sub-grantees may find current documents, program information, manuals, and technical bulletins on the ADOH WAP website at: <https://housing.az.gov/general-public/weatherization-assistance-program>. Program Forms may be found on the website at: <https://housing.az.gov/documents-links/forms/weatherization>. Additionally, copies of the ADOH WAP forms are available for review in Chapter 12 of this handbook. Sub-grantees should always pull current forms from the ADOH WAP website to ensure they are using documents that meet current weatherization program requirements.

1.3 Sub-grantee Selection Process

The State will follow the requirements outlined in 10 CFR 440.15 to select ADOH WAP sub-grantees. In addition, eligible sub-grantees must meet the following requirements:

- a) For units assisted with DOE, LIHEAP and/or SWG funding the sub-grantee must have an in-house Building Performance Institute (BPI) Building Analyst (BA) or an agreement with a third party BPI BA to perform initial and/or final audits. The BPI BA inspector must not install any measures required by the scope of work generated from the initial audit.

- b) For units completed with DOE funding final inspections must be performed by a certified Quality Control Inspector in good standing. The sub-grantee must have an in-house Quality Control Inspector (QCI) or an agreement with a third party QCI contractor that has had no previous history (audit or work completed) with the unit inspected. The QCI cannot be the same person who performed the initial audit.
- c) Sub-grantees must be in compliance with all ADOH contracts for all programs and funding sources.
- d) Sub-grantees must submit a comprehensive WAP Program Management Plan within 90 days of selection to receive ADOH WAP funds. The submission of the Management Plan must include copies of liability insurance; equipment calibrations; evidence of Lead Firm Certification; project implementation schedule; and an organizational chart that outlines the job responsibilities of each person working in the ADOH WAP program and their respective certifications.
- e) Sub-grantees must have developed WAP Program Guidelines (WPGs) or Weatherization Policies and Procedures that have been approved by ADOH and adopted by their governing body.

1.4 Sub-grantee Responsibilities

A sub-grantee shall make all reasonable effort to deliver comprehensive weatherization services to low-income people in the most cost effective, efficient, and timely way possible. In doing so, sub-grantees will maximize the use of available current program funding in delivering weatherization services.

Sub-grantee responsibilities are to demonstrate compliance with all program funding sources and include such items as income and unit eligibility; procurement; quality workmanship per the NREL Standard Work Specifications (SWS); recordkeeping per 2 CFR 200.333; and reporting per 2 CFR 200.327, 328 and 329.

Other guidance regarding implementation of program requirements may be found in the ADOH WAP Arizona Weatherization Field Guide, Arizona Weatherization Assistance Program State Plan and in official LIHEAP DES guidance for income verification. The LIHEAP income guidance is used for all ADOH WAP funding sources.

The ADOH WAP reserves the right to have the final authority in any cases of dispute.

1.4.1 Lobbying

The sub-grantee shall comply with Title 31 U.S.C Section 1352 Standard Form LLL Disclosure of Lobbying Activities. The form and instructions can be found at: <https://www.whitehouse.gov/sites/default/files/omb/grants/sfillin.pdf>

1.4.2 Conflict of Interest Policy

As a part of the sub-grantees adopted WPG's or Weatherization Policies and Procedures, each sub-grantee shall develop and maintain a plan for dealing with potential conflicts of interest. Conflicts of interest covered by the plan shall include all situations, actual or perceived, when sub-grantee employees; board of directors or any relatives of either, have an interest in a business (or organization) providing services, materials, or a property anticipated to receive weatherization services.

When a known or perceived conflict of interest for sub-grantee employees; board of directors or any relatives exists, the following process shall be followed:

1. The sub-grantee shall review its Conflict of Interest Policy as it applies to the potential project.
2. The Sub-grantee sends an email to the ADOH WAP program detailing the known or perceived conflict of interest. The e-mail must include copies of documentation regarding the details of the known or perceived conflict of interest sufficient to assist ADOH with the review.
3. The ADOH WAP program will review the request and will either approve or deny the request. Sub-grantees must not proceed to structure eligibility without approval from ADOH WAP program.

When a sub-grantee has partial or complete ownership of a property that is eligible for weatherization, the following process shall be followed:

1. The sub-grantee shall review its Conflict of Interest Policy as it applies to the potential project.
2. The Sub-grantee sends a message via email to the ADOH WAP program indicating that the property is eligible, and proposes who would conduct the energy audit (Sub-grantee or third party).
3. The ADOH WAP reviews the request and must approve of auditor proposal.
4. The energy audit is conducted.
5. The sub-grantee submits the following to the ADOH WAP for review, at a minimum (additional information may be requested):
 - a. Computerized audit file,
 - b. Field data collection form(s),
 - c. Audit photos including, but not limited to, building exterior, existing conditions, and mechanicals, and
 - d. List of measures to be performed and by whom (e.g., subcontracted, Sub-grantee crew).
6. The ADOH WAP program approves or denies the request.
7. The Sub-grantee notifies the ADOH WAP when the building is reported as complete.
8. For DOE assisted structures the ADOH WAP program will approve the sub-grantee to schedule the property for QCI inspection by a non-related third party. If the structure is multi-family, the QCI inspector must be certified for multi-family.
9. For LIHEAP or SWG assisted structures the ADOH WAP program will approve the sub-grantee to schedule the property for BPI BA final inspection.

The ADOH WAP Program reserves the right to request additional information or documentation during any phase of the project.

1.4.3 Confidentiality

Sub-grantees shall not use confidential information for any purpose other than the limited purpose of their contract, and shall not disclose such confidential information to any persons other than those who have a business-related need to have access to such information. Sub-grantees shall require all such persons to read and sign a non-disclosure statement, and shall be responsible for the breach of any confidentiality.

The sub-grantee shall institute and maintain reasonable security procedures to maintain confidential information while in its possession or control, including transportation, whether physically or electronically. Confidential information is defined as all tangible and intangible information and materials, including all proprietary and personally identifiable information. Personally identifiable information means an individual's first and last name, social security number, driver's license number, or other identification number, including financial account numbers, or other personal identification criteria.

1.4.4 Limited English Proficiency Customers

Sub-grantees are obligated to ensure that persons with limited English proficiency (LEP) have meaningful and equal access to benefits and services. This assistance goes beyond provision of brochures in Spanish, or other languages. As some individuals may not read English, or any other language, the agency shall have a mechanism to communicate orally with people with limited English proficiency.

1.4.5 Final and Quality Control Inspections

Sub-grantees shall maintain documented Final and QCI inspections that cover the required elements as found in the State Plan at Section V5.3. Final inspections shall be completed on every unit by individuals who did not install the weatherization measures on the inspected unit. The QCI cannot be performed by the same person who performed the initial audit or final inspection. The ADOH WAP program recognizes the limited access to QCI inspectors for some Grantees in the more rural areas of the state. Therefore, sub-grantees may contact the ADOH WAP Energy Specialist to discuss an acceptable alternative method for obtaining and documenting final QCI inspections.

Weatherization work not meeting the program requirements that is identified during ADOH WAP monitoring is the responsibility of the Sub-grantee. The ADOH WAP encourages sub-grantees to contact the ADOH WAP regarding any policy interpretation issues prior to completing the unit.

Sub-grantees are encouraged to utilize insurance to cover expenses related to employee or contractor negligence, warranty issues, or other expenses related to completed units weatherized.

1.4.6. Basic Energy Auditor Certification

All persons auditing homes within the ADOH WAP program shall meet the following requirements:

1. Meet the DOE Weatherization Assistance Program Core Competencies pre-requisite for Basic Energy Audit Competencies, which are:
 - Ability to read and write legibly;
 - Basic verbal and written communication skills;
 - Basic construction knowledge;
 - Basic math skills; and
 - Basic computer skills.
2. Complete and pass a Weatherization Boot Camp.

Further details can be found in a document titled Core Competencies for the Weatherization Assistance Program on the WAPTAC Website at: <http://www.waptac.org/Training-Tools/Core-Competencies.aspx>.

1.4.7 Client Rights and Responsibilities

The Client Rights and Responsibilities Form (See Chapter 12. Forms) is required to be provided to all weatherization program customers, regardless of funding source and provides information concerning rights to safety, the right to be informed, warranty information and the steps a customer may take in the event a warranty issue is not resolved. Sub-grantees shall distribute the Client Rights and Responsibilities Form during the initial client interview and education process. The customer's signature on the Client Rights and Responsibilities Form shall signify receipt. A copy should be maintained in the Client File. The form is available at: <https://housing.az.gov/documents-links/forms/weatherization>.

1.4.8 Training and Technical Assistance

The ADOH WAP allocates Training and Technical Assistance (T&TA) funds for regional or national weatherization conferences, Tier 1 and Tier 2 training to each sub-grantee. A sub-grantee is required to develop and submit a plan for T&TA expenditures per annual direction from ADOH WAP. Sub-grantee shall comply with all mandatory training requirements as directed by the Arizona State Plan Section V8.4. Sub-grantees must complete and submit the Training and Technical Assistance Form (See Chapter 12. Forms) for all T&TA expenditures. T&TA expenditures over \$500 must be pre-approved by ADOH WAP. The Training and Technical Assistance Form is available at: <https://housing.az.gov/documents-links/forms/weatherization>.

1.5 Tribal Weatherization Services

As members of a sovereign Tribal nation, Tribal members are entitled to those services afforded to all members of that Tribal nation. In Arizona, weatherization services are provided through Tribal agencies such as the Navajo Nation and the Inter-Tribal Council of Arizona who contract directly with the U.S. Department of Energy and the utility providers. Agencies should consult with those two entities regarding work on tribal lands.

Chapter 2 – Eligibility

Every dwelling weatherized must meet both the client and building eligibility requirements.

Arizona definition of low-income:

Household Income is at or below 200% of the federal poverty level determined in accordance with criteria established by the Office of the Secretary, U.S. Department of Health and Human Services.

2.1 Approach to determine client eligibility

A household shall meet specific financial and non-financial eligibility requirements before weatherization services can be provided. The sub-grantees are to follow the state income qualifying guidelines found in the Low-Income Home Energy Assistance Program (LIHEAP) Policy Manual available from the Arizona Department of Economic Security (DES) website at: <https://des.az.gov/services/aging-and-adult/community-services/energy-assistance>.

Sub-grantees should also reference WPN 16-3 in WAPTAC

Each client file must contain an application from the client that contains the required demographics and income for the entire family living in the residence. The file must also contain evidence provided by the sub-grantee that the client is income eligible to receive WAP services. This evidence may include, but is not limited to, third party verification from the source of income of the family or source documentation for each income source listed on the application. These documents must be retained in hard copy for each client.

Please note: currently Southwest Gas (SWG) income limits are 150% of federal poverty limits and LIHEAP is 60% of state median income.

2.1.1 Qualified Aliens Receiving Weatherization Benefits

Sub-grantees are directed and encouraged to review guidance provided by Health and Human Services (HHS) under LIHEAP. This guidance can be found by going to <http://www.aspe.hhs.gov/hsp/immigration/restrictions-sum.shtml#sec1>.

HHS Information Memorandum LIHEAP-IM-25 dated August 28, 1997, states that all qualified aliens, regardless of when they entered the United States, continue to be eligible to receive assistance and services under the Low-Income Home Energy Assistance Program (LIHEAP) if they meet other program requirements.

To eliminate any possible contradiction of eligibility for Weatherization services at the state and local level for qualified aliens, the definition adopted by HHS will also apply to the DOE WAP.

HHS issued Information Memorandum LIHEAP-IM-98-25 dated August 6, 1998, outlining procedures for LIHEAP and Weatherization grantees serving non-qualified aliens to implement new status verification requirements. The following is the link to the memorandum: <http://www.acf.hhs.gov/programs/ocs/resource/interpretation-of-federal-benefits-revised?page=all>

To ensure continuity between LIHEAP and WAP for the many sub-grantees operating both programs, the DOE WAP will follow the interpretation as adopted by HHS.

2.1.2 Period of Eligibility

Generally, the income eligibility of a client is good for six months. If work has begun (i.e. energy audit has been performed) in the first six months from eligibility determination, the client will remain income eligible for 12 months from the date of initial income eligibility and no re-certification is necessary. If work does not begin, the income eligibility of the household for weatherization will need to be re-established by re-certification if the documentation establishing income eligibility ages over 6 months.

2.1.3 Priority of Service and Wait List

Sub-grantees shall give priority to clients based on the list of priorities established in the Arizona State Plan which includes the following:

- Elderly
- Handicapped
- Families with children under the age of 5

The criteria used for determining applicant priority must be in writing and on file with the sub-grantee. An actual wait list to determine who is next to receive weatherization services must be developed with consideration given to the priority populations listed above.

2.2 Building Eligibility

Once a client has been deemed income qualified then residence eligibility can be determined. Eligible residences must be safe for the occupants; sub-grantees; crews; and/or contractors to work in without concern for their health and safety.

Sub-grantees should exercise caution in dealing with non-traditional type residential units such as shelters, and apartments over businesses, etc., to ensure they meet program regulations on whether the unit is eligible. Consideration on weatherizing these types of units should be coordinated with the Grantee.

The weatherization of non-stationary campers, trailers and RV's that have eligible applicant/s is not allowed.

Sub-grantees must document the eligibility of the residence to receive weatherization assistance through the following process:

1. Verify that the home's occupants are income qualified for WAP
2. Verify that the home has not been weatherized before by filling out the state's No Previous Weatherization Checklist (See Chapter 12. Forms) which includes examination of the following:
 - The state database
 - Previous weatherization client files
 - The sub-grantees weatherization program internal tracking system (i.e. database or spreadsheets)
 - Visual inspection of unit for evidence of previous weatherization measures
 - Any other means at the sub-grantee's disposal

The No Previous Weatherization Checklist is available from the ADOH website at: <https://housing.az.gov/documents-links/forms/weatherization>.

3. Perform a site inspection of the residence to make sure the condition of the home is safe to perform weatherization work

2.2.1 Temporary Shelters

A temporary shelter is any dwelling unit or units whose principal purpose is to house, on a short-term basis, individuals who may or may not be related to one another. Examples of temporary shelters are transitional housing for homeless persons and domestic abuse shelters. Nursing homes, prisons, or similar institutional care facilities are not eligible temporary shelters.

Sub-grantee may weatherize temporary shelters without an income eligibility test or entry of an application ADOH WAP. However, only properties owned by non-profit entities or units of government and their subsidiaries, such as housing authorities, are eligible. An application should be taken from the owners of the building and permission should be obtained to perform weatherization on the unit. This should be documented in a file along with the other required documents, such as Health and Safety (H&S) client education requirements, determination of adverse consequences resulting from a Historic Preservation review if the building age meets the criteria, the measures and scope of work including H&S measures, the audit results including all ranked measures, any LSW/RRP requirements and a QCI inspection at the end to ensure all measures were installed and meet the SWS requirements of the approved Arizona Weatherization Field Guide.

For the purpose of determining how many dwelling units exist in a shelter, a sub-grantee shall count each 800 square feet of the shelter living area as a dwelling unit or count each floor of the shelter that has living area as a dwelling unit.

2.2.2 Applications for Multi-Family Buildings in Weatherization

A Multi-Family building is defined as a building which contains 5 or more residential units. Sub-grantees that identify multi-family buildings for weatherization shall discuss the project with the ADOH WAP before taking application. Basic information about the property and anticipated scope of work shall be provided to the ADOH WAP. Next, the sub-grantee shall take applications from any tenants in the building who have not yet applied for energy assistance/weatherization.

If the building does not have the minimum number of eligible dwelling units (Per DOE eligibility criteria requirements) needed to proceed with weatherization after the sub-grantee has completed application efforts, ADOH WAP and the sub-grantee shall discuss what further steps may be necessary to qualify additional households, or decide to delay weatherization of the building.

When the Sub-grantee uses **any** DOE funds:

- 1) 66 percent or more (50 percent or more for duplexes and 4 unit buildings) of the dwelling units in the building are occupied by eligible applicants; or

- 2) 66 percent or more of the dwelling units will be occupied by eligible households within 180 days under a federal, state, or local government program for rehabilitating the building or making similar improvements to the building. Note: Contact ADOH WAP to request permission to utilize this qualification process.

If the multi-unit residential building is not eligible for weatherization as described above, service to the entire building shall be denied.

2.2.3 Owner Occupied Multi-Unit Buildings – Condominiums

If each dwelling unit in a multi-unit building is separately owned and occupied by the owner, then each eligible dwelling unit shall be created as a separate single family building in ADOH WAP database. Work on common area measures is allowed only when all dwelling units in such a building are occupied by eligible households. Sub-grantees must consult with the ADOH WAP Energy Specialist regarding owner occupied condominium units to ensure the proper audit tools to be used and the required savings to investment ratios will be met.

2.2.4 Rental Units Containing Commercial Property

Sub-grantees must obtain prior authorization from the ADOH WAP program to address residences that are adjoined to commercial space. Per DOE, any residential structure which is adjoined to commercial property and is weatherized will be subject to questioned costs and potential disallowance. If any part of the residence is weatherized and is adjacent to a commercial space which may receive partial benefits as a result of the measure (e.g. insulation) the benefit is not residential in nature and violates the spirit of 10CFR440.

2.3 Re-weatherization

The Recovery Act amended the DOE Weatherization dates and now allows grantees and sub-grantees to re-weatherize homes previously weatherized prior to September 30, 1994. This provision gives grantees the flexibility to re-visit those homes that may not have received the full complement of weatherization services, including the use of an advanced energy audit or addressing health and safety concerns. DOE reminds grantees and sub-grantees that in selecting previously weatherized homes to re-visit, there remains more than 34 million federally eligible households that have received no weatherization services.

Under Energy Crisis and Disaster Relief of the Arizona State Plan, Disaster Planning and Relief is addressed and references DOE-issued Weatherization Program Notice (WPN) 12-7, which allows additional work to be done on homes due to natural disasters. Please refer to these sections and follow appropriate procedures if the sub-grantee wishes to serve homes located in disaster areas. Sub-grantees must provide prior notice to ADOH WAP for any unit to be addressed under this situation.

If the occupancy of the dwelling unit changes to another low-income family, the dwelling unit does not become eligible for additional weatherization. A dwelling is not eligible for weatherization, even if occupied by an eligible household, if a federal, state or local program has designated the dwelling for acquisition or clearance within 12 months from the date weatherization would be scheduled to be completed.

2.4 Use of WAP Funds for Add-on/Call-back Work

Sub-grantees may not charge ADOH WAP for additional work on homes that have already been reported as completed, weatherized units.

Note: Under no circumstances can any of these activities be covered under the re-weatherization provisions of 10 CFR §440.18(e) (2) (iii).

2.5 Rental Requirements

Per the Arizona Weatherization State Plan, all sub-grantees are required to weatherize single family, manufactured and multi-family rental housing.

The State of Arizona has established a policy to ensure that sub-grantees weatherizing rental units determine financial eligibility and obtain written permission of the owner or his agent. In multiple unit buildings the state ensures 66 percent (50 percent for duplexes or four unit buildings) of the building to be eligible units. The State's policy also ensures that the benefits of weatherization accrue primarily to the tenant, including units where the tenants pay for their energy through their rent. ADOH WAP recognizes that it may weatherize shelters under conditions set forth in CFR 440.22.

State policy regarding rental units specifies that for a reasonable period of time, not less than twelve months, the tenant will not be subjected to rent increases unless those increases can be demonstrated to be related matter and conditions other than the weatherization measures performed. Sub-grantee must obtain the Landlord and Tenant's signature on the Landlord/Tenant Agreement (See Chapter 12. Forms) and State policy also provides an avenue for complaint in such matters. Tenants and landlords are informed in writing that no undue or excessive enhancement shall be provided to the rental unit or building by weatherization assistance, this is to include the installation of heating and air conditioning units, and appliances, as this is required to be provided by the landlord pursuant to A.R.S 33-1324: <http://www.Arizonaleg.state.Arizona.us/ars/33/01324.htm> The Landlord/Tenant Agreement is also available on the ADOH website at: <https://housing.az.gov/documents-links/forms/weatherization>. A copy of the Landlord/Tenant Agreement should be maintained in the Client File.

If a multi-unit building is under an assisted or public housing program and is identified by the U.S. Department of Housing and Urban Development (HUD), and included on a list published by DOE, that building will meet certain income eligibility requirements, and will also satisfy one or both of the procedural requirements to protect against rent increases and undue or excessive enhancement of the weatherized building under the Weatherization Assistance Program without the need for further evaluation or verification as stated in WPN 10-15- <http://www.waptac.org/Program-Guidance/2010002D2006-Program-Guidance-Documents.aspx>.

Note: Grantees and sub-grantees are reminded that the supporting documentation for applicants applying for weatherization that may be on a waiting list or for other reasons must

have their eligibility documentation updated every 6 months from the date of the initial intake date.

Certain buildings containing rental units may comply with the income eligibility requirements when 50 percent of those dwelling units are eligible dwelling units rather than the established 66 percent identified in the regulation. (10 CFR§ 440.22(b) (2)). The buildings that are subject to the 50 percent threshold are duplexes, four-unit buildings, and certain eligible types of large multi-family buildings. In the final rule published on December 8, 2000, DOE provided guidance on what types of large multi-family buildings may be subject to the 50 percent threshold. (65 Fed. Reg. 77210, Dec. 8, 2000.)

DOE indicated that “certain eligible types of large multi-family buildings” are those buildings for which an investment of DOE funds would result in a significant energy-efficiency improvement because of the upgrades to equipment, energy systems, common space, or the building shell. (Id. at 77215) By providing this flexibility, sub-grantees are better able to select the most cost-effective investments and enhance their partnership efforts in attracting leveraged funds and/or landlord contributions. This flexibility does not apply to any other type of multifamily unit. Questions on whether a building meets the criteria should be directed to the DOE Project Officer.

The definition of “significant energy improvement” is based on specific criteria for the building in question. This must be assessed using existing conditions to determine the threshold to achieve significant energy improvements. Grantees should consult with their DOE Project Officer if there are questions related to this threshold. Additional guidance is being considered by DOE to provide Grantees criteria for what constitutes “significant energy improvement.”

As a reminder, when addressing multi-family units with DOE funds, multiply the total number of income-eligible units in the multi-family building by the current allowable per dwelling unit average cost to determine the amount of DOE funding available for weatherizing the building. While the amount of funding available for weatherizing a building is limited by the number of eligible units, the weatherization work can result in improvements to all units in the building, even those that are not eligible units. All units should be reported to DOE.

Note: Grantee and sub-grantee agencies should exercise caution when utilizing flexibility in this area. The key is the investment of DOE funds coupled with leveraged resources which result in significant energy savings. Absent this investment, lowering the eligibility to 50% may lead to disallowed costs. Sub-grantees who are uncertain on a given multi-family project should seek approval by the DOE Project Officer through their Grantee Weatherization Program Manager.

2.6 Deferrals

The decision to defer work in a residence is difficult, but necessary, in some cases. This does not mean that assistance will never be available, but that work must be postponed until the problems can be resolved and/or alternative sources of help are identified. Note that sub-grantees, including crews and contractors, are expected to pursue reasonable options on behalf of the client, including referrals, and to use good judgment in dealing with difficult situations.

Deferral conditions may include, but are not limited to:

1. Sub-grantee is unable to fully verify client income.
2. The client has known health conditions that prohibit the installation of insulation and other weatherization materials.
3. The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and the conditions cannot be resolved cost-effectively.
4. The house has sewage or other sanitary problems that would further endanger the client and weatherization installers if weatherization work were performed.
5. The house has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by local or state building officials or utilities.
6. Moisture problems are so severe they cannot be resolved under existing health and safety measures and with minor repairs.
7. Dangerous conditions exist due to high carbon monoxide levels in combustion appliances, and cannot be resolved under existing health and safety measures.
8. The client, other household occupants or third party representatives are uncooperative, abusive, or threatening to the crew, subcontractors, auditors, inspectors, or others who must work on or visit the house.
9. The extent and condition of lead-based paint in the house would potentially create further health and safety hazards.
10. In the judgment of the energy auditor, any condition exists which may endanger the health and/or safety of the work crew or subcontractor, the work should not proceed until the condition is corrected.

When sub-grantees have determined a home will be deferred the sub-grantee must:

1. Inform the client in writing as to why the dwelling cannot be weatherized. If there are conditions that the client must correct before service is provided, those conditions must also be stated in writing.
2. Refer the client to any alternate program such as home rehab, if one is available in the area.
3. Clearly indicate in the client file why the dwelling was given "deferral" status.
4. Document all referrals to other programs or services in the client file.
5. Provide the client any information prescribed in the Health and Safety section.

Upon denial of weatherization program services, the applicant shall be given a copy of the Sub-grantee's grievance procedure as established in the sub-grantee's adopted WPGs or program Policies and Procedures.

Each sub-grantee is to have a grievance process in place if any client is denied services, rent is increased due to the improvements on a weatherized rental property within the first 12 months after completion of the weatherization or other concerns or issues about WAP. The process must be given to the client in writing, at the time of intake. This process will be verified during fiscal monitoring of the sub-grantees.

2.7 Denial of Weatherization Services

It is the policy of the ADOH WAP to provide comprehensive weatherization services to eligible residences occupied by eligible low-income persons.

Weatherization services shall be denied when any of the following are true:

- The client is not income eligible
- The residence is not eligible.
- There are no energy conservation measures to complete.

Upon denial of weatherization program services, the client shall be given a copy of the Sub-grantee's grievance procedure as established in the sub-grantee's adopted Weatherization Program Guidelines (WPGs).

Units that are denied while in progress cannot be reported to ADOH WAP as a completed DOE unit for reimbursement of costs. The unit must be entered into the State Weatherization database as a "walk-away" and the sub-grantee is responsible for completion of the unit with an alternative funding source. The reason for walk-away must be indicated in the comments section of the database.

Chapter 3 – Procurement and Contract Management

3.1 Procurement Requirements

At a minimum, Sub-grantee shall comply with the procurement processes and requirements of the ADOH Procurement and Contracting Handbook. The handbook requirements include a combination of the Code of Federal Regulations at 2 CFR 200, WPNs, all other applicable federal requirements and Arizona State procurement procedures. Units of local government may follow their own procurement procedures as long as those procedures are not in violation of 2 CFR 200. The ADOH Procurement and Contracting Handbook is available at the ADOH website at: <https://housing.az.gov/documents-links/handbooks>.

3.2 Contract Management and Contractor Performance Management

A system for contract administration shall be maintained to ensure contractor conformance with the terms, conditions, and specifications of the contract and to ensure adequate and timely follow up of all purchases. Sub-grantees shall evaluate contractor performance and document, as appropriate, whether contractors have met the terms, conditions and specifications of the contract. Additional information can be found in 2 CFR 200.330 Sub-recipient and Contractor determinations.

- a) Contractors/vendors shall be provided with the **right to cure** except if the contractor/vendor:
- Breaches or defaults an obligation under their Contract as follows:
 - Fails to perform any material obligation required under the Contract such as
 - Files a petition in bankruptcy, becomes insolvent, or otherwise takes action to dissolve as a legal entity;
 - Allows any final judgment not to be satisfied or a lien not to be disputed after a legally-imposed, 30-day notice; or
 - Makes an assignment for the benefit of creditors;
 - Incurs a delinquent ADOH WAP tax liability;
 - Fails to submit a nondiscrimination or affirmative action plan as required;
 - Becomes a federally debarred Contractor;
 - Is excluded from federal procurement and non-procurement contracts;
 - Fails to maintain and keep in force all required insurance, permits, and licenses as provided in the Contract;
 - Fails to maintain the confidentiality of the State's information that is considered to be Confidential Information, proprietary, or containing Personally Identifiable Information; or
 - Contractor performance threatens the health or safety of a State or Sub-grantee employee, or Sub-grantee's customer.
- b) A Sub-grantee shall document their contractor performance management process as part of the requirement for a documented Quality Control System (see Chapter 1.2.5).

3.3 Warranty Requirements

A Sub-grantee shall warranty workmanship and products for at least one year, in addition to the manufacturer's standard warranties on all items. This one-year warranty shall commence on the date of the final inspection. Subcontracted work procured through a bid

process requires a one-year warranty which commences on the date of satisfactory completion of work. This warranty period is separate from the one-year warranty required by sub-grantee on all work, commencing on the date of final inspection. To avoid excess costs associated with replacing failed light bulbs, light bulbs that fail within the warranty period shall be exchanged in a cost-effective manner, such as having customers bring failed bulbs into the Sub-grantee office for exchange. Client will sign off on receipt of all warranties on the Weatherization Program Progress Form (See Chapter 12. Forms) available from the ADOH website at: <https://housing.az.gov/general-public/weatherization-assistance-program>.

3.4 Sub-grantee Responsibilities for Property Improvements through Sub-Contractors

A Sub-grantee contracting under weatherization for any improvement for a property in which the address for the improvement is identified to the contractor shall inform the contractor of the following:

- 1) The only recourse for payment is the weatherization agency; and by agreeing to perform weatherization work the contractor agrees to the following terms, and agrees to pass along the following requirements to their suppliers and any subcontractors:
 - a) The contractor agrees they will not, under any circumstances, seek payment from the homeowner or occupant of the premise(s) improved.
 - b) The contractor shall not file, suffer, or permit any lien or other encumbrance of record, as a claim against any site of a weatherization project in recognition that the only recourse for payment is from the weatherization agency.
 - c) A signed lien waiver for each individual work location/property is required (when the property to receive the improvement is identified) from all parties providing any labor and materials, including the contractor. The contractor agrees to inform any party supplying labor and/or material to an identified property, prior to engaging such parties in providing weatherization services, that a lien waiver is required in order for the contractor to invoice the weatherization agency for the job.
 - d) Any lien notice action by a contractor, and/or any of its subcontractors and/or material suppliers, against a property owner shall be considered non-performance by the terms and conditions of their contract, and such a contractor shall be removed from the statewide weatherization agency bidder's list for a period of 2-5 years, as shall any subcontractors and/or suppliers that take such action.
- 2) By engaging in a contract with the weatherization agency, the contractor agrees that if they do not pay for materials and labor completed through their weatherization contract, the weatherization agency has the option to use payments owed to the contractor to pay such subcontractors and suppliers.

3.5 Vendor Payments

Sub-grantees shall make timely payments to vendors as follows:

- 1) The sub-grantee shall make every effort to pay properly submitted vendor invoices within sixty (60) days of receipt provided that goods and/or services have been delivered, installed (if required), and accepted as specified.
- 2) A good faith dispute or an improper invoice creates an exception to prompt payment only when the vendor is notified in writing of the reason for the dispute or improper invoice.

After a dispute is settled, or improper invoice is resolved, the agency shall have 30 days to pay the invoice.

Chapter 4 – Energy Audits

4.1 Initial Audit

ADOH WAP uses Residential Energy Modeling (REM) for single family, multi-family and mobile homes. Further details on the use of the energy audits, as well as installation guidelines are provided in the Arizona Weatherization Field Guide (Field Guide) and the SWS. In Addition, ADOH WAP has provided an optional Residential Diagnostic Evaluation Form (See Chapter 12. Forms) that sub-grantees may use from the initial audit through to the final audit. The form is also available from the ADOH website at: <https://housing.az.gov/documents-links/forms/weatherization>.

Sub-grantee shall maintain the final version of each completed energy audit in the client file and shall be readily available to the ADOH WAP, DOE or other monitoring entity upon review of the file.

4.1.1 Audit for Multi Family of 5 Units or more per Building

If a multi-unit building is under an assisted or public housing program and is identified by the U.S. Department of Housing and Urban Development (HUD), and included on a list published by DOE, that building will meet certain income eligibility requirements, and will also satisfy one or both of the procedural requirements to protect against rent increases and undue or excessive enhancement of the weatherized building, as indicated by the list, under the Weatherization Assistance Program without the need for further evaluation or verification as stated in WPN 10-15- <http://www.waptac.org/Program-Guidance/2010002D2006-Program-Guidance-Documents.aspx>.

Multifamily: As defined by DOE, multifamily buildings are 5 or more units in a single building.

As multifamily units represent less than 20 percent of the state's dwelling type weatherized, we are not required to and currently do not have a multifamily audit approved by DOE. The state will treat multifamily units as any other dwelling seeking weatherization. If the units meet both the client eligibility and building eligibility, weatherization is permitted. The sub-grantee must follow all applicable state laws when dealing with rental properties and the requirements put forth on the property owners.

Because the state does not have an approved multifamily audit process, all multifamily projects MUST be submitted to DOE through the Grantee's Weatherization Manager and approved prior to any work being started. The following information is required in order for the project to be submitted to Grantee and sent to the DOE Project Officer for approval.

- Site plan of complex
- Pictures of complex
- Results of audit completed on the complex
- Scope of Work
- Budget consisting of:
 - Measure to be performed using DOE funds and cost
 - Measure to be performed using leverage funds and cost

4.2 Diagnostic Tests

The following diagnostic tests shall be performed on every building and mobile home unless the site conditions limit the effectiveness of the test:

- Worst case depressurization and combustion safety (Combustion Appliance Zone (CAZ))
- Blower door air leakage tests
- American Society of Heating Refrigeration and Air Conditioning Engineers (ASHRAE) Ventilation calculations

Refer to the ADOH WAP Pressure Guide.

If site conditions limit the effectiveness of the test, the unit becomes a deferral.

Worst Case Depressurization (WCD aka CAZ) Test: This depressurization test procedure consists of a series of steps to measure the worst possible depressurization in a Combustion Appliance Zone (CAZ). An individual Worst Case Depressurization test shall be completed for each separate CAZ in a dwelling that contains a combustion appliance and/or attached garage. Worst Case Depressurization testing must be completed before and after weatherization is complete.

Complete the following tests for each appliance as follows: spillage and CO (carbon monoxide) testing. WCD testing on all natural draft and fan assisted Category 1 gas appliances and oil fired appliances.

These test results are entered into the AZWAP.org/admin database. All natural drafting and fan assisted appliances remaining at the close of the weatherization work are to be verified as operating safely and drafting per spillage requirements.

Depressurization Tightness Limit (DTL): This calculation provides the recommended minimum building tightness (CFM₅₀) and its impact on the safety of combustion appliances. Dwellings with wood burning appliances or other appliances that cannot be tested for Worst Case Draft shall not be below the final DTL maximum CFM₅₀ building limit, unless make-up air is existing or is installed for the proper operation of the appliance.

4.2.1 Required Equipment

The ADOH WAP requires that a Sub-grantee and/or their contractors use professional weatherization and diagnostic equipment. Direct access to computers is required to model jobs with electronic energy audits and to document diagnostic field tests. The following list of required Air Sealing and Combustion Analysis equipment represents the required equipment. Other equipment may be necessary to deliver weatherization services effectively and efficiently.

4.2.2 Required Equipment for Instrumented Air Sealing

- 1) Fully instrumented and calibrated blower door capable of measuring CFM50 (Cubic feet per minute at 50 Pascals).
- 2) DG-700 handheld Digital Manometer, or equivalent.
- 3) Smoke generating equipment.

4.3 REM for DOE and SWG Projects

A site specific computer energy model (REM) is required if:

- There are potential cost-effective energy upgrades to the house that are not listed on the priority list
- The home being weatherized does not meet the assumptions square footage + or – 50 percent
- There are not sufficient funds to complete all the measures; including energy related health and safety measures and other energy related repairs
- Energy related incidental repairs of more than \$100 are included with the energy upgrades
- Fuel swapping as a cost effective measure

It is expected that if a site specific computer energy model is conducted, all measures listed for the respective climate zone and building type are modeled with any additional measures and that the savings-to-investment (SIR) report is created ranking all measures by SIR from greatest return to lowest.

REM Designs for DOE and SWG projects are to be submitted to ADOH WAP for pre-approval with the Field Waiver Form (See Chapter 12. Forms) available from the ADOH website at: <https://housing.az.gov/documents-links/forms/weatherization>. As ADOH WAP updates to the newest REM versions, communication will be sent to the sub-grantees to flow down update requirements. Allow a maximum of 7 days for ADOH to approve or deny REM requests.

4.4 Work Performed

Work performed must be in compliance with NREL SWS, ADOH WAP Guidelines, Arizona Weatherization Field Guide and applicable local codes. All materials used for weatherization must be per 10 CFR 440 Appendix A. See: http://www.ecfr.gov/cgi-bin/text-idx?SID=69e495e08a185f3be13a9a5a4d89712f&mc=true&node=ap10.3.440_130.a&rqn=div9

4.4.1 Health and Safety Measures

A Sub-grantee shall identify Health and Safety hazards during the energy audit, notify the property owner and occupants of these hazards, and, depending on their severity, treat the identified hazards prior to or during weatherization activities. Elimination of Health and Safety hazards, using weatherization program funds, shall be done in conjunction with the installation of energy conservation measures. Please refer to WPN 11-6 for further information.

4.4.2 Mechanical Ventilation in 1-4 Unit Buildings and Mobile Homes

Install properly sized mechanical ventilation when needed to ensure indoor air quality. Ventilation calculations are based on ASHRAE 62.2-13.

Customers may refuse the installation of the ventilation in their home. Any customer refusing the installation of ventilation shall sign the Refusal of Services, Indemnification and Waiver of Claims Form available on the ADOH WAP website at: <https://housing.az.gov/documents-links/forms/weatherization>. A copy of the waiver shall be given to the customer and the original copy retained in the client file. Client refusal of ventilation installation is acceptable grounds for deferral.

4.4.3 Mechanical Ventilation in 5+ Unit Buildings

Install properly sized mechanical ventilation when needed to ensure indoor air quality. Unless superseded by local codes, use 62.2-13 to calculate the requirements for continuous ventilation beyond the local exhaust ventilation requirements. See Appendix D for details.

ASHRAE 62.2 “Ventilation and Acceptable Indoor Air Quality in Low-Rise Residential Buildings” covers low-rise residential structures up to 3 stories.

4.4.4 Air Sealing

Air sealing work shall be guided by a blower door. Exceptions to that requirement may include the use of advanced pressure diagnostics. Major air sealing involves finding and sealing large openings that exchange outdoor air with the conditioned space. These large openings may be large visible holes in the structure, key junctures where building components come together or bypass; which are conduits for air travel within the building cavities. Major air sealing is generally completed prior to other shell measure activities.

All air sealing in 1-4 unit buildings and mobile homes must be documented in the ADOH WAP database. The documentation must detail the measures performed and the locations.

4.5 Final Inspection

A weatherized unit is a dwelling unit on which an approved energy audit or priority list has been applied and weatherization work has been completed. The use of weatherization funds on a unit may include, but are not limited to: auditing, testing, measure installation, and inspections. Final inspections are to be completed in addition and prior to the Quality Control Inspection per Section 4.6 of this handbook.

Note: Weatherization crews, including supervisory persons that also work to install weatherization measures on a unit, should not perform the final inspection of the unit. DOE recommends the final inspection be performed by a person(s) not directly associated with actual work that was performed on the unit. In the event that this provision cannot be met due to staffing levels or budget constraints, ADOH WAP must be notified annually in writing why this provision cannot be met and the sub-grantee will be subjected to a higher percentage of site inspections by ADOH WAP.

A final inspection by sub-grantee:

- Shall be performed after all work is completed and final test out has been performed
- Shall be performed on all jobs before it can be counted as a completed job
- Must be completed by designated inspector who did not conduct the initial energy audit and was not directly involved with the weatherization measures/work completed on the job. Special consideration will be taken for sub-grantees with limited staff or

long distance travel. Sub-grantees who would like to request a waiver of this requirement must submit a letter in writing to the GFR Weatherization Manager stating the circumstances why this requirement cannot be achieved and how they plan to address conducting the final inspection. This letter must be submitted annually at the time of contract signing. Sub-grantees that request the waiver and are approved, will be subject to a higher field audit percentage by the state

- Shall verify that all cost effective opportunities were completed
- Shall verify all invoices for the job are invoiced properly, nothing billed incorrect, or billed for services/work not performed
- Shall verify that the reported house characteristics are correct
- Shall include a review of the diagnostic result, both pressure and combustion safety, to verify that all applicable tests were completed
- Shall complete diagnostics on a minimum of ten percent of completed homes to compare with reported results
- Shall include a review of all measures listed on the Work Performed Report to verify installation has been completed in a safe and effective manner following program requirements
- Shall also include an analysis of the energy audit to ensure that it was completed properly, that all areas of the audit have been addressed, and that the scope of work reflects a comprehensive energy audit

4.6 Quality Control Inspection (QCI) Required for DOE Assisted Units

Once a sub-grantee has completed their final inspections, the job must be turned over to a qualified Quality Control Inspector (QCI) for a Quality Control Inspection. A qualified QCI will be someone who has been certified by the Building Performance Institute (BPI) to perform Quality Control Inspections for weatherization. After the QCI has reviewed and passed the job, it may be reported as a completed home to Grantee and DOE.

A Quality Control Inspection:

- Shall be completed after all work by the sub-grantee is completed and their final inspection has been completed
- Shall be performed on all jobs before it can be counted as a completed job
- Shall include an analysis of the energy audit to ensure that it was completed correctly, that all areas of the audit have been addressed, and the scope of work reflects a comprehensive energy audit
- Shall verify reported diagnostic numbers are correct
- Shall verify that all cost effective opportunities were completed
- Shall verify all invoices for the job are invoiced properly, nothing billed incorrectly, or billed for services/work not performed
- Shall include a review of the diagnostic result, both pressure and combustion safety, to verify that all applicable tests were completed
- Shall include a review of all measures listed on the Work Performed Report to verify installation has been completed in a safe and effective manner, following program requirements
- Shall fill out the ADOH WAP QCI Checklist (See Chapter 12. Forms), sign it and provide a copy for the file, stating the unit is complete and ready to be reported to ADOH WAP. The Checklist is available from the ADOH website at: <https://housing.az.gov/general-public/weatherization-assistance-program>

Lack of Compliance with QCI

If a sub-grantee is found to be in violation of the requirements of the Quality Control Inspection process, they will be formally notified in writing by ADOH WAP. The write-up will:

1. List where the sub-grantee is failing at following the process.
2. List where the sub-grantee can find the guidance needed to help address the concern, if other than at the state level.
3. Request the sub-grantee create a plan of action in writing on how they will fix the concerns and forward the plan to ADOH WAP within 30 days of receiving the non-compliance letter. The plan of action must include a timeframe for each corrective action.
4. Require that the corrective plan is followed and that the process is improved.
5. Require ADOH WAP to:
 - a. Reject jobs and hold funding to sub-grantees if there were jobs that did not receive a quality controlled inspection by the sub-grantee.
 - b. Increase the frequency and percentage of field audits of the sub-grantee until such time that ADOH WAP feels that the problems/concerns have been addressed to their satisfaction.
 - c. At the discretion of ADOH WAP, place the sub-grantee on a 90-day probation period upon discovery of repeated non-compliance.

If ADOH WAP does not receive the plan of action within the required time frame or the deficiency is not corrected, the sub-grantee will no longer be allowed to facilitate the weatherization program for their service area.

However, if the sub-grantee approaches ADOH WAP for technical assistance, ADOH WAP will provide assistance to the sub-grantee so they may address the concerns. This request for technical assistance must be made by the sub-grantee in a reasonable time frame during the allowable follow-up period. (Refer to #3, above)

Chapter 5 – Health and Safety Requirements

5.1 Inspection

A Health and Safety Inspection is required on each audited dwelling. Both the occupants and the building owner shall be informed of Health and Safety conditions. The Health and Safety Inspection includes two parts:

Part 1: Client's Self Audit

Clients who will receive weatherization services must complete a self-evaluation of health and safety concerns in the home and complete the Client Health and Safety Evaluation Form. This form must be included in the Client File and a copy provided to the client. The Client Health and Safety Evaluation Form is available from the ADOH WAP website at: <https://housing.az.gov/general-public/weatherization-assistance-program>.

Part 2: Auditor

The agency representative (auditor) who inspects the home for health and safety concerns will complete the Auditor Health and Safety Evaluation Form. This form must be discussed with and signed by the client and included in the Client File and a copy provided to the client. The Auditor Health and Safety Evaluation Form is available from the ADOH WAP website at <https://housing.az.gov/general-public/weatherization-assistance-program>.

The Client Health and Safety Evaluation Forms include an indemnification and hold harmless statement. Sub-grantees must submit the Health and Safety Waiver Form (See Chapter 12. Forms) for pre-approval of any DOE or SWG assisted jobs with health and safety repairs in excess of \$2,000. The form is available from the ADOH WAP website at: <https://housing.az.gov/general-public/weatherization-assistance-program>.

If conditions noted on the Evaluation Form are severe, it may be necessary to defer weatherization services. See Chapter 2.6 – Deferrals for more information.

5.2 Level of Concern

Potential or actual threats to Health and Safety vary by degree. Definite Health and Safety concerns, which are not an immediate threat to the occupants, may be described as non-imminent conditions. Health and Safety concerns that are an immediate threat to the occupants may be described as an imminent condition.

Non-imminent conditions may be addressed in part or full at the discretion of the local Sub-grantee. At a minimum, residents shall be informed of the problem and shall be provided with recommendations or information on how to address the problem. Examples of non-imminent conditions may include minor electrical problems, maintenance problems, or a “potential” for indoor air problems.

Imminent conditions shall either be addressed by the building owner prior to the weatherization work or by the Sub-grantee as a part of the weatherization work. Elimination of Health and Safety hazards using weatherization program funds shall be done in conjunction with the installation of energy conservation measures. Some “imminent conditions” will be hazards that may be easily tied to weatherization measures such as

heating system, chimney or water heater failure, carbon monoxide leaks or other treatable indoor air quality problems.

Other imminent conditions will exceed the scope of the weatherization program. Major structural failure, lead paint contamination, major electrical overload, or faulty sewer systems are examples of conditions that exceed the scope of the weatherization program. Effort must be made to refer the dwelling owners to other sources, such as Housing and Urban Development (HUD) funding, which may help address the hazards. Weatherization services shall be coordinated with other funding sources, where possible. If the Health and Safety hazards cannot be eliminated the building shall be deferred until the hazards can be eliminated.

5.3 Worker Safety

Worker safety is the responsibility of the Sub-grantee and/or contractor. In contracting with Sub-grantee, ADOH WAP assumes Sub-grantee compliance with all applicable federal, state, and local safety and health regulations. The Sub-grantee is responsible for enforcing all work rules to ensure a safe working environment for the workers and contractors.

Safety Data Sheets (SDS) shall be available to workers in printed or digital format, and the information contained in them shall be readily accessible from a work site.

Weatherization crew members are required to take the OSHA 10-hour training. Crew leaders are required to take the OSHA 30hour training. This requirement does not apply to subcontractors. Subcontractors are responsible for their own safety plans.

The Sub-grantee is responsible for ensuring workers and contractors are properly trained and certified when certification is required (e.g., Lead Renovator). Respirator training and fit testing are also required when necessary for agency personnel and contractors.

5.4 Deferred Weatherization Services

Refer to Chapter 2 section 2.6 – Deferrals for policy instructions.

5.5 Occupant Pre-Existing Health Conditions

Sub-grantee shall determine whether there are existing occupant health issues that may be adversely affected by weatherization materials or measures. If a client is sensitive to certain weatherization materials or conditions, the related measure may be waived without penalty to the client. Whenever possible, the Sub-grantee shall devise ways of installing materials to reduce exposure of the occupants so that weatherization work may be performed safely. Possible approaches may include temporary containment areas, HEPA filtered equipment, temporary removal or relocation of individuals that may be adversely affected, or alternative installation methods or materials that meet the specifications of the Weatherization program.

5.6 Lead Safe Weatherization

Lead-based paint is a potential health hazard that crews may encounter in housing constructed before 1978. Sub-grantee shall conduct weatherization work in a manner that protects workers and customers from lead paint hazards. Sub-grantees shall follow EPA's

Lead; Renovation, Repair and Painting Program (RRP). In addition to RRP, Weatherization requires all weatherization crews working in pre-1978 housing to be trained in Lead Safe Weatherization (LSW) and be accompanied by an EPA Certified Renovator. Deferral is required when the extent and condition of lead-based paint in the house would potentially create further health and safety hazards. Information on Lead can be found in the ADOH WAP Health and Safety Plan.

Program funds may be used to minimize the potential hazard associated with disturbing painted surfaces through the course of installing energy conservation measures. Program funds may not otherwise be used for the abatement, stabilization, or control of lead-based paint hazards that may exist in a dwelling unit. Program funds shall not be used for routine clearance testing of dwellings after work is completed.

The following basic guidelines shall be taken into consideration:

- **LSW must be applied to all pre-1978 housing** unless there is existing evidence that the home has been certified as being lead-free or below the lead threshold limit (e.g., for paint containing lead below the regulated level, 1.0 mg/cm² or 0.5% by weight). One of the following methods must be used to determine the paint to be disturbed is not lead-based paint:
 - Written determination by certified lead inspector or risk assessor; **OR**
 - Proper use of EPA-recognized test kit provided tests are performed by a Certified Renovator; **OR**
 - A State-approved lead-based paint test protocol (e.g., XRF scans verifying absence of lead paint).
- **Mobile Homes.** Often, interiors of mobile homes were not painted but rather, paneling was applied to the surfaces. Therefore, pre-1978 mobile homes that were not painted by the manufacturer, occupant, landlord, or past owner of the unit before 1978, may be exempt from LSW. However, Sub-grantees must verify the areas receiving weatherization services have never been painted or were painted for the first time after 1978. If this is not verifiable, then LSW protocols must be followed. Painted exterior surfaces on pre-1978 units should not be drilled, scraped, sanded, or receive any other work that disturbs the paint.
- **Exempt from training and work practice requirements if owner signs written statement that all apply:**
 - No pregnant women reside there; and
 - Not a child-occupied facility (“occupied” includes being the child’s primary residence or a home that is visited regularly by the same child, under age 6, on at least two different days within any week (Sunday through Saturday period), provided that each day’s visit lasts at least 3 hours and the combined weekly visits last at least 6 hours, and the combined annual visits last at least 60 hours).
- **Exempt if Housing is for the elderly or persons with disabilities** (unless any one or more children under age 6 resides or is expected to reside in such housing for the elderly or persons with disabilities).
- **Any 0-bedroom dwelling is exempt.**

- **Exempt for Minor Repair or Maintenance Activities:** Activities that will disturb less than the following square feet of paint surfaces in 30 calendar days (counting all paint surface areas of a removed component):
 - 6 square feet per room for interior activities; or
 - 20 square feet for exterior activities.

But this exemption does **NOT** apply to the following:

- Window replacement.
- Demolition of painted surface areas.
- Using any of the following:
 - Open-flame burning or torching;
 - Machines to remove paint through high-speed operation without HEPA exhaust control; or
 - Operating a heat gun at temperatures at or above 1100 degrees Fahrenheit.
- **Exempt for Do-It-Yourself:** Work performed by owners themselves in their residence.

5.7 Dwelling Units Receiving HUD Funding

Sub-grantee shall determine if a dwelling unit referenced in an application for weatherization services is enrolled in a HUD funded program and if the HUD funded program requires meeting the standards of rule 24 CFR Part 35 (Subpart R) issued under sections 1012 and 1013 of Title X, the Residential Lead-Based Paint Hazard Act of 1992. Enrollment in a HUD funded program for these purposes shall be defined as a dwelling unit which has had any HUD funds invested in it within the prior twelve months from the date of application for weatherization services or will have HUD funds invested before the completion of the weatherization project. Dwelling units receiving HUD funds shall meet the standards established in HUD's Lead-Based Paint Poisoning Prevention in Certain Residential Structures rule (referenced above). Weatherization funds may *not* be used to meet the HUD standards. Energy conservation measures, which as a by-product meet some or all of the HUD standards, are permitted. If any part of the unit receives DOE funding, all LSW/RRP protocols required by the WAP program must be followed.

For a unit that does not meet DOE standards for lead, sub-grantee should use HUD funding to complete the unit.

5.8 Mold and Moisture

The Weatherization Assistance Program does not encompass mold remediation. DOE funds are not to be used to test, abate, remediate, purchase insurance, or alleviate existing mold conditions identified during the assessment, the work performance period or the quality control inspection. Where multiple funding sources are used, the performance of any of the aforementioned activities must be expensed to a non-DOE funding source. Most typically, weatherization services may need to be delayed or deferred until the mold issue is remediated and meets the requirements of WAP. Sub-grantees must use the Hazard Disclosure Form to notify the client upon the discovery of a mold condition and if corrected, what was specifically done to the home that is expected to alleviate the condition and/or that the work performed should not promote new mold growth. The completed form should be

reviewed with and signed by the Client and a copy retained in the Client File. The Hazard Disclosure Form is available from the ADOH WAP website at: <https://housing.az.gov/documents-links/forms/weatherization>.

Where existing mold could pose a health risk to both the inhabitants and the weatherization crew, DOE funds may be used to correct energy-related conditions and/or to assure the immediate health of workers and clients. Minor repairs can be addressed by weatherization workers if it is in connection with the correction of moisture and mold creating conditions that are allowed when necessary in order to weatherize the home and to ensure the long term stability and durability of the measures. Weatherization of a home, and air-sealing in particular, could potentially increase the risk of moisture and mold in a home, thereby causing structural damage and/or a health risk to the inhabitants. Extreme caution should take place when weatherization work is performed not to increase mold or moisture issues. Where severe Mold and Moisture issues cannot be addressed, deferral is required.

Arizona – The following protocols have been adopted to ensure that these risks are minimized during weatherization.

5.8.1 Moisture Assessment

All homes should be checked for previous or existing moisture problems. Mold in homes arises from conditions of excess moisture. During initial inspection, field coordinators are to assess the homes with special attention to the following signs: Evidence of condensation on windows and walls indicated by stains or mold; standing water, water stains, etc. Also, check to see if there are leaking supply or waste pipes; attic roof sheathing shows signs of mold or mildew.

Identification of existing or potential moisture problems shall be documented in the client file.

If existing moisture problems are found, no air sealing should be done unless the source of the moisture can be substantially reduced or effective mechanical ventilation can be added to cost effectively remove the moisture. In some cases, air sealing must be done in order to reduce the source of the moisture (i.e. sealing off crawlspaces from the house, or sealing attic leakage to eliminate condensation on the roof deck). Because air tightening may cause an increase in relative humidity, client education should include information about moisture problems and possible solutions. In the course of weatherization, any low-cost measures that help reduce the humidity levels in the house should be installed.

Examples of these activities are:

- Venting dryers
- Venting existing bath exhaust fans
- Venting existing kitchen exhaust fans

5.8.2 Repair or Elimination of Moisture Problems

Program funds may be used to minimize and/or eliminate mold causing conditions in conjunction with the installation of energy conservation measures. Identified mold areas that comprise in total more than 10 square feet must be deferred.

Repair of moisture problems that might result in health problems for the client, damage the structure over the short- or long-term, or diminish the effectiveness of the weatherization measures must be done before the weatherization job is completed. Moisture problems can be reduced or eliminated by controlling the source of the moisture.

This can involve:

- Venting dryers to the outside of the building;
- Providing positive drainage away from foundation, if only a small area needs to be addressed;
- Repairing small roof leaks and flashing issues
- Educating the client about the sources of moisture that they are able to control.
- Moisture problems can be reduced or eliminated by ventilating areas where excessive moisture is produced, such as bathrooms and kitchens. This should include installation of a high quality exhaust fan in the subject area and informing the client of the related moisture issues and the proper operation and use of the fan.

Major moisture problems that cannot be corrected within the scope of the program such as, but not limited to:

- An enclosed crawlspace or basement that has standing water for 24 hours due to inadequate ground or surface water drainage.
- Any building with no overhangs and no gutters, exhibiting signs of major moisture problems such as blistering paint and extensive mold/mildew on the inside of the house.
- Needing to regrade foundation perimeter to create opposite water flow away from the foundation

The EPA publication, "A Brief Guide to Mold, Moisture, and Your Home", is available in [HTML](#) and PDF formats in English and Spanish. This Guide provides information and guidance for homeowners and renters on how to clean up residential mold problems and how to prevent mold growth. The pamphlet may be obtained at: <http://www.epa.gov/mold/pdfs/moldguide.pdf>

5.9 Asbestos Containing Materials (ACM) Guidelines for Weatherization

Sub-grantee field staff and subcontractors whose work may lead to contact with known or suspected asbestos containing materials (ACM), including vermiculite insulation, shall be protected from potential asbestos exposure and minimize disturbance of the material. Weatherization operators shall provide employees with training and equipment to minimize worker and customer exposure to asbestos containing materials.

Asbestos anywhere on the interior of the dwelling that would need to be addressed either directly or incidentally during the weatherization process is not an allowable H&S cost. Testing by an AHERA professional for Asbestos is an allowable Health & Safety cost however Abatement of Asbestos is not. Policies have been in effect for asbestos presence and related work practices for many years. The approach is not to disturb, cut or drill said material and deter those measures that might do so. In instances where measures can be

installed without disturbing asbestos surfaces or materials, that is the best approach. In instances where a local authority such as Code Enforcement imposes specific guidelines or requirements, sub-grantee and contractor staff are to make themselves aware of those restrictions and comply with them.

If it is determined by the Initial Auditor/Inspector that weatherization work cannot be performed without creating a hazard, the project is to be deferred. The client is to be informed in writing of the potential hazard and the agency must not return to weatherize until the AHERA certified professional issues a clearance statement. A copy of this statement/report must be kept in the client file.

Prior to drilling or cutting an exterior wall the subsurface must be inspected for asbestos.

When vermiculite is present, unless testing determines otherwise, the unit is to be deferred. Where blower door tests are performed, it is a best practice to perform pressurization instead of depressurization. Encapsulation by an appropriately trained professional is allowed. However asbestos encapsulation and testing cost are not reimbursable by the AZ WAP. Removal is not allowed.

With regard to pipes, furnaces and other small covered surfaces, assume asbestos is present in the covering materials. Encapsulation is allowed by an AHERA asbestos control professional and should be conducted prior to blower door testing.

Clients must be informed that suspected asbestos is present and how precautions will be taken. Clients will be instructed not to disturb suspected asbestos containing material. Clients must be provided information and explanation on asbestos safety information and steps to correct deferral conditions. The clients are required to sign a form, provided by the weatherizing agency, indicating they have been informed.

5.10 Use of Spray Polyurethane Foam

Spray Polyurethane Foam (SPF) is a frequently used weatherization product, and due to its chemical components and potential to cause adverse health effects, it is important for weatherization agencies and workers to understand and practice safe use of SPF.

Based on EPA and OSHA guidelines, agencies shall address the following issues related to the use of Spray Polyurethane Foam:

- 1) Hazard Communication – It is important that anyone who works with SPF is aware of the health risks associated with isocyanates, a chemical component of SPF, which include the potential for causing occupational asthma. Safe storage and handling procedures shall be used according to the manufacturer's instructions and Safety Data Sheets (SDS). Customers shall be notified when SPF is being used and of safety precautions to prevent exposure.
- 2) Limit Access to Area – The work area shall be contained to prevent customers or others not equipped with personal protective equipment from entering the area during or directly after product application, per the Safety Data Sheet. Warning signs shall be posted at entrances to the work area when occupants are present. The

signs shall be readable and shall be in the occupants' primary language, when practical.

- 3) Personal Protective Equipment – Anyone applying SPF or occupying an area where SPF is being applied shall use appropriate PPE. It is recommended that workers wear a supplied air respirator, gloves, and protective clothing to prevent breathing vapor or other direct exposure to SPF. Access to the work area shall be restricted to those wearing adequate PPE.
- 4) Ventilation – It is necessary to properly ventilate an area where SPF is being applied and to maintain ventilation until the SPF has fully cured. Use the SDS estimated curing time as a guide to how long ventilation should be continued. Various products may have variable curing times. Use air exhaust techniques to move air out of areas where SPF is applied.
- 5) Flammability – SPF can be flammable and shall not be used close to any open flame or operating combustion appliance that may increase the hazard of fire. See Chapter 11.4.3, Fire Safety Requirements for insulation.
- 6) Cleanup – The area where SPF is applied shall be cleaned thoroughly so that building occupants are not exposed to particulates or dust, especially when SPF has been trimmed or cut. Restrict access to the affected area until sufficient cleanup has been done.

5.11 Cooking Stoves

When necessary, DOE Weatherization funds can be used to repair a cooking stove or oven with high carbon monoxide emissions as a health and safety measure (HSM). If a gas leak is detected, repair of gas leaks is an allowable measure. LIHEAP allows the replacement of gas stoves only. SWG allows replacement of a stove as a HSM if the client is an eligible SWG customer.

5.12 High Efficiency Particulate Air (HEPA) Filter Shrouds on Power Tools

Power tools shall be HEPA shrouded whenever materials other than wood, metal, glass or fiberglass are being cut, drilled, or similarly disturbed *unless* the material has tested negative for asbestos and lead. This requirement is to protect the health and safety of workers and clients by controlling lead dust and suspect or confirmed asbestos containing material (ACM) fiber emission.

5.13 Comprehensive Health and Safety Planning

Sub-grantee shall follow the state Health and Safety Plan.

Chapter 6 – Equipment and Materials Management

6.1 Sub-grantee Information Technology (IT) Requirements

Sub-grantee is responsible for all costs of hardware, software, and internet access required for Weatherization Program delivery. A Sub-grantee shall have all IT hardware (equipment that allows a user to create, store, or transmit data), software (computer application/program or data) and service subscriptions, including but not limited to email hosting, and desktop support, necessary to meet general requirements for program management and financial reporting. Software and service subscriptions shall be kept up to date. Sub-grantees must have a policy for handling sensitive data as part of the WPG's or their weatherization program policies and procedures.

To safeguard the integrity and security of data maintained in ADOH WAP, Sub-grantee shall limit subcontracted energy auditors' access to the database.

6.1.1 ADOH WAP Database

Weatherization crews shall electronically document building test results and site conditions on the ADOH WAP Database available at www.azwap.org/admin. This database was developed for ADOH WAP and shall not be shared outside of the Weatherization Program.

6.2 Program Leasing of Sub-grantee Owned Property

The ADOH WAP will allow the leasing of Sub-grantee owned property (such as agency operations space or equipment) to the Weatherization Program if:

- Property was purchased with non-federal funds; and
- Total cost does not exceed the cost of comparable property or available alternatives.

The Leasing costs charge to the program cannot exceed the percentage of use of the equipment or lease of space for the weatherization program.

6.3 Vehicles Leased or Purchased from the Sub-grantee

The Sub-grantee may lease vehicles it owns to its weatherization operation. The ADOH WAP allows rental costs to the extent that the costs are reasonable according to:

- Rental costs of comparable vehicles, if any;
- Market conditions in the area; and
- Type, life expectancy, condition and value of the leased vehicle.

The ADOH WAP allows rental costs under sale and lease-back arrangements only up to the amount that would be allowed had the Sub-grantee continued to own the vehicle. Rental costs under leases that create a material equity in the leased property are allowable only up to the amount allowed had the Sub-grantee purchased the vehicle on the date the lease agreement was executed.

If the Sub-grantee leases a vehicle to the Weatherization Program, charges to the Weatherization Program may not exceed the actual costs to the Sub-grantee. Sub-grantee costs may include purchase price, interest, lease administration charges, maintenance, etc.

If the vehicle was purchased with other federal funds, the Sub-grantee may not charge lease costs of the vehicle to the Weatherization Program. It may be used by the Weatherization Program but not paid for a second time with federal funds. If the vehicle was purchased with non-federal and/or non-state funds, the Sub-grantee may lease it to the Weatherization Program.

To document the rationale for leased vehicles, keep the following information on file and available for inspection:

1) Vehicle Specifications

- Age of vehicle
- Mileage
- Vehicle Type
- Body style
- Size (1/2 ton, etc.)
- Engine size
- Description of vehicle's general condition
- Original purchase price
- Previous use of vehicle
- Termination conditions

2) An explanation of how the lease amount was computed, the methodology used and the amount of lease termination costs.

3) Competitive bids from other sources for lease of similar types of vehicles for the same time period.

Note: Leases with maintenance clauses may not be compared to those without them.

4) Justification, including detail of total lease costs compared to purchase costs.

If sub-grantees cannot provide vehicles for the WAP program, they should petition ADOH WAP to be allowed to institute their procurement of a vehicle to be paid for by the program. Please contact ADOH WAP for further information on the purchase of a vehicle.

6.4 Property

Property includes non-consumable equipment, tools, and vehicles, and also consumable materials and inventory. The ADOH WAP and federal granting agency hold a reversionary interest in property purchased with program funds. Title to property is also vested with the Sub-grantee. A Sub-grantee shall maintain asset accounts for all consumable and non-consumable property. Sub-grantee shall have a system to control losses, damages and theft of Sub-grantee property. (See Section 6.7 for disposal requirements)

Sub-grantee shall request ADOH WAP approval for all purchases with an original purchase value of \$5,000 or more per unit. Note that “original purchase value” means the purchase price plus any trade-in.

6.5 Property Record Keeping

6.5.1 Vehicles, Equipment and Tools Records

The Sub-grantee shall take a physical count of vehicles and non-consumable equipment and tools) at least annually, which shall be reconciled to the written records. The Sub-grantee shall document shortages in writing at the point of reconciliation. The ADOH WAP requires the following records be kept for vehicles and non-consumable equipment and tools with an original purchase value of \$5,000 or more per unit:

- Description including model, year, serial or vehicle identification number, etc.;
- Date of purchase;
- Original purchase value, including any trade-in applied;
- Source of funds used for purchase (DOE, LIHEAP);
- Location, use and condition of property;
- Individual to whom property is assigned (if applicable);
- Records of maintenance completed; and
- Disposition date, method, and amount received.

All equipment requiring calibration shall be maintained and calibrated according to manufacturer’s recommendations. Calibration form must be submitted annually to ADOH WAP.

6.5.2 Inventory Asset Accounts

The sub-grantee shall take a physical count of materials and supplies inventory each month. A sub-grantee shall maintain asset accounts for all consumable materials. There shall be a costing system. There shall be a monthly reconciliation of the physical inventory to the perpetual records and inventory asset account. There shall be a written perpetual inventory system if materials are stored or stocked. The ADOH WAP recommends a “first in, first out” system, so the sub-grantee shall rotate stock and use older materials first. The sub-grantee shall have a system for storage, handling and protection against damages and theft.

A sub-grantee shall maintain a master inventory record for all storage facilities. This record shall include:

- 1) Summary information from each inventory log;
- 2) Quantity of materials received and disbursed during the period;
- 3) Description of materials; and
- 4) Unit prices of materials.

A sub-grantee shall also maintain an inventory log/ledger by warehouse. This log/ledger shall include:

- 1) Job number;
- 2) Date of disbursement, return and receipt;
- 3) Crew person signing materials in or out;
- 4) Quantity of materials;
- 5) Description of materials; and
- 6) Purchase Order number for all receipts.

6.6 Consumable Materials Cost Allocation

Consumable materials are materials that are difficult to measure on a per-unit basis and for which the unit purchase quantity may be used in more than one home. Examples of consumables meeting this description are mastic, caulking, personal protection equipment, etc.

A sub-grantee may use a cost allocation system for consumable materials. A sub-grantee shall develop a consistent procedure to handle such consumable materials. When tools are assigned to a crew, a sub-grantee does not need to inventory consumable tools that are usable for only one or two jobs.

6.7 Disposition of Property

Disposition of property shall be in accordance with the rules of the funding source. The ADOH WAP reserves the right to transfer equipment from one sub-grantee to another if the equipment is found to be surplus. See the following sections for details on proper disposition of property by type. When value is under \$5,000 it can be disposed of or sold at sub-grantee's discretion. The sub-grantee must keep record of disposal or transaction. Equipment with a residual value of \$5,000 or more purchased with DOE funds must be reported by ADOH WAP to DOE. DOE will provide disposition instructions to be followed by ADOH WAP and the sub-grantee.

6.7.1 Consumable Inventory Disposal

Any charge to be made against the contract to cover losses incurred in liquidating consumable inventory shall be approved in writing by the ADOH WAP.

The sub-grantee shall contact the original vendor to request return of the items. If the items cannot be returned, the sub-grantee may dispose of the inventory. The sub-grantee shall notify all other sub-grantee that the inventory is available for use in the Weatherization Program. If a sub-grantee expresses interest, the inventory may be transferred to that sub-grantee for the purpose of use in the Weatherization Program.

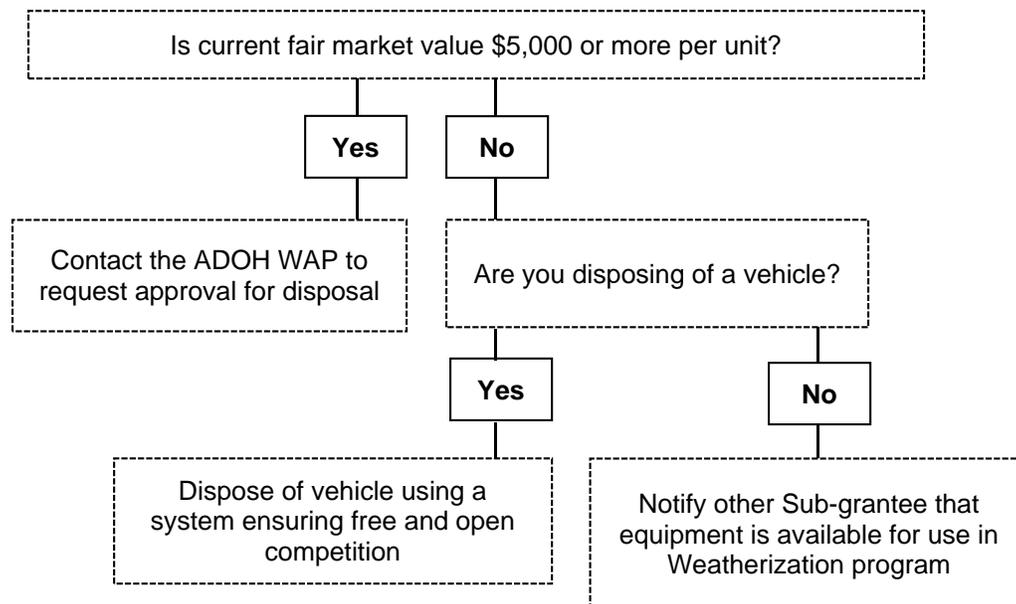
If no sub-grantee expresses an interest, then the inventory may be disposed of using a system ensuring free and open competition. The sub-grantee shall submit a written request to sell inventory including:

- 1) Description of items to be sold, including:
 - a. Unit price;

- b. Quantity of items;
 - c. Original vendor; and
 - d. Funding source used to purchase items.
- 2) Disposal methods to be used (e.g., auction, public notice, or sealed bids). It is essential that the method chosen allows for open and free competition and that the general public has a chance to purchase the items;
 - 3) Cost of selling the items, not to exceed 10 percent of the value of items being liquidated; and
 - 4) Plans for the use of any funds recovered (e.g., to be returned to the funding source, to be used to purchase other weatherization materials, to be deducted from total allowable costs per 10CFR600.225(g)(1)).

6.7.2 Vehicle, Equipment and Tool Disposal

The figure below provides guidance for determining what method to use when disposing of vehicles and non-consumable tools and equipment. Acceptable methods for determining current fair market value include but are not limited to: using an existing sub-grantee depreciation policy; blue book value or used retail value; obtaining a dealer or vendor quote.



For disposal of non-consumable tools and equipment with current fair market value of less than \$5,000 per unit the sub-grantee shall notify all other sub-grantee that the equipment is available for use in the Weatherization Program. If a sub-grantee expresses interest, the equipment may be transferred to that sub-grantee for the purpose of use in the Weatherization Program.

If no Sub-grantee expresses an interest, then the equipment may be disposed of using a system ensuring free and open competition. If the equipment is defective, it does not need to be offered to other Sub-grantee. Vehicles with current fair market value of less than \$5,000 may be disposed of using a system ensuring free and open competition without prior

notification to other Sub-grantee. Proceeds shall be used to purchase other weatherization materials or equipment.

The Sub-grantee shall request permission from the ADOH WAP to dispose of vehicles and non-consumable tools and equipment with current fair market value of \$5,000 or more. Written disposal requests shall include the following:

- 1) Explanation of why the equipment can no longer be used in the Weatherization Program;
- 2) Description of the equipment including model, year, serial or identification number, mileage, etc.;
- 3) Date of purchase;
- 4) Contract number when purchased;
- 5) Purchase value, including any trade-in applied;
- 6) Source of funds used for purchase (DOE, LIHEAP) and percentages, if multiple funding sources were used;
- 7) Estimated current fair market value;
- 8) Condition and age of equipment. If equipment is defective, in unsafe operating condition, or inoperable, supply an estimate of repair costs required to return the equipment to operating condition; and
- 9) Copy of purchase approval letter, if applicable.

A Vehicle and Equipment Disposal template is available at:

<http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>

ADOH WAP will require that proceeds be put back into program operations (homes, vehicles, tools, etc.).

Chapter 7 – Program Costs

7.1 General

This chapter provides a description of allowable costs, including allowable costs by budget line. The following general principles apply:

A Sub-grantee shall expend funds provided under contract in conformance with the approved scope of work and the following limitations:

- 1) Administrative expenditures shall not exceed the budgeted amount per funding source and total administrative expenditures shall not exceed the percent specified in a Sub-grantee's contract of total actual allowable expenditures.
- 2) DOE Health and Safety budget shall not be overspent.
- 3) T&TA budget shall not be exceeded.
- 4) Funds cannot be transferred between funding sources.
- 5) Expenditures shall meet reasonableness, allocability and allowability requirements.

Except as stated in 1 to 4 above, positive balances in a line item may be shifted to cover cost overruns in other line items only if pre-approved by ADOH WAP. Costs shall be in accordance with pertinent state and federal regulations.

- 6) All costs expensed to a contract shall fall within the contract period. The only exceptions are the fiscal and compliance audits, which, even though the expense relates to a prior contract period, shall be expensed to the current contract.
- 7) Expenditures incurred for the installation of allowable measures on a completed dwelling unit shall be reimbursed under the contract year the unit is reported completed. Costs for the installation of allowable measures may be accrued prior to the contract year in which a completed unit will be reported, and reimbursed when the unit is reported as completed (Advance funds shall not be used to cover these costs) provided there is there is funding in the subsequent funding year to cover accrued costs. To avoid disallowed costs, a Sub-grantee shall ensure that all measures are active and allowable under the subsequent contract. Sub-grantees should consider using a 10-month time frame for the performance of weatherization to ensure that all costs can be reconciled and reimbursed by the end of the 12-month program.

7.2 Allowable Costs

There are two (2) types of administrative expenses allowable for the ADOH WAP program; those that are directly related with weatherization staff and the implementation of the program (operating expenses) and those that are for general office supplies, office furniture and equipment, indirect costs or agency wide personnel who are incidental to the weatherization program (administration expenses).

7.2.1 Administration

Total Sub-grantee administrative costs (non-operating costs) shall not exceed the contracted percentage of total actual allowable expenditures and must be supported with detailed back-up documentation. Support documentation must be submitted with pay requests when asking for reimbursement of these expenses.

For agency-wide positions, Sub-grantee may charge administrative costs only for the portion of salaries and benefits that can be directly allocated to the Weatherization Program.

The ADOH WAP allows as administrative expenses, such items as:

- Space
- Supplies (paper, pencils, etc.)
- Furniture
- Operational equipment (fax machines, photocopy machines, etc.)
- Computer systems and supplies
- Telephone
- Postage
- Copying
- Utilities (Weatherization Program share)
- Professional dues and subscriptions to trade magazines
- Indirect costs, pursuant to a federally-approved indirect cost rate, but only up to the amount allowable in a Sub-grantee's administration budget lines, regardless of the federally approved rate

7.2.2 Operations

Operation expenses result from the direct implementation of the program which includes application intake, client eligibility, audits, installing energy conservation measures (ECMs) and repair measures, direct labor, materials, delivery, and contractor costs. Under operating costs, a Sub-grantee may charge salaries and fringe benefits for weatherization- related personnel.

7.2.2.1 Direct Labor

The Sub-grantee shall include the following when calculating an agency direct labor rate:

- Direct labor costs, including taxes, vacation/holiday time, and job prep/transportation time;
- Supervisory costs;
- Inventory control personnel;
- Warehousing (program share of space, utilities, etc.); and
- That portion of wages and fringe benefits for the program manager and other program staff that directly relate to crew and/or sub-contractor field operation.

7.2.2.2 Delivery

The cost of having a third party transport weatherization materials to the program warehouse or directly from the seller to the job site is an allowable cost.

7.2.2.3 Contractor Costs

The reasonable cost of the installation of weatherization measures by a private contractor.

7.2.2.4 Repair Costs

The cost of incidental repairs over \$2,000 per residence, if such repairs are necessary to make the installation of weatherization materials effective, require ADOH WAP approval.

7.2.2.5 Transportation

This is the cost of transportation of weatherization materials, tools, equipment, work crews, supervisory personnel and energy auditors. Vehicle usage expenses may include mileage reimbursement for non-agency owned vehicles (on rare occasion) and expenses for agency-owned used for weatherization, such as:

- Gas and oil
- License and taxes
- Tires and vehicle repairs
- Vehicle insurance (collision and liability)

True detailed mileage logs and vehicle expenses must be maintained. Mileage will be reimbursed only for those miles accurately tracked between the sub-grantees offices and the job site; weatherization training, meetings, or technical assistance visits. Commute mileage between personal residence and sub-grantee offices must be deducted.

7.2.2.6 Tools and Equipment

The ADOH WAP allows the purchase and/or lease of tools and equipment necessary to install weatherization materials effectively. Tools and equipment shall include non-consumable items such as tape measures, insulation blowers, ladders and also consumable equipment (e.g., saber saw blades, replacement filters for dust masks, blades for utility knives, etc.). See Chapter 6 for further definitions of, and requirements for agency property.

Repair, maintenance and calibration costs for tools and equipment are also allowable costs.

7.3 Health and Safety

A Sub-grantee shall expense treatment of Health and Safety hazards in accordance with Chapter 11 – Health and Safety. Any DOE or SWG jobs that have health and safety measures exceeding \$2,000 per job, per funding source must receive prior approval from the ADOH WAP program. See Health and Safety Waiver Form available on the ADOH website at: www.azhousing.gov

7.4 Liability Insurance

The Sub-grantee shall charge the cost of insurance for the following to this cost category:

- Personal injury
- Property damage
- Operations
- Product liability
- Pollution Occurrence Insurance (POI) – (also see Section 4.5.1)

Payment of reasonable deductible amounts shall be allowable if a claim has been submitted to the policy issuer and with prior approval of the ADOH WAP.

The ADOH WAP strongly recommends that a competitive procurement process is followed for an agency-wide purchase of a liability insurance policy. The Sub-grantee does not have to purchase this independently and follow the procurement requirements identified in Chapter 5 unless greater than 60 percent of the Sub-grantee's operation budget is for the Weatherization and Home Energy Plus Furnace programs.

The cost of mold and mildew coverage is not an allowable cost.

The cost of liability insurance for vehicles is not allowed in this budget line item. It is a transportation cost.

7.4.1 Pollution Occurrence Insurance (POI)

Sub-grantee is not required by DOE or DES to have POI, though it is highly recommended to have a liability pollution occurrence rider for all weatherization work. Recommended minimum limits are \$500,000 per occurrence, \$500,000 aggregate for the policy term, and a maximum \$2,500 deductible per occurrence.

A Sub-grantee shall decide whether to cover its contractors under its POI insurance as "additional named insured" or pass the liability to such contractors. If a Sub-grantee chooses not to have POI, or has POI but chooses not to cover its contractors, it shall inform contractors, and require a signed waiver that indemnifies the agency and the state. The language suggested is as follows:

The Contractor shall indemnify and hold harmless the weatherization agency, ADOH WAP, and all of their officers, agents and employees from all suits, actions or claims of any character brought for or on account of any injuries or damages received by any persons or property resulting from the operations of the Contractor, or of any of its agents or subcontractors, in performing work under this Agreement.

Allowable costs are for a POI policy that covers WAP related work being performed under an agreement with a funding source to perform such work on their behalf. The cost for non-weatherization program work covered under a POI policy performed by crews or contractors is not an allowable weatherization cost and shall be paid for from sources other than the weatherization contract.

Note: POI covers lead but is different from a lead paint (Pb) insurance policy, which is specifically designed to cover companies doing demolition and major rehabilitation.

DOE and the Arizona Department of Economic Security (LIHEAP Program funder) strongly recommend sub-grantees and contractors and lower-tier subcontractors be covered by a POI policy. However, POI coverage is not allowed for vendors providing commodities only, or for contracts that provide services such as energy audits, final inspections, and refrigerator/freezer delivery.

If a sub-grantee does not obtain POI or require subcontractors to have POI, the cost to do remediation, clean up, relocation, medical expenses, the cost of any litigation/settlement or any other resulting cost is not an allowable weatherization expense.

7.5 Financial Audit

The Weatherization Program is classified as a major program as defined in federal regulations at 2 CFR 200 Subpart F (formerly OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations).

A Sub-grantee may charge the cost of the required financial and compliance audit of the Weatherization Program to the Financial Audit budget line. Do not include the cost of a financial audit in the agency's indirect cost rate. Separate funding is available for audit costs, and the costs shall not be paid with administrative funds.

The cost of a financial audit shall be either the cost of a separate audit of the Weatherization Program or the Weatherization portion of an agency-wide audit.

See additional information regarding Financial Standards in Chapter 3 of this manual.

7.6 Training and Technical Assistance (T&TA)

A Sub-grantee shall not exceed the budgeted amount for Training and Technical Assistance.

Training and Technical Assistance activities are intended to maintain or increase the efficiency, quality and effectiveness of the Weatherization Program at all levels. Such activities shall be designed to maximize energy savings, minimize production costs, improve program management, crew and contractor quality of work, and reduce the potential for waste, fraud, abuse and mismanagement.

A Sub-grantee shall use T&TA Funds for:

- The cost of training programs and training materials;
- In-state travel costs and registration fees for training weatherization staff;
- The cost of subscriptions to weatherization program-related periodicals;
- Program evaluation costs, including labor costs, in accordance with the program budget;
- Costs associated with out-of-state training with ADOH WAP prior approval;

- The cost of training certifications that are required by the ADOH WAP or DOE, including but not limited to, Energy Auditor, Lead-Safe Renovator, Quality Control Inspector, BPI certification. Any and all certifications as required per State of Arizona Weatherization Assistance Program State Plan.
- State-directed Sub-grantee meetings;
- All or part of the cost of training contractors (see Section 4.7.1); and

All T&TA expenses, no matter the funding source, that will exceed \$500 require prior approval from ADOH WAP. Sub-grantees must complete the Training and Technical Assistance Form available from the ADOH website at: www.azhousing.gov.

7.6.1 Subcontractor Training

Any costs associated with training contractors shall be preceded with a retention agreement in exchange for the training. Reimbursement of labor, mileage, meals and lodging costs for contractors attending trainings is allowable on a case by case basis with prior approval from ADOH WAP.

Whenever possible, the term of a retention agreement shall coincide with the one-year contract (between the Agency and the Contractor) or one-year renewal period. Otherwise, the retention agreement shall be for the duration of the contract from the time the training is provided, not to exceed one year. Training, but not certification as a Lead or Asbestos Company or maintenance of any certifications, may be provided to subcontractors meeting retention requirements. Note that the retention agreement requirement does not apply to Sub-grantee or State contractor orientation sessions or when sub-grantee provide instruction to contractors on improving technique as needed.

Sub-grantee shall consider whether the term of the retention agreement aligns with the cost of training provided. Contact the ADOH WAP for additional guidance regarding this, if needed.

Sample Training and Technical Assistance Retention Agreements can be found with WPN 10-01: Program Year 2010 Weatherization Grant Guidance at: <http://www.waptac.org/Program-Guidance/2010002D2006-Program-Guidance-Documents.aspx>

7.6.2 Out-of-State Travel

Out-of-state travel for conferences or other training shall be approved on a case by case basis. Requests for out-of-state travel shall include:

- The name and position of the persons attending the event;
- The costs associated with their attendance at the event; and
- A justification for attendance.

7.7 Purchase of Vehicles and Equipment

All equipment and vehicles shall be purchased entirely with DOE funds, or funds resulting from an approved disposition, or an approved disposition applied as a trade-in. Sub-grantees shall request ADOH WAP approval for all such purchases with an original

purchase value of \$5,000 or more. Note that “original purchase value” means the purchase price plus any trade-in.

7.8 Disallowed Costs

Disallowed costs are expenses, as determined by the ADOH WAP that are not reimbursable using grant funds. If ADOH WAP cannot determine if the expenditure is allowable, because of inadequate records or documentation, the questioned cost will be disallowed. Sub-grantees shall reimburse the ADOH WAP for the full amount of any disallowed costs. Interest expenses are a disallowed cost.

7.9 Average Unit Cost

The Department of Energy (DOE) sets a limit on the average amount of DOE funds that can be spent per unit. For Federal Program Year 2015, the Average Unit Cost limit is \$7,105 for DOE funds. Sub-grantees shall manage job costing so as to adhere to this limit for DOE funds spent on all units completed in a contract year. DOE Average Unit Cost does not include audit costs or health and safety measure costs.

The LIHEAP Program also sets an Average Unit Cost limit. For Federal Program Year 2015, the Average Unit Cost limit is \$6,000 for LIHEAP funds. At this time, LIHEAP includes audit costs and health and safety measure costs in the Average Unit Cost limit.

Chapter 8 – Documentation and Record Keeping

8.1 Client Records

A sub-grantee shall maintain a permanent list of weatherized units. The list must include but is not limited to: Complete address and date of completion of the weatherization. A sub-grantee shall comply with the applicable federal and state laws, and ADOH WAP regulations concerning the confidentiality of client records.

Sub-grantee shall retain all records associated with weatherization jobs as detailed below for three years after the final Federal Financial Report (FFR) has been submitted by the state, per federal regulations (10 CFR 600.153 for non-profits and 10 CFR 600.242 for State and local governments.)

- a. Sub-grantee shall store and label each file according to the time period involved.
- b. All records maintained in accordance with the operation of the weatherization program shall be available to the ADOH WAP on request for inspection, examination, excerpting, transcription or financial audit.
- c. For all client records created during a Grant Period the following record disposal schedule may be applied.
- d. ADOH WAP will provide the actual grant close-out date and will provide sub-grantees with grant period and disposal dates. For example:

Grant Period	Disposal Date
07/01/2004 – 06/30/2009	After 9/30/2012
07/01/2009 – 06/30/2013	After 9/30/2016
07/01/2013 – 06/30/2016	After 9/30/2019

8.2 Client Files

ADOH WAP has provided a Client File Checklist (See 12.13) that sub-grantees must use the provided form and keep it in the client file. The form is also available from the ADOH website at: <https://housing.az.gov/general-public/weatherization-assistance-program>.

The following information is required to be included in client files:

1. Client File Checklist (See 12.13)
2. Eligibility Determination & Client Information
3. Proof of Ownership or Signed Rental Agreement
4. Deferral Information (if applicable)
5. State Historic Preservation Documentation (if applicable)
6. No Previous Weatherization Checklist (See 12.3)
7. Client Complaints and Documented Resolution
8. Progress Form (See 12.5); Includes client sign-off on:
 - a. Intake
 - b. Initial Audit
 - c. Scope of Work

- d. Completion of all Items and Cleanliness of Work Site
- e. Receipt of "Client Rights and Responsibilities" (See 12.1)
9. Work Agreement/Scope of Work
10. Assessment/ Audit (See optional "Residential Diagnostic Evaluation Form" 12.6)
11. Priority checklist & Copy of REM w/Field Waiver Request (if applicable) (See 12.7 for Field Waiver)
12. Work Summary
13. Final Test Out Documentation
14. Final Inspection Checklist (See optional "Residential Diagnostic Evaluation Form" (See 12.6) (NOTE: of unit is funded by DOE, must also have a QCI checklist)
15. QCI Checklist (See 12.9)
16. Hazard Disclosure Form (See 12.14); Includes client sign-off that information, notifications and release were given to them regarding:
 - a. Lead Paint
 - b. Mold Assessment and Release
 - c. Radon
17. Lead Safe Weatherization (if applicable)
18. Certified Renovator Documentation (if applicable)
19. Pre-work and Post-work photos
20. Photos of Appliances/HVAC (before and after replacement)
21. Materials and Labor Costs: including invoices and purchase orders (Contractor and crew based)
22. Bid/Equipment/Calculation/Specification Details
23. Inventory Sheets
24. Low-Cost/No-Cost Documentation
25. Client Health & Safety Evaluation Forms (See 12.10 and 12.11)
 - a. Client Health and Safety Evaluation Form- For Client
 - b. Client Health and Safety Evaluation Form- For Auditor
26. Landlord/Tenant Agreement (if applicable) (See 12.4)
27. Household Action Plan (See 12.15)
28. Refusal for Services, Indemnification & Waiver of Claims (See 12.8)
29. Refrigerator Protocol
30. Health & Safety (HSD) Waiver (See 12.12)
31. Sub-grantee Statement of Completion
32. Utility Release Form

8.3 Open Records/Public Records

- 1) All sub-grantees must have a policy on public information requests and follow that policy.

8.4 Scope of Work

A Scope of Work shall be signed by the owner/agent of an eligible dwelling unit prior to the commencement of weatherization work.

The agreement shall detail the type and amount of weatherization work to be done on the building and other conditions both parties shall agree to and permission for the weatherization work to be done.

The owner must also sign-off for the completed work at the property. After all work is complete and a final inspection is conducted, a signature is required to verify the proposed work in the work agreement was completed and was acceptable.

8.5 Historic Preservation

Prior to the expenditure of Federal funds to alter any structure or site, the Sub-grantee is required to comply with the requirements of Section 106 of the National Historic Preservation Act (NHPA), consistent with DOE's 2009 letter of delegation of authority regarding the NHPA. Section 106 applies to historic properties that are listed in or eligible for listing in the National Register of Historic Places. In order to fulfill the requirements of Section 106, ADOH and the State Historic Preservation Officer ("SHPO") have developed a Statewide Programmatic Agreement ("PA"). Work performed on units that fall within those identified in this executed PA will be considered in conformance with Section 106 Review. Additional work performed beyond that which is identified in the executed PA will require further Section 106 Review. The Statewide Programmatic Agreement is available at: www.azhousing.gov. Additional information is also available at the U.S. Department of Energy website: http://www1.eere.energy.gov/wip/historic_preservation.html.

Chapter 9 – Reporting Requirements

9.1 General

The Sub-grantee shall submit reports to the ADOH WAP on a monthly basis. The Sub-grantee shall also submit special reports as requested by the ADOH WAP.

An authorized agency representative shall review all reports and sign Requests for Payment (RFPs) before submission. The ADOH WAP reserves the right not to accept as timely, reports that are incomplete or inaccurate.

When submitting electronic job completion reports, the sub-grantee must enter the job completion date and click the “Submit” button in the AZWAP.org/admin database. Jobs are not to be submitted until they are fully completed, reviewed by the sub-grantee and if a DOE funded job, has passed the Quality Control Inspection. Completed jobs must be entered by the 20th of each month for completed jobs from the previous month (i.e. jobs completed by September 30th must be entered into the database by November 20th).

9.2 Monthly Requests for Payment

Monthly RFPs and the required support documentation must be submitted no later than the twentieth (20th) of each month for the expenditures related to the completed jobs for the previous month. (i.e. expenditures for jobs completed by December 30th must be submitted by January 20th) Sub-grantees must not submit an RFP for jobs that have not been submitted in the AZWAP.org/admin

Monthly RFPs are subject to a three stage approval process before reimbursement:

- 1) Initial ADOH WAP Contract Specialist Review to verify the Job Cost Submittal Form to the job costs entered into the AZWAP.Org database and verify that required support documentation has been included and verifies the costs requested on the RFP
- 2) ADOH WAP approval by the Program Administrator; and
- 3) ADOH WAP Accounting Division representative approval.

The RFPs shall present an accurate statement of allowable costs incurred for the month.

The Sub-grantee shall submit separate Weatherization RFPs each month for each grant funding source.

9.3 Final Close-Out Invoice

A Sub-grantee shall submit, electronically through ADOH WAP, a final month invoice for each fund at the end of each funding cycle. Sub-grantees will have 60 days from the expiration or close out of a contract to submit final invoices.

9.4 Tool and Equipment Purchased

If a Sub-grantee used federal funds (DOE or LIHEAP) to purchase tools or equipment with an individual purchase price of \$5,000 or more, the Sub-grantee shall provide a list and include the item description, purchase price, funding source(s) and, if applicable, the percent of funding split if purchased with more than one fund source. Include a total dollar amount for the equipment expenditures listed.

9.5 Vehicles Purchased/Leased

If a Sub-grantee used federal funds (DOE or LIHEAP) to purchase and/or lease a vehicle with a purchase price of \$5,000 or more, the Sub-grantee shall provide a list of vehicles purchased and/or leased and shall include the vehicle year and model, purchase price, funding source(s) and, if applicable, the percent of funding split if purchased with more than one fund source. Include a total dollar amount for all vehicle purchase(s)/lease(s) listed.

9.6 Special Reports

Special reports may be requested from the Sub-grantee by the ADOH WAP regarding program operations, client services and energy savings, or other as defined by the ADOH WAP. Special reports shall be submitted as indicated on the request.

Chapter 10 – Financial Standards

10.1 General

Sub-grantees shall establish and maintain fiscal control and accounting procedures as set forth in federal regulation at 2 CFR 200.300. These procedures shall be in writing and consistently applied, and shall include procedures for determining the reasonableness, allocability and allowability of costs in accordance with the provisions of the applicable Federal cost principles and the terms and conditions of the award. Sub-grantees shall maintain account books on a double entry basis. Accounting will be on a modified accrual basis at a minimum. Full accrual basis accounting is encouraged.

Sub-grantees shall maintain separate accounting for each grant (contract). For grants funded through multiple sources, the sub-grantee shall maintain records that separately track and account for those funds. There shall be a system for allocating common expenses among funding sources.

If work is performed by the Sub-grantee's staff, charges to the weatherization program will be made on an actual cost basis. Sub-grantees are required to notify the ADOH WAP of any potential financial conditions that could adversely impact program operations. Examples of these conditions include: pending legal activity by a vendor, client or employee; organizational cash flow shortages; allegations or investigations of fraud or embezzlement. Failure to notify the ADOH WAP of potentially adverse financial conditions is grounds for immediate termination of the contract.

10.2 Source Documentation

Sub-grantee shall maintain the following documentation of contracts for all weatherization funding sources:

- 1) Approval to secure funds;
- 2) Applications and requests for modifications;
- 3) Signed contract and modification approvals;
- 4) Board minutes, if applicable; and
- 5) Proof of receipt/deposit slip, including date, amount, source of funds, and identification of receipt of funds in cash ledger.

10.3 Expenditure Documentation

Sub-grantee shall maintain the following documentation of:

- 2) Written prior authorization where required;
- 3) Budget approval, if applicable;
- 4) Budget amendment approval, if applicable;
- 5) Extension of vendor contracts;
- 6) Internal prior authorization,
- 7) Purchase order,
- 8) Travel authorization,

- 9) Employee contract or time records signed by employee and supervisor,
- 10) Proof that goods or services were received,
- 11) Contractor, Vendor and/or Supply Order Invoices,
- 12) Proof of payment using check stubs or copies of checks/vouchers including:
 - Source of funds,
 - Date paid,
 - Amount paid,
 - Authorization of payment, and
 - Identification of application in disbursement ledger.

Expenditure documentation must be submitted to ADOH WAP with each pay request as back up documentation for reimbursement of the expenses and chart of accounts. As a best practice sub-grantees should highlight the account line items on the chart of accounts that are included in the pay request.

10.4 Cash

Sub-grantee shall make intact deposits (no cash back).

The ADOH WAP does not allow cash payments.

It is not necessary to keep funds from separate grants (contracts) in separate bank accounts; however, Sub-grantee shall maintain separate financial records for each grant.

Sub-grantee shall perform monthly bank reconciliation.

At the discretion of the ADOH WAP program, advances may only be used for allowable weatherization costs that occur during the grant period.

Grant funds may only be used for allowable weatherization program expenses. Any use of weatherization program funds for expenditures other than those allowed by the weatherization program, even on a temporary basis, will result in immediate termination of the contract.

10.5 Record Retention

Sub-grantees shall retain all records associated with the Grant as detailed below for three years after the final Federal Financial Report (FFR) has been submitted by the state, per federal regulations (2 CFR 200.333) This means that sub-grantees must potentially retain records for a great deal longer than three (3) years. ADOH WAP will notify sub-grantees when the final FFR has been and approved and provide a destruction date for records related to the grant.

- a. Sub-grantees shall retain all financial records, supporting documentation, statistical records (including procurement records).
- b. Sub-grantees shall store their agency cost files and label each file according to the time period involved.

- c. All records maintained in accordance with the operation of the weatherization program shall be available to the ADOH WAP on request for inspection, examination, excerpting, transcription or financial audit.
- d. Sub-grantees shall maintain a permanent record of all units weatherized which, at a minimum shall include; street number, street name, unique unit identifier, city, zip code, county and date of completion.
- e. For all records created during a Grant Period the following record disposal schedule shall be applied.

See Chapter 8 – Documentation and Record Keeping for additional information pertaining to client file retention.

10.6 Financial Audits

Sub-grantees shall ensure that financial audits are:

- 1) Conducted in accordance with federal laws and regulations, 2 CFR 200 Subpart F (formerly OMB Circular A-133)
- 2) Conducted annually;
- 3) Conducted by an independent auditor;
- 4) Timely; and
- 5) Submitted to the ADOH WAP as soon as available. Sub-grantee shall submit one copy of the audit including any accompanying letters of findings. Audit reports may be sent to the following address:

Arizona Department of Housing
Accounting Division
1110 W. Washington, Suite 310
Phoenix, Arizona 85007

10.6.1 Audit Package

The audit reporting package shall include the following.

- 1) Audited financial statements of the overall agency
- 2) Schedule of expenditures of Federal & State Award
- 3) Additional Supplemental Schedule(s) required by the granting agency
- 4) Schedule of Prior Audit Findings
- 5) Corrective Action Plan
- 6) Opinion on General-Purpose Financial Statements and Supplementary Schedule of Expenditures of Federal and State Awards
- 7) Report on Compliance and on Internal Control Over Financial Reporting Based on an Audit of Financial Statements Performed in Accordance With Government Auditing Standards

- 8) Report on Compliance with Requirements Applicable to Each Major Program and on Internal Control Over Compliance in Accordance with 2 CFR 200 Subpart F (formerly OMB Circular A-133)
- 9) Schedule of Findings and Questioned Costs
- 10) Management letter

10.6.2 Compliance Requirements and Audit Procedures

- 1) Determine the effectiveness of management controls and the fiscal integrity of the financial system.
- 2) Determine whether the Sub-grantee is in compliance with the terms and program requirements as set forth in the weatherization contract and the ADOH WAP Weatherization Manual.
- 3) Determine whether reports issued to ADOH WAP are accurate and complete, including financial and production data.
- 4) Determine whether expenditures are properly classified in accordance with the weatherization contract and that they are allowable costs as set forth in the weatherization manual and federal regulations.
- 5) Determine that general administration expenses were limited to the appropriate percentage of expended dollars as stated in the contract.
- 6) Determine whether inventories are properly maintained and safeguarded.
- 7) Determine whether materials inventory and materials installed were properly valued.
- 8) Audit requirements and procedures published in OMB's Compliance Supplement for Audits of State and Local Governments or OMB's Compliance Supplement for Audits of Institutions of Higher Learning and other Non-Profit Institutions.

The selection of the audit firm shall comply with procurement requirements (see Chapter 5), except that 1) a Request for Proposal (RFP) shall be used instead of Weatherization Request for Bid (RFB) template, and 2) an RFP is required, regardless of cost.

Sub-grantee shall have a method for resolving questioned costs.

10.7 Program Income

The ADOH WAP program follows a reimbursement method for paying sub-grantee expenses. In addition, weatherization services are provided as a grant to eligible clients. Therefore, sub-grantees will not and should not have Program Income to track and expend prior to drawing new funds.

10.8 Purchase Orders

The ADOH WAP does not permit blanket purchase orders. There shall be a purchase order for each purchase which includes:

- Quantity
- Unit price

- Maximum amount
- Authorizing signature
- Date

There shall be a purchase order log, a record of all obligations and a way to identify unpaid obligations. Approval by an authorized person shall be in place before the purchase is made.

Invoices presented for payment shall be submitted in accordance with instructions contained on the purchase order including reference to purchase order number and submitted to the correct address for processing.

Chapter 11 Monitoring, Training and Technical Assistance

The state has a responsibility to perform comprehensive monitoring and oversight of the work performed by the sub-grantee as well as the sub-grantee's fiscal expenditures and practices annually. As part of the monitoring process the state will visit five to 10 percent of completed jobs for each sub-grantee. Additionally, the state will perform a financial audit of each sub-grantee at least one time each fiscal year. The Monitors for the state and certificates held will be:

Name	Type of Monitor
Michael Frary	Technical/Administrative
Trisha Ekenberg	Administrative/Financial

ADOH WAP reviews sub-grantees monthly to determine if the sub-grantee is meeting its goals and expenditures in compliance with expenditure schedules. This is accomplished through a desk review of 100% of all jobs via the AZWAP.org database and Requests for Payment submitted by the sub-grantees.

11.1 Monitoring Goals

Routine monitoring of the sub-grantees is conducted in order to (but not limited to):

- Determine program compliance and accountability
- Assist agencies in their program operations and compliance with DOE and state regulations
- Analyze program performance
- Analyze quality of work
- Identify problems, deficiencies, and areas that need improvement and advise on how to correct
- Analyze whether best possible program services are being delivered to low-income population
- Assess T&TA needs
- Improve program performance

If ADOH WAP discovers significant deficiencies (health and safety violations, poor quality installation of materials, missed opportunities, inappropriate cost allocation, inappropriate expenditures etc.), the state will elevate both the number of homes reviewed and the frequency of visitation until the deficiencies are resolved.

11.2 On-Site Monitoring

On-site technical and fiscal monitoring will be used to determine the program and operational effectiveness of sub-grantees. Customer files, and sub-grantee financial systems, records and reports will also be routinely monitored to test the sub-grantee's ability to prudently deliver, support, and manage installations of allowable cost effective and energy efficient measures.

11.2.1 On-Site Technical

Inspection of completed dwelling units is done to monitor prioritization of weatherization measures, accuracy of energy audit, job costs, quality of workmanship and material, and that the work completed is reflected in the job files. Inspection of warehouse and review of materials inventory are

completed to insure adequate space and security at reasonable costs for the material inventory. Also, material inventory and condition of materials are verified.

On-site technical monitoring will be done by a state monitor that has received their Quality Control Inspector certification. Sub-grantees will be notified of on-site technical monitoring visits at least two weeks prior to the visit. ADOH WAP responsibilities related to the on-site technical monitoring event include but are not limited to the following:

Client files will be reviewed to include the following:

- Client File Checklist (See Chapter 12. Forms) available from the ADOH WAP website at: <https://housing.az.gov/documents-links/forms/weatherization>;
- Clients Rights and Responsibilities form available from the ADOH WAP website at: <https://housing.az.gov/documents-links/forms/weatherization>
- Eligibility Determination & Client Information
- Proof of Ownership or Signed Rental Agreement
- Deferral Information (if applicable)
- State Historic Preservation Documentation (if applicable)
- No Previous Weatherization Checklist (See 12.3) available from the ADOH WAP website at: <https://housing.az.gov/documents-links/forms/weatherization>
- Client Complaints and Documented Resolution
- Progress Form (See 12.5); Includes client sign-off on:
 - Intake
 - Initial Audit
 - Scope of Work
 - Completion of all Items and Cleanliness of Work Site
 - Receipt of “Client Rights and Responsibilities”
- Work Agreement/Scope of Work
- Assessment/ Audit
- Priority checklist & Copy of REM w/Field Waiver Request (if applicable)
- Work Summary
- Final Test Out Documentation
- Final Inspection Checklist (See optional “Residential Diagnostic Evaluation Form” (See 12.6)
- QCI Checklist
- Hazard Disclosure Form available from the ADOH WAP website at: <https://housing.az.gov/documents-links/forms/weatherization>; Includes client sign-off that information, notifications and release were given to them regarding:
- Lead Safe Weatherization (if applicable)
- Certified Renovator Documentation (if applicable)
- Pre-work and Post-work photos
- Photos of Appliances/HVAC (before and after replacement)
- Materials and Labor Costs: including invoices and purchase orders (Contractor and crew based)
- Bid/Equipment/Calculation/Specification Details
- Inventory Sheets
- Low-Cost/No-Cost Documentation
- Client Health & Safety Evaluation Forms
 - Client Health and Safety Evaluation Form- For Client
 - Client Health and Safety Evaluation Form- For Auditor
- Landlord/Tenant Agreement (if applicable) available from the ADOH WAP website at: <https://housing.az.gov/documents-links/forms/weatherization>

- Household Action Plan Form available from the ADOH WAP website at: <https://housing.az.gov/documents-links/forms/weatherization>
- Refusal for Services, Indemnification & Waiver of Claims (if applicable)
- Refrigerator Protocol
- Health & Safety (HSD) Waiver
- Sub-grantee Statement of Completion
- Utility Release Form

ADOH WAP will perform monitoring audits on five to ten percent (5% - 10%) of weatherization job completions. ADOH WAP will inspect in-progress units as needed. The field monitoring will be an analysis of quality of field practices, including:

- Audit procedures and compliance with audit protocols and work orders;
- Diagnostics;
- Overall effectiveness;
- Compliance with state field standards;
- Workmanship;
- Appearance;
- Missed opportunities;
- Health and safety issues;
- Agency final inspection procedures; and
- Training needs.

ADOH WAP staff will select the weatherization completions to be inspected by random selection of jobs submitted in the data base, unless particular jobs are deemed to require review. The sub-grantee will be notified of the homes selected for inspection prior to the visit to allow coordination with the home owners.

- ADOH WAP will use the approved Field Guide to evaluate the weatherization jobs.
- ADOH WAP will recommend re-works, re-inspections, and T&TA visits in response to findings.
- ADOH WAP will investigate legitimate customer complaints, which may result in the sub-grantee being required to return to correct errors or omissions.
- ADOH WAP will note concerns about sub-grantee operations on the inspection report.
- ADOH WAP will disallow costs and/or designate the sub-grantee as high-risk and place the Sub-grantee on a watch list in response to recurring major findings or persistent noncompliance with ADOH WAP policy.

Following the on-site technical monitoring visit a Field Monitoring Summary Report will be prepared and provided to the sub-grantee within 30 days following the completion of the monitoring event. The Field Monitoring Summary Report will be based on:

- **Findings**—an issue that is a violation of rules or standards and needs to be addressed. The sub-grantee will be required to submit evidence that the violation has been corrected and an action plan that ensures there will not be a repeat of the violation.
- **Concerns**—an issue that may not be in violation of rules or standards but needs to be addressed because if the practice continues it may become a violation in the future. The sub-grantee may be required to submit an action plan.
- **Recommendations**—based on best practices experience and expertise on how to improve certain aspects of the program.

11.2.2 On-Site Fiscal

In accordance with the State Plan, on-site fiscal monitoring visits are required to evaluate sub-grantees' general administration and program management systems at least once a year

ADOH WAP will notify sub-grantees of scheduled on-site fiscal monitoring event at least two weeks prior to the visit. The visit typically requires a minimum of two days to complete and requires frequent interaction with the sub-grantee Director and administrative staff.

Key issues identified during the fiscal monitoring:

- Procurement
- Invoicing techniques and fiscal oversight practices
- Job costs are in line with industry standards
- Verification of costs compared to scope of work
- Proper designation of expenses between Administration and Program Operations
- Property records and inventory control

Following the on-site fiscal monitoring visit, a Fiscal Monitoring Summary Report will be prepared and provided to the sub-grantee within 30 days following the completion of the monitoring event. The Fiscal Monitoring Summary Report will be based on:

- **Findings**—an issue that is a violation of rules or standards and needs to be addressed. The sub-grantee will be required to submit evidence that the violation has been corrected and an action plan that ensures there will not be a repeat of the violation.
- **Concerns**—an issue that may not be in violation of rules or standards but needs to be addressed because if the practice continues it may become a violation in the future. The sub-grantee may be required to submit an action plan.
- **Recommendations**—based on best practices experience and expertise on how to improve certain aspects of the program.

11.3 Desk Top Monitoring

Every month, each agency will be monitored through the AZWAP.org database of all jobs submitted for that month. The AZWAP.org database will be closed to completed jobs on the 20th of each month. The following week after closure of the database a 100% desk top review of completed jobs will occur. The goals of desk top monitoring are:

- Performance analysis of weatherization work in the home;
- Review of weatherization expenditures (costs allocated to appropriate funding source);
- Eligibility and compliance issues; and
- Identify specific focus areas for an agency visit, including problematic jobs.

A monitoring report will be generated from the desk top review which will identify any compliance issues that may occur. Agencies will be sent a desk top monitoring report, if issues exist that need correction, the sub grantee will be given 15 days to comply with the necessary corrections. If the sub-grantee fails to comply in the 15-day time frame, funding

may be withheld until compliance occurs. A final desk audit report will be sent to the agency after all issues have been addressed, or if no issues occurred during the desk audit.

11.3.1 Performance Monitoring

Monthly performance goals and standards will be made a part of the contractual agreement between ADOH WAP and the Sub-grantee. ADOH WAP may, based on a review of the progress of sub-grantee completed units and expenditures, move funds from a non or under-performing sub-grantee to a sub-grantee meeting or exceeding their performance goals. ADOH WAP will review the performance of all sub-grantees on a monthly basis. The first re-allocation of funds would occur at 6 months with additional re-allocations if needed at the 8 month and 10-month time periods. It is the goal of ADOH WAP to use this method to ensure annual program funds are expended thereby reducing or eliminating carry-over and improving overall program performance.

11.4. Enforcement

11.4.1 Remedies for Noncompliance

If sub-grantee materially fails to comply with any terms of the ADOH WAP program, one or more of the following actions may be taken, as appropriate to the circumstances:

- (a) Temporarily withhold cash payments pending correction of the deficiency by sub-grantee or more severe enforcement action by the funder;
- (b) Disallow (that is, deny both use of funds and matching credit for) all or part of the cost of the activity or action not in compliance;
- (c) Wholly or partly suspend or terminate the sub-grantees WAP contract;
- (d) Withhold further awards to the sub-grantee;
- (e) Take other remedies that may be legally available.
- (f) New monthly performance goals and standards will be made a part of the contractual agreement between the Grantee and Sub-grantee. The Grantee may, based on a review of the progress of sub-grantee completed units and expenditures, move funds from a non or under-performing sub-grantee to a sub-grantee meeting or exceeding their performance goals. The Grantee will review the performance of all sub-grantees on a monthly basis. The first re-allocation of funds would occur at 6 months with additional re-allocations if needed at the 8 month and 10-month time periods. It is the goal of the Grantee to use this method to ensure annual program funds are expended thereby reducing or eliminating carry-over.

11.4.2 Appealable Agency Action.

Enforcement action taken under this section is an appealable agency action pursuant to A.R.S., Title 41, Chapter 6, Article 10.

11.4.3 Effects of suspension and termination.

Costs incurred by sub-grantee resulting from obligations incurred by sub-grantee during a suspension or after termination of an award are not allowable unless ADOH WAP expressly authorizes them in the notice of suspension or termination or subsequently.

11.4.4 Relationship to debarment and suspension.

The enforcement remedies identified in this section, including suspension and termination, do not preclude sub-grantee from being subject to “Debarment and Suspension” under the United States President’s Executive Order 12549.

11.5 Cancellation

ADOH WAP may, by giving reasonable written notice specifying the effective date, terminate the sub-grantee contract in whole or in part for cause, which shall include:

- Failure, for any reason, of the sub-grantee to fulfill in a timely and proper manner its obligation under the contract including compliance with the approved work program and attached conditions, and such statutes, executive orders, and funder and/or Grantee ADOH WAP directives as may become generally applicable at any time;
- Failure to submit, late submission, incorrect or incomplete submission of required reports;
- Ineffective or improper use of program funds provided under the contract;
- Suspension or termination by funders (in whole or in part) of the grant to ADOH WAP under which the award is made. ADOH WAP may also assign and transfer the award as required by funder directives;
- If the sub-grantee is unable or unwilling to comply with the terms of the contract or with additional conditions as may be lawfully applied by the funder, or ADOH WAP, the sub-grantee may terminate the grant by giving fifteen (15) days written notice to ADOH WAP signifying the effective date thereof. Furthermore, the residual assets and property purchased by the sub-grantee under the contract shall be transferred at the discretion of ADOH WAP to an organization which is exempt from Federal income tax as an organization described in Section 501 (c)(3) of the Internal Revenue Code (1954) or to the appropriate federal, state or local government for exclusively public purposes. In such event, ADOH WAP shall require the sub-grantee to ensure that adequate arrangements have been made for the transfer of all property and finished or unfinished documents, data, studies, and reports purchased by ADOH WAP under this grant. The sub-grantee shall be entitled to compensation for any unreimbursed expenses reasonably and necessarily incurred in satisfactory performance of the contract. Notwithstanding the above, the sub-grantee shall not be relieved of liability to ADOH WAP for damages sustained by ADOH WAP by virtue of any reimbursement to the sub-grantee for the purpose of set-off until such time as the exact amount of damages due ADOH WAP is determined.
- If the sub-grantee is willing to relinquish a portion of the areas that they serve, the sub-grantee must give at least ninety (90) days written notice prior to the end of the program year to ADOH WAP signifying the effective date thereof. In such event, ADOH WAP will notify the other sub-grantees (CAAs, and other public and nonprofit entities) for the opportunity to manage the Weatherization Assistance Program in the said service areas. Interested sub-grantees must submit a plan of action and budget to manage the service areas up for award to ADOH WAP within thirty (30) days after notice. Potential sub-grantees must show experience and performance in weatherization activities, experience in assisting low-income persons in the area to be served, and capacity to undertake a timely and effective weatherization program. Upon selection, ADOH WAP will hold a public hearing to identify the

sub-grantee(s) and amend the State Plan. Failure to relinquish prior to the ninety (90) day deadline will result in the sub-grantee having to maintain the contract for the remainder of current program year and will automatically make them a sub-grantee of the next program year.

11.6 Training and Technical Assistance

T&TA activities are intended to maintain or increase the efficiency, quality and effectiveness of the Weatherization Program at all levels. Such activities shall be designed to maximize energy savings, minimize production costs, improve program management, crew and contractor quality of work, and reduce the potential for waste, fraud, abuse and mismanagement. ADOH WAP assesses the training needs of its sub-grantees through monitoring visits and state meetings.

11.6.1 Methods Used to Provide Training

- Formal classroom
- Field training
- Hands-on training
- Laboratory
- Certification Training
- Continuation Education Units (online, classroom, conferences)

11.6.2 Description of Training Activities to be undertaken:

ADOH WAP formal training is carried out at the FSL South West Building Science Training Center (SWBCTC), which is operated by FSL, a non-profit organization. The SWBSTC is one of the 15 U.S. Department of Energy “Legacy” weatherization training facilities in the country. The facility provides classroom and onsite laboratory based trainings with a specific emphasis on Weatherization activities and building knowledge, skills and abilities to perform work in the weatherization program.

ADOH WAP requires that the sub-grantee and its contractors participate in weatherization related trainings that build or enhance their knowledge, skills and abilities to provide weatherization services/energy efficiency retrofits in accordance with the 10 CFR, Part 440 and guidelines set out by the U.S. Department of Energy for the Weatherization Assistance Program.

Current SWBSTC course offerings include:

- WAP Boot camp – This camp combines Energy 101, Pressure Diagnostic 101, General Thermal Performance, Residential Retrofit Application 101, and Combustion Safety course into a weeklong training course that will provide weatherization professionals with an introduction to energy principles, thermal performance, health and safety standards, LSW, auditing, pressure diagnostics, and field repair. This course provides a combination of classroom and hands-on instructions that will prepare candidates to perform the tasks required of weatherization technicians within the current Weatherization Program Guidelines.
- Energy 101
- Pressure Diagnostics 101
- Combustion Safety

- General Thermal Performance
- REM design
- WAP admin
- Lead RRP Certification
- BPI Certification for Building Analyst
- OSHA 10/30 Certifications
- Energy Auditor Certification
- Installer Certification
- Quality Control Inspector certification
- Success with Weatherization

Though SWBSTC offers these courses, training for OSHA, BPI and other necessary WAP training can be provide by any qualifying provider for the required certificates.

For details on SWBCTC and courses visit the SWBSTC website at: www.swbstc.org

Each sub-grantee will be required to maintain training records for its employees and contractors participating in the weatherization program. The training record will list all their training courses they have attended, certifications they possess and date of expiration of those certifications. This information is expected to be updated on an annual basis and provided ADOH WAP.

ADOH WAP will periodically review training performance of sub-grantees by way of sub-grantee self-assessment surveys, on-site monitoring and communication with SWBSTC on specific training deficiencies and needs.

11.6.3 Required Training

Mobile Homes

If your agency works on mobile homes or you have contractors that do, it is recommended that at least one person on the job site hold a Building Performance Institute Certification for Mobile Homes.

Crew Leader

- Renovation, Repair and Painting Rule (RRP)
- OSHA 30-hour training
- Building Performance Institute (BPI) Building Analyst Certification
- Success with Weatherization (Critical Details)
- WAP Boot Camp

Auditor and Inspectors

- Renovation, Repair and Painting Rule (RRP)
- OSHA 10-hour training
- Building Performance Institute (BPI) Building Analyst Certification
- Success with Weatherization (Critical Details)
- WAP Boot Camp

Quality Control Inspectors

- Renovation, Repair and Painting Rule (RRP)
- OSHA 30-hour training
- Building Performance Institute (BPI) Building Analyst Certification
- Success with Weatherization (Critical Details)
- WAP Boot Camp
- Quality Control Certification

11.6.4 Required Training - New Field Employees and/or Contractors**Within 6 months of Employment**

- WAP Boot Camp
- Renovation, Repair and Painting Rule (RRP)
- OSHA 10 or 30-hour training (Depending on position held)

Within 1 year of employment

- Combustion Safety
- Success with Weatherization (Critical Details)

11.6.5 Tier 1 Training

Tier 1 training requires all WAP workers, including contractors, to go through a comprehensive training for their specific occupation of work, i.e. Auditor, Crew Chief, and Installer, which follows a curriculum that is in line with the Job Task Analysis (JTA) for their occupation. This training will be required to be taken at a facility with a DOE approved accredited training program for the JTA being taught.

Tier 1 training will be based on an annual training schedule for each JTA: Auditor, Crew Chief and Installer. Starting in Program Year 2015, the auditors must take the required training first. The training will be broken down by quarters.

Each quarter of the year the Auditor must attend two or three days of classes in line with the Auditor JTA. By the end of the year they will have completed the entire program and will be tested to make sure they have an understanding of the auditor position and its requirements. Upon completion of this class the WAP auditor will receive a state certificate for WAP auditor that will be effective for two years.

The Crew Chief and Installer must complete the same cycle of training as the auditor. Upon completion, the Crew Chief and Installer will receive a state certificate for WAP that will be effective for three years.

11.6.6 Tier 2 Training

Unlike Tier 1 training Tier 2 training does not require an accredited program. Tier 2 training is made up of field training and classroom training. Tier 2 is not a scheduled training. Rather, the training will be done when concerns arise during a monitoring visit. If there are

consistent issues, the sub-grantees must send workers to training that will address the issues.

Arizona WAP provides sub-grantees with T&TA funding to support attendance and participation at weatherization training events such as the DOE National Weatherization Conference and Energy Out West Weatherization Conference, which is also considered Tier 2 training. It is expected that essential program personnel attend these conferences to stay current with new regulations, processes and technologies. Arizona WAP is aware that some sub-grantees might have travel restrictions due to budget constraints. It should be noted that funds to pay for sub-grantee travel are provided as part of the Weatherization grant award and proper usage of these funds will be closely monitored by Arizona WAP.

Attendance at state-sponsored training may be required based on the importance of the topic and information to help correct program deficiencies or to ensure competence in specific areas. In such cases, sub-grantee and delegate attendance will be required as a matter of program compliance.

11.6.7 Contractor Training

Training of contractors is an allowable cost through T&TA funds, though any costs associated with training contractors shall be preceded with a retention agreement in exchange for the training. Reimbursement of labor, mileage, meals and lodging costs for contractors attending trainings is **not allowable**. Sub-grantees shall consider whether the term of the retention agreement aligns with the cost of training provided.

Whenever possible, the term of a retention agreement shall coincide with the one-year contract (between the Agency and the Contractor) or one-year renewal period. Otherwise, the retention agreement shall be for the duration of the contract from the time the training is provided, not to exceed one year. Training, but not certification as a Lead or Asbestos Company or maintenance of any certifications, may be provided to subcontractors meeting retention requirements. Note that the retention agreement requirement does not apply to Grantee or contractor orientation sessions or when grantees provide instruction to contractors on improving technique as needed.

11.6.8 Client Education

Client education activities are encouraged. Sub-grantees have been trained on client education techniques and opportunities. This training is reinforced during field monitoring visits as the monitor is trained to speak with clients about various energy saving (and some non-energy savings) steps they can take such as; changing filters once a month, using compact fluorescent lights, responsible management of their thermostats, water heater temperature usage and settings, combustion appliance safety, moisture control, and lead safety. Sub-grantees are required to distribute the lead booklet, "Renovate Right" (when potential for hazard exists), and mold and moisture awareness, pamphlets "A Brief Guide to Mold, Moisture, and Your Home" to clients prior to weatherization. Client education can occur at different times throughout the process and can include distribution of client educational material at the time of application as well as one-on-one during and post weatherization work by the energy auditor and/or field crew staff. Each agency must determine the best method of ensuring energy education is performed. Sub-grantee must

have the client sign the Hazard Disclosure Form (See Chapter 12. Forms) acknowledging receipt of the lead, mold and radon materials. Additionally, sub-grantee should complete the Household Action Plan Form (See Chapter 12. Forms), have the client sign and provide a copy to the client. The Original signed formed should be retained in the Client's file. The Household Action Plan Form is available from the ADOH WAP website at: <https://housing.az.gov/general-public/weatherization-assistance-program>.

Chapter 12. Forms

12.1 Client Rights and Responsibilities



Clients Rights & Responsibilities Form

Weatherization services help homeowners and renters reduce energy consumption while increasing comfort in their homes by helping keep them cooler in summer and warmer in the winter. Addressing weatherization problems can make home environments healthier and safer. The services provided by the weatherization agency are guaranteed based on federal consumer protection laws.

The Right to Safety:

- Clients have a right to be protected from unsafe products.
- In 1972, The Consumers Products Safety Commission was created by Congress to "protect the public from unreasonable risks of injury from consumer products".
- You have the right to request Material Safety Data Sheets (MSDS) from the agency or installer.
- Clients of the program have the right to ask if someone seeking entrance to their home is carrying a concealed firearm or other weapon, and have the right to refuse entry to an individual carrying a weapon

The Right to be Informed:

- Clients have the right to know exactly what is being purchased, the terms of the sale and guarantees, and the risks that might accompany the use of the product.
- There is no cost to income-eligible customers for the weatherization services provided.
- Clients will be provided a detailed work agreement, prior to any weatherization measures being installed.
- When applicable, owners of rental property will be informed of the estimated cost of weatherization and the portion that they are responsible for. The owner of the rental property must make full payment for the estimated cost prior to commencement of the weatherization work. When all work is completed, the cost to the owner will be recalculated based on actual costs. Underpayment must be made by the owner to the weatherization agency; overpayment will be reimbursed to the rental property owner.

Warranty Information:

All non-appliance weatherization work will be guaranteed by the weatherization agency or their contractor(s) for a period of one year from the date of final inspection. Appliances, including but not limited to water heaters, furnaces, refrigerators, and freezers will be guaranteed for one year from the date of installation. Manufacturer warranties that extend beyond one year will begin concurrent with the one year warranty. Manufacturer warranty service beyond the one-year limitation must be completed through contact with the manufacturer or the manufacturer authorized dealer or service center. The initial one-year warranty will be serviced through the weatherization agency or designated subcontractor. You should receive contact information from the subcontractor for warranty service.

Your weatherization agency, can be contacted at: .

Your initial contact regarding inquiries or complaints should be with the weatherization agency at the agency contact information listed above. If your inquiry or complaint is not resolved by the agency, call: The Arizona Department of Housing at 602-771-1084.

FORM INSTRUCTIONS:

1. This form is mandatory and must provided to every client.
2. Be sure that all blanks are filled in with your agency information.

12.2 Training and Technical Assistance



Training and Technical Assistance Form

Requirements/ Notices:

1. This waiver must be filled out and submitted with financial reports for **EVERY** month that there is Training and Technical Assistance (T&TA) Funds spent and reimbursement is being requested, no matter how much.
2. *If the dollar amount to be spent for T&TA will be \$500.00 or more, **PRIOR APPROVAL** by The Department of Housing Weatherization Assistance Program (ADOH WAP) is required. Then resubmit with reimbursement request.

Sub-grantee submitting form:

Justification for Expenditure:

*** IF \$500.00 or MORE:**

Name, location and date of event/conference requesting to attend:

Add/ Delete	Employee Name:	Employee Job Title:	Relationship with weatherization
+			
-			

Estimated Cost Breakdown (Per Person)	Estimated Cost:	Actual Cost:
Conference Fee:	\$0.00	\$0.00
Air Fare:	\$0.00	\$0.00
Lodging:	\$0.00	\$0.00
Meal Reimbursements:	\$0.00	\$0.00
Miscellaneous Expenses:	\$0.00	\$0.00
Totals:	\$0.00	\$0.00

of People Attending:

Total Estimated Cost:

Total Actual Cost:

Funds Requested to be used:

DOE

DOE Amount:

LIHEAP

LIHEAP Amount:

Notes (include description of miscellaneous expenses):

Requestor Name: Date:

ADOH WAP Approval: Date:

12.3 No Previous Weatherization Checklist



No Previous Weatherization Checklist

has performed the following activities to verify that the home/building located at :

 has not received weatherization services after **September 30, 1994** to the best of their knowledge.

Acknowledgment

Please select ALL that apply:

- Cross checked address against Arizona Weatherization Database (valid back to January 2004) **AND**
- Cross checked address against sub-grantee/ sub-recipient database and/or files
- Performed visual inspection of home/building and no evidence of prior weatherization was found
- Other: Please describe

Signature of sub-grantee representative Date:

FORM INSTRUCTIONS:
 1. This form is mandatory and must be kept in every client file.
 2. Complete entirely with date and signature.

12.4 Landlord/Tenant Agreement



Landlord/Tenant Agreement

Weatherization Assistance Program Name of Sub-grantee that is providing funding:

This agreement, made and entered into this day of 20, by and between:
, hereinafter referred to as "Landlord" and ,
 the party renting said dwelling, hereinafter referred to as "Tenant", and funding provider hereinafter referred to as sub-grantee.

WHEREAS, Landlord is the owner of a dwelling that is rented to potentially eligible person(s), hereinafter referred to as "Tenant(s)", under such a program and said dwelling may be determined by sub-grantee to be in need of weatherization services as an improvement to the dwelling being rented to Tenant for the benefit of Tenant and for the long-term improvement of the dwelling; and;

WHEREAS, Tenant desires to have the rented premises, location described below, receive the benefits of the Weatherization Assistance Program (WAP) and has filled out the necessary application(s) for such services:

IT IS AGREED BY AND BETWEEN THE PARTIES AS FOLLOWS:

- 1. LOCATION:** Landlord is the owner of a rented dwelling located (Physical Address)
- 2. TENANT:** Tenant is currently renting said dwelling from Landlord for a monthly rental amount of \$ per month.
- 3. SERVICE PROVIDED:** If eligible for service, Tenant and Landlord agree to allow sub-grantee to weatherize the property, if the dwelling meets criteria of the WAP. The weatherization services may include but are not limited to the following:
 - a. Insulate, per WAP guidelines.
 - b. Reduce and/or stop air infiltration around windows and doors.
 - c. Repair and/or replace evaporative coolers.
- 4. PERFORMANCE:** The services provided under this agreement shall be performed on a date that is mutually agreeable to all parties, including tenant.
- 5. COVENANT NOT TO INCREASE:** In consideration of the weatherization services performed on this dwelling, Landlord covenants not to raise Tenant's rent for a ONE (1) YEAR period following the date of this agreement.
- 6. COVENANT NOT TO EVICT:** In consideration of the aforementioned services provided, Landlord covenants not to evict or remove Tenant for a ONE (1) YEAR period following the date of this agreement, so long as the Tenant complies with all the ongoing duties and obligations owed to the Landlord.
- 7. ASSIGNMENT:** The aforementioned covenants bind the Landlord, his/her assigns and successors for the stated period of time.
- 8. AUTHORIZATION TO OBTAIN DATA:** It is further agreed by the parties, including Tenant, that the The Department of Energy, Arizona Department of Housing, Sub-grantee or its Delegate Agent is granted permission to inspect or is authorized to obtain utilities billing records for the dwelling in question for not more than eighteen (18) months before and eighteen (18) months after subsequent to the performance of weatherization services for the sole purpose of obtaining data for evaluation of the energy conservation effectiveness of the work done. This authorization directs the pertinent utility and fuel companies to make such records available to the Sub-grantee or its Delegate Agency.

*For hearing/grievance process, please work with the sub-grantee. If the issues is not resolved contact:
 The Arizona Department of Housing at 1110 W. Washington Street, Suite 310, Attention: Weatherization Program, Phoenix, AZ 85007.*

Per our signatures below, we are in agreement with all of the above:

<input type="text"/>	<input type="text"/>
Landlord Signature:	Date:
<input type="text"/>	<input type="text"/>
Tenant Signature:	Date:

12.5 Progress Form



Arizona Department of Housing Weatherization Assistance Program

PROGRESS FORM

Sub-grantee: Job#: Client's Name:
 Address: City: State: Zip Code:

Intake

I, the client swear or affirm, under penalty of perjury, that the following document(s) were presented to prove U.S. citizenship, U.S. national, or alien status are true. Client's Initials: Date:

Documents Presented:

Clients Rights & Responsibilities

A copy of the Weatherization Client Rights & Responsibilities was given to me. Client's Initials: Date:

Initial Audit Verification

I, the client, verify that the repairs detailed in the scope of work are needed for my home and the sub-grantee, outlined above may proceed with these repairs, as funds and manpower are available. Client's Initials: Date:

Client Agreement

I, the client, understand that by agreeing to this work being done on my residence that there will be visits to my home to check quality of work being done. There will also be visits to my home after completion of work from funders of the project and/or representatives of those funders. I will allow these individuals into my home, within a reasonable time frame. I understand that by refusing these required checks on work completed, funders are unable to verify that funds were spent appropriately and may require that I pay back funds used on my residence. Client's Signature: Date:

Scope of Work Verification

I, the client, have reviewed and approved the scope of work on a separate form and the process has been explained entirely. Client's Initials: Date:

Notice to Proceed

I, the client, have signed off on the Notice to proceed and have had the opportunity to ask any questions that I have. Client's Initials: Date:

Completion of Work Verification

I, the client, verify that the sub-grantee (listed above) has completed all repairs on my home. All work outlined in the scope of work has been completed and explained. All, if any exceptions are listed and explained below. Client's Initials: Date:

Warranties

I, the client, have been provided any and all warranties on products installed for which I am entitled to. Client's Initials: Date:

All Work Complete and Clean

I, the client, attest that all items above have been completed and initialed and dated as shown. I also verify that the work space was left clean and acceptable.

Client Signature: Date:

I, representative of the sub-grantee, attest that all items above have been completed as of today. I also verify that the work space was left clean and acceptable. All questions and concerns had by the client, if any, have been addressed.

Sub-grantee Representative Signature: Date:

FORM INSTRUCTIONS:

1. This form is mandatory and must be present in every client file.
2. Client must review and initial each section as the process progresses and sign the client agreement and work completed sections.
3. Sub-grantee must sign and date work completed section and verify that all dates and initials are present and complete.

12.6 Residential Diagnostic Evaluation



Arizona Department of Housing Weatherization Program

RESIDENTIAL DIAGNOSTIC EVALUATION

Client Name: Case Number:
 Client Address:
 City: State: Zip Code: Does Client OWN the Property that will receive weatherization?
 Yes No
 Initial Auditor: Final Auditor: Prepared for:
 Initial Audit Date: Report Date: Job Completed: Yes No
 Estimator: Agency Inspector: Crew Foreman:

Client Information & House Characteristics

Housing/Project Type:
Primary Fuel Type (check all that apply):
 Natural Gas
 Propane
 Electric
 Oil
 Other:
Utility Provider (check all that apply):
 APS
 SRP
 SWG
 TEP
 UniSource Gas
 UniSource Electric
 Other:

of Bedrooms: **# of Floors:** **# of Corners:**
Foundation: **Roof Type:** **Age of Home:**
Number in Household: **Year of Construction:**
 Conditioned Area: (ft²) X Avg. Ceiling Height: = Volume: (ft³)

HVAC Unit Information (check all that apply):
 Evap Cooler
 Central Air
 Forced Air Furnace
 Window AC
 Wall Furnace
 Heat Pump

of Units:

Unit(s) Location:

- Roof
- Attic
- Ground
- Closet

Combustion Appliances (check all that apply):

- Furnace
- Water Heater
- Dryer
- Fireplace
- Other:

Window in Kitchen:

- Yes
- No

Range hood ducted to the outside:

- Yes
- No

Exhaust CFM:

Number of Bathrooms:

[CLICK HERE:](#)
to enter bathroom Data

Must input bathroom number, prior to clicking button.
Clicking button will allow entry for multiple bathrooms.

Bathroom Location:	Window in Bathroom:	Exhaust Fan Ducted to Outside:	Exhaust CFM:
<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="text"/>

Parking:

- Carport
- Garage:

Visual Inspection

Front Faces: Wind: Outside Temperature (degrees):

Construction Type:

Insulated:

- Yes
- No

Type of Insulation:

Wall Thickness:

- 2x4
- 2x6
- Other

Estimated R-Value:

Refrigerator:

Type: Year: Size: (ft³) Model #

Time Metered: kWh used during test: Annual kWh:

Water Heater:

Year: Size: g Run Hours:

Recirc. Pump:
 Yes No

Location: Fuel:

Range:

Year: Fuel: Make: Model:

Existing Smoke/CO Detectors:

of smoke detectors: Type of smoke detectors: # of smoke detectors needed:

of CO detectors: Type of CO detectors: # of CO detectors needed:

Interior Lighting: CFLs: LEDs: Incandescent: Other:

Exterior Lighting: CFLs: LEDs: Incandescent: Other:

Number of Windows:

CLICK HERE:
to enter Window Data

Must input window number, prior to clicking button.
Clicking button will allow entry for multiple windows.

*(or # of walls w/ windows)

*To enter the data of all windows on one wall together, put the number of walls that have windows in the box above and enter the actual # of windows here:

*To enter information for each window separately, put the total # of windows in the box above & click the box and the table will provide a separate line for each window.

Window Location:	Glass Type:	Frame Type:	Window Measurement (WxH)/ Notes:	Shade Provided & Need for Sunscreens (SS):
<input type="text" value="Choose One"/>	<input type="text" value="Choose One"/>	<input type="text" value="Choose One"/>	<input type="text"/>	<input type="text"/>

Total SQFT of Sunscreens (SS) needed for Windows:

Number of Exterior Doors:

CLICK HERE:
to enter door data

Must input number of doors, prior to clicking button.
Clicking button will allow entry for multiple doors.

Orientation	Type of Door:	Square Footage of Glass in door	Shade Provided & Need for Sunscreens (SS)
<input type="text" value="Choose One"/>	<input type="text" value="Choose One"/>	<input type="text"/>	<input type="text"/>

Weather-strip was needed for doors. If yes, which door(s):

Attic: Yes No Flat Roof

Access Location: Ins. Type: Average Depth: Est. Effective R-Value:

Attic Floor Insulation Alignment: Good Average Poor

Knee Walls: Yes No Sq.Ft: Misaligned: Yes No Strapped in Place: Yes No

Open Drop Soffits: Yes No Sq.Ft: Cap: Yes No Fill: Yes No

Attic Hatch: Yes No Hatch in Conditioned Space: Yes No Existing Attic Hatch Insulated: Yes No N/A

Existing Insulation Dam Present: Yes No Infiltration Repairs: Wet Walls: Yes No Can Lights: Yes No Qty:

Open Wall Cavities: Yes No Lineal Ft: Location:

Main HVAC System

System #1:

Air Handler Location: Static (IWC) S R Manufacturer:

Model #: Year: Age: Seer: AFUE: HSPF:

(from serial #)

Packaged Unit Split System Forced Air Furnaces

Gas Pack Heat Pump Central AC/ Gas Furnace Heat Pump

Cool BTU's k Tons: Heat BTU's k

Static Pressure: Pa

Serial #:

If Split System: Condenser Model: Serial: Manufacturer:

Notes:

Is there a 2nd system? Yes No

Other (if applicable):

Window A/C: Yes No Qty: Total kBtu: Condition: Good Average Poor

Evaporative Cooler: Yes No Location: CFM: Condition: Good Average Poor

Notes:

Room Pressure Test

	Initial Room Pressures:	Audited Room Pressures:	Notes:
Room: <input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa	<input type="text"/>
Room: <input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa	
Room: <input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa	
Room: <input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa	
Room: <input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa	

CAZ Test

	Initial:	Audited:	Notes:
Appliance: <input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa	<input type="text"/>
Appliance: <input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa	
Appliance: <input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa	

Zonal Pressures

Initial: Audited: Notes:

Supply: Choose One Pa Pa

Return: Choose One Pa Pa

Blower Door Test

Initial Whole House CFM50	Flow Ring <input type="text"/>	House Pressure <input type="text"/> Pa	Fan Pressure <input type="text"/> Pa	Flow (CFM50) <input type="text"/>	CFM50 Reduction: <input type="text"/>
Audited Whole House CFM50	Flow Ring <input type="text"/>	House Pressure <input type="text"/> Pa	Fan Pressure <input type="text"/> Pa	Flow (CFM50) <input type="text"/>	

Notes:

Pressure Pan Test

Register Location:	Initial Pressure:	Audited Pressure:	Register Location:	Initial Pressure:	Audited Pressure:	Register Location:	Initial Pressure:	Audited Pressure:
1.	<input type="text"/>	<input type="text"/>	6.	<input type="text"/>	<input type="text"/>	11.	<input type="text"/>	<input type="text"/>
2.	<input type="text"/>	<input type="text"/>	7.	<input type="text"/>	<input type="text"/>	12.	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>	8.	<input type="text"/>	<input type="text"/>	13.	<input type="text"/>	<input type="text"/>
4.	<input type="text"/>	<input type="text"/>	9.	<input type="text"/>	<input type="text"/>	14.	<input type="text"/>	<input type="text"/>
5.	<input type="text"/>	<input type="text"/>	10.	<input type="text"/>	<input type="text"/>	15.	<input type="text"/>	<input type="text"/>

Estimated Duct Leakage at Initial Audit:

Notes:

Combustion Safety

Indoor Ambient Air: Maximum allowable levels 9PPM

Furnace or Space Heater Room:	Initial Reading: <input type="text"/> PPM	Final Reading: <input type="text"/> PPM	Undiluted Flue: Maximum allowable level is 100 PPM at steady state of appliance operation.	Reported: <input type="text"/> PPM	Final Reading: <input type="text"/> PPM
Water Heater Room:	<input type="text"/> PPM	<input type="text"/> PPM	Furnace or Space Heater Room:	<input type="text"/> PPM	<input type="text"/> PPM
In Kitchen (after 5 minutes):	<input type="text"/> PPM	<input type="text"/> PPM	Water Heater Room:	<input type="text"/> PPM	<input type="text"/> PPM
Near Supply Air Registers:	<input type="text"/> PPM	<input type="text"/> PPM	Oven Vent:	<input type="text"/> PPM	<input type="text"/> PPM
Other: <input type="text"/>	<input type="text"/> PPM	<input type="text"/> PPM	Other: <input type="text"/>	<input type="text"/> PPM	<input type="text"/> PPM

Gas Concerns:

None Found Problems Found:

Check each heat exchanger for cracks with a mirror and strong light:

None Found Problems Found:

(Outside Temperature: (typically) /40 - 2.75 = Minimum Draft

Observe burner flame pattern and color. Note presence of large yellow or soft lazy flame or other abnormalities:

None Found Problems Found:

When air handler blower comes on, is there a change in the flame pattern or color?

None Found Problems Found:

Furnace/Space Heater:

<p>Initial:</p> <p>Input Kbtu/hr: <input type="text"/> Location: <input type="text"/></p> <p>Source and amount of combustion air: <input type="checkbox"/> Interior <input type="checkbox"/> Exterior</p> <p>Cubic Ft: <input type="text"/> High: <input type="text"/> Low: <input type="text"/></p>	<p>Audited:</p> <p>Input Kbtu/hr: <input type="text"/> Location: <input type="text"/></p> <p>Source and amount of combustion air: <input type="checkbox"/> Interior <input type="checkbox"/> Exterior</p> <p>Cubic Ft: <input type="text"/> High: <input type="text"/> Low: <input type="text"/></p>
---	---

Water Heater:

<p>Initial:</p> <p>Input Kbtu/hr: <input type="text"/> Location: <input type="text"/></p> <p>Source and amount of combustion air: <input type="checkbox"/> Interior <input type="checkbox"/> Exterior</p> <p>Cubic Ft: <input type="text"/> High: <input type="text"/> Low: <input type="text"/></p>	<p>Audited:</p> <p>Input Kbtu/hr: <input type="text"/> Location: <input type="text"/></p> <p>Source and amount of combustion air: <input type="checkbox"/> Interior <input type="checkbox"/> Exterior</p> <p>Cubic Ft: <input type="text"/> High: <input type="text"/> Low: <input type="text"/></p>
---	---

Flue Spillage Testing

<p>Initial:</p> <p>Furnace: <input type="radio"/> Pass <input type="radio"/> Fail</p> <p>Water Heater: <input type="radio"/> Pass <input type="radio"/> Fail</p> <p>Other: <input type="text"/> <input type="radio"/> Pass <input type="radio"/> Fail</p> <p style="text-align: right; margin-right: 20px;">60 Seconds</p>	<p>Audited:</p> <p>Furnace: <input type="radio"/> Pass <input type="radio"/> Fail</p> <p>Water Heater: <input type="radio"/> Pass <input type="radio"/> Fail</p> <p>Other: <input type="text"/> <input type="radio"/> Pass <input type="radio"/> Fail</p> <p style="text-align: right; margin-right: 20px;">60 Seconds</p>
---	---

Estimated Cost:

REM Priority List

Add/Delete	Recommended Repairs Listed in order of SIR	Notes: (All items must be installed in accordance with DOE, ASHRAE 62.2, the SWS and local code).	Estimated Cost
+ -	Choose One		\$0.00
+ -	Choose One		\$0.00
+ -	Choose One		\$0.00
Totals:			\$0.00

Initial Photos:

Add/Delete	Description:	Photo:	Description:	Photo:
+ -				

NOTES:

Confirmation of Compliance/Corrective Action Report

On: , performed a final Weatherization evaluation on the above mentioned residence in accordance with the scope of work provided by .

The following items were verified and no concerns were found:

The following line items failed in accordance with the Standard Work Specifications, documented in the State Plan.

Final Photos:

Add/ Delete	Description:	Photo:	Description:	Photo:
<input type="button" value="+"/> <input type="button" value="-"/>				

Notes/Comments:

Footprint of home (Click in box to insert from file):

FORM INSTRUCTIONS:

1. This form is NOT mandatory. However, all information outlined on this form or this completed form must be in every client file.
2. There are objects that are not visible until certain other items are checked and visibility is necessary. Please be sure to fill out each section in its entirety to ensure that all necessary items appear and are completed.
3. Save all photos in lowest resolution possible, prior to uploading them to this form. Otherwise the form may become too large to share and/or save as needed.
4. Be sure that all dates are entered as well as who performed each process.

12.7 Field Waiver



Field Waiver
Prior Approval by the Office of Grants and Federal Resources (GFR) Field Representative

Name of Weatherization Sub-grantee:

Client's Name: Address:

This waiver must be approved by GFR staff PRIOR to the commencement of ANY WORK and is hereby authorized for:

- Replacement of heating or cooling equipment not indicated by audit. REM Design (.blg) file to be submitted with waiver form
- Site specific REM Design for dwellings. (For use when not using priority lists).
- Evaporative cooling switched to central air conditioning (requires a doctor's note & must be charged to health and safety budget).
- Switching of any fuel source.
- Change in order of single family priority list.
- Change in order of mobile home priority list.
- Other/Notes: (Click box for text section)

Total Cost:

Funding Source:

- DOE
 TEP
 SWG
 UNS E
 SRP
 UNS G
 LIHEAP

Name of Requester: Date:

****Any measure that does not have SIR of 1 or greater, DOE funds may not be used.***

GFR WAP Representative: _____ Date: _____

GFR Notes:

FORM INSTRUCTIONS:

1. This form is mandatory for all jobs that require a REM and must be signed by ADOH WAP, prior to work being performed.
2. A signed waiver must be in every applicable client file followed by REM Design paperwork.

12.8 Refusal of Services, Indemnification and Waiver of Claims



**Arizona Department of Housing Weatherization Assistance Program
REFUSAL FOR SERVICES, INDEMNIFICATION & WAIVER OF CLAIMS**

Sub-grantee: Client Name: Client ID#: Date:

Client Address: City: , AZ Zip:

Detailed explanation of what is being refused by the client and why:

I, the client (named above) do not want the work listed above to be completed on my home. I understand that by refusing any energy conservation or health and safety measure that I may be lowering the amount of energy saved in my home. I also understand that I may be putting myself and/or others in my home at risk of potential safety problems.

I, the client (named above) understand that by refusing the work listed above it may affect my overall cost effectiveness of the weatherization work.

I, the client (named above) understand that by refusing this work, it may result in no work being completed on my home.

Indemnification and Hold Harmless:
 Recipient shall indemnify, defend, and save harmless ADOH, the State of Arizona and its agents, officials, and employees as well as the sub-grantee named above from any and all claims, demands, suits, actions, proceedings, loss, costs, and damages of every kind and description, including any attorney's fees and litigation expenses, which may be brought or made against or incurred by the State on account of loss of or damage to any property or for injuries to or death of any person, caused by, arising out of or contributed to, in whole or in part, by reason of any alleged act, omission, professional error, fault, mistake, or negligence of Recipient, its employees, agents, representatives, or subcontractors, their employees, agents, or representatives in connection with or incidental to the performance of this Agreement, or arising out of Workmen's Compensation claims, Unemployment Compensation claims, or Unemployment Disability Compensation claims of employees of Recipient or its subcontractors or claims under similar such laws or obligations. Recipient's obligation under this section shall not extend to any liability caused by the sole negligence of ADOH, the State of Arizona, or its employees.

Client Signature (required)

Date

Sub-grantee Representative Signature (required)

Date

- FORM INSTRUCTIONS:**
1. This form is mandatory and must signed and kept in any client file where work is being refused.
 2. This form must be signed by client and sub-grantee representative.
 3. Provide a copy of the signed document to the client.

12.9 QCI Checklist



Arizona Department of Housing Weatherization Assistance Program

Print Form

QUALITY CONTROL INSPECTION (QCI) CHECKLIST

Job Name: Date:
 Sub-Grantee: ADOH WAP Database #:

Part 1: Client File

Client File Checklist: Check which of the following items are included in the client file

- | | |
|---|---|
| 1.1 <input type="checkbox"/> Client file checklist | 1.17 <input type="checkbox"/> Labor Cost Breakdown |
| 1.2 <input type="checkbox"/> Eligibility determination and client information | 1.18 <input type="checkbox"/> Inventory Sheets |
| 1.3 <input type="checkbox"/> Proof of ownership or signed rental agreement | 1.19 <input type="checkbox"/> Invoices/purchase orders for all material installed |
| 1.4 <input type="checkbox"/> Record of Client Communication | 1.20 <input type="checkbox"/> Vendor's bids and any other documentation necessary for repair or replacements |
| 1.5 <input type="checkbox"/> Client sign-off of scope of work | 1.21 <input type="checkbox"/> Low-cost/no-cost checklist |
| 1.6 <input type="checkbox"/> Client sign-off of work completed | 1.22 <input type="checkbox"/> No previous weatherization checklist |
| 1.7 <input type="checkbox"/> State Historic Preservation (if applicable) | 1.23 <input type="checkbox"/> Manual J; D; S |
| 1.8 <input type="checkbox"/> Assessment/Audit (documentation of how the unit was audited) | 1.24 <input type="checkbox"/> Confirmation that occupants health conditions were checked during initial application and again during audit |
| 1.9 <input type="checkbox"/> Priority checklist or copy of REM Design | 1.25 <input type="checkbox"/> Refrigerator protocol page (if applicable) |
| 1.10 <input type="checkbox"/> Work agreement/notice to proceed | 1.26 <input type="checkbox"/> Prior approval waiver (if applicable) |
| 1.11 <input type="checkbox"/> Final Inspection Checklist | 1.27 <input type="checkbox"/> Sub-grantee statement of completion |
| 1.12 <input type="checkbox"/> Permits (if applicable) | 1.28 <input type="checkbox"/> Follow-up documented (if applicable) |
| 1.13 <input type="checkbox"/> Lead Paint Notification | 1.29 <input type="checkbox"/> On-site work assessment form signed and dated by final inspector and client satisfaction section signed and dated |
| 1.14 <input type="checkbox"/> Lead Safe Weatherization Documentation (if applicable) | 1.30 <input type="checkbox"/> Utility release form |
| 1.15 <input type="checkbox"/> Certified Renovator Documentation (if applicable) | |
| 1.16 <input type="checkbox"/> Mold/Moisture Assessment | |

Comments on 1.1-1.30 (for any unchecked items above, explain here):

Client File Review

- 1.31. Does the initial audit justify the scope of work?
 Yes
 No
- 1.32. Do the invoices match up to the scope of work?
 Yes
 No
- 1.33. Are the cost of measures within WAP guidelines?
 Yes
 No
- 1.34. Are there pre and post photos of all appliances replaced (if applicable)?
 Yes
 No
- 1.35. Is there pre and post documentation of the serial and model #'s of appliances?
 Yes
 No

N/A

1.36. Is the insulation certificate present in the client file (if applicable)?

Yes

No

1.37. Is there documentation showing payments/reimbursements?

Yes

No

1.38A. Are there any client complaints on file?

Yes

No

1.38B. If yes, were the complaints handled? Note in comment section.

Yes

No

1.39. Is the combustion safety diagnostic testing results within WAP guidelines?

Yes

No

1.40. Does invoice(s) match the information in state database on work performed page?

Yes

No

1.41. Are there any instances where work completed does not match funding requirements? (Note in comment section)

Yes

No

1.42. Does homeowner meet income eligibility requirements?

Yes

No

Comments on #1.31-#1.42(If 'No' to any of the above, explain here):

Part 2: In-Progress Inspections:

Was in-progress inspection completed? (not required)

NOTE: In-progress questions are hidden until 'Yes' is checked.

Yes

No

Part 3: In Field - Visual/Sensory Inspections

Final Site Inspection

3.1. Perform exterior and interior walk around of home: Does the home appear to qualify for weatherization per WAP standards?

Yes

No

3.2. Were there any discrepancies seen during visit compared to client file?

Yes

No

3.3. Verify installed measures: A. Were measures done to field guide standards?

Yes

No

3.3B. Were the measures allowable through weatherization?

Yes

No

3.4. Were there any missed opportunities/ audit discrepancies?

- Yes
- No

3.5. Was there any damage done by contractors/workers?

- Yes
- No

3.6. Was any non-conformance or exceptional work documented with camera?

- Yes
- No
- N/A

3.7. Were any concerns found during the walk around? (If so, detail in notes)

- Yes
- No

3.8. Generate a punch list off of failed measures and concerns in note section.

Comments on #3.1-#3.8 (If 'No' to any of the above, explain here):

In Field (Post-Work Diagnostic Inspections): Conduct Health and Safety Tests

3.9. Perform combustion tests (heating systems, domestic water heater, ovens, stoves, fireplaces, etc.):

- N/A

Indoor Ambient Air:

Furnace or Space Heater Room:

Reported:

PPM

QCI Testing:

PPM

Water Heater Room:

PPM

PPM

In Kitchen (after 5 minutes):

PPM

PPM

Near Supply Air Registers:

PPM

PPM

Other:

PPM

PPM

Undiluted Flue:

Furnace or Space Heater Room:

Reported:

PPM

QCI Testing:

PPM

Water Heater Room:

PPM

PPM

Oven Vent:

PPM

PPM

Other:

PPM

PPM

3.10. Conduct visual moisture evaluations (Note concerns, if any):

3.11. Conduct visual electrical safety tests (Note concerns, if any):

Comments on #3.9-#3.11 (If 'No' to any of the above, explain here):

In Field: Conduct Diagnostic Tests

3.12. Perform blower door tests:

	Flow Ring	House Pressure	Fan Pressure	Flow (CFM50)
Final Reported Whole House	<input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa	<input type="text"/>
QCI Whole House	<input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa	<input type="text"/>

3.13. Perform pressure pan test:

Register Location:	Reported Pressure:	QCI Pressure:	Register Location:	Reported Pressure:	QCI Pressure:	Register Location:	Reported Pressure:	QCI Pressure:
1. <input type="text"/>	<input type="text"/>	<input type="text"/>	6. <input type="text"/>	<input type="text"/>	<input type="text"/>	11. <input type="text"/>	<input type="text"/>	<input type="text"/>
2. <input type="text"/>	<input type="text"/>	<input type="text"/>	7. <input type="text"/>	<input type="text"/>	<input type="text"/>	12. <input type="text"/>	<input type="text"/>	<input type="text"/>
3. <input type="text"/>	<input type="text"/>	<input type="text"/>	8. <input type="text"/>	<input type="text"/>	<input type="text"/>	13. <input type="text"/>	<input type="text"/>	<input type="text"/>
4. <input type="text"/>	<input type="text"/>	<input type="text"/>	9. <input type="text"/>	<input type="text"/>	<input type="text"/>	14. <input type="text"/>	<input type="text"/>	<input type="text"/>
5. <input type="text"/>	<input type="text"/>	<input type="text"/>	10. <input type="text"/>	<input type="text"/>	<input type="text"/>	15. <input type="text"/>	<input type="text"/>	<input type="text"/>

Notes:

3.14. Conduct zonal pressure tests:

Supply: Pa Reported: Pa QCI Testing: Pa

Return: Pa Pa Pa

3.15. Perform fan flow tests:

Location:	Reported CFM	Reported Pascals	Reported Door Used:	QCI CFM	QCI Pascals	QCI-Door Used:
<input type="text"/>	<input type="text"/> CFM	<input type="text"/> Pa	<input type="text"/>	<input type="text"/> CFM	<input type="text"/> Pa	<input type="text"/>
<input type="text"/>	<input type="text"/> CFM	<input type="text"/> Pa	<input type="text"/>	<input type="text"/> CFM	<input type="text"/> Pa	<input type="text"/>
<input type="text"/>	<input type="text"/> CFM	<input type="text"/> Pa	<input type="text"/>	<input type="text"/> CFM	<input type="text"/> Pa	<input type="text"/>

Notes:

3.16. Conduct CAZ Testing

Appliance:	Reported CAZ	QCI CAZ
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

3.17. Domestic water heater temperature Degrees

3.18. Room Pressure

Room:	Reported Room Pressure	QCI Room Pressure
<input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa
<input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa
<input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa
<input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa
<input type="text"/>	<input type="text"/> Pa	<input type="text"/> Pa

Comments on #3.12-#3.18 (If 'No' to any of the above, explain here):

In Field: Identify Work Problems

3.19. Review the results of all tests. Compare results against pre-test data. Were any discrepancies found?

- Yes
- No

3.20. Do the results meet field guide standards?

- Yes
- No

3.21. Were there any missed opportunities identified after diagnostic testing?

- Yes
- No

3.22. Were any deficiencies found during diagnostic testing that would require corrective actions?

- Yes
- No

3.23. Generate a punch list in note section of diagnostic results from above that did not meet WAP standards.

Comments on #3.19-#3.23 (If 'No' to any of the above, explain here):

Part 4: Client Satisfaction

Client Questionnaire

(Questions to ask the client concerning work performed)

4.1. Homeowner's Name:

4.2. Address:

4.3. Phone #:

4.4. Date of Information Gathered:

4.5. Overall Satisfaction of Work Performed:

4.6. Any Facial Expressions:

4.7. Were the workers courteous and friendly?

4.8. Did all workers clean up after themselves each day?

4.9. Did you hear any of the workers using foul language on the job?

4.10. Did the workers move anything out of the way from where it originally was before, without permission?

4.11. Did the crew leader call you in advance to inform you of the day and time that they would arrive on the job?

4.12. If the workers did not show up on a scheduled day, did someone call you in advance to let you know?

4.13. Did the workers ever block your driveway with their vehicle or park in your driveway, without permission?

4.14. Would you call this contractor back to do other work that is not connected in any way to the Weatherization Assistance Program?

4.15. Since the work has been completed, have you noticed a change in the comfort level of your home?

4.16. Since the work has been completed have you noticed any difference in your utility bills?

Comments on #4.1-4.16 (If 'No' to any of the above, explain here):

Part 5: Verify Separation of Work & Required Signatures

* The initial audit and QCI can be performed by the same entity, all other jobs performed must be completed by different individuals.

Initial Inspector:

5.1. Name of Initial Auditor:

5.2. Company of Initial Auditor:

5.3. Date of Initial Audit:

Crew Foreman

5.4. Name of Crew Foreman

5.5. Company of Crew Foreman

Final Inspector

5.6. Name of Final Inspector

5.7. Company of Final Inspector

5.8. Date of Final Inspection

QCI Inspector

5.9. Name of QCI Inspector

5.10. Company of QCI Inspector

5.11. Date of Final QCI Inspection

5.12. Signature of QCI Inspector

Any Further Comments:

FORM INSTRUCTIONS:

1. This form is mandatory and must be present every completed client file that had DOE funding used on the project.
2. There are objects that are not visible until certain other items are checked and visibility is necessary. Please be sure to fill out each section in it's entirety to ensure that all necessary items appear and are completed.
3. List both recorded final numbers and new QCI numbers for comparison.
4. Be sure that all dates are entered as well as who performed each process.

12.10 Client Health and Safety Evaluation- Client



Arizona Department of Housing Weatherization Assistance Program

CLIENT HEALTH & SAFETY EVALUATION FORM- For CLIENT

Date: Name of Weatherization Sub-grantee: AZ Job #:

Client Name: Address:

To be completed by the CLIENT. As the resident, please answer the following to the best of your ability:

Potential Health and Safety Risk	Yes	No	Describe Location/ Severity/ Comments: (Response Plan, Taking into consideration Occupant Health)
Health Concerns: Are there known conditions that could be aggravated by any of the materials that will be used (i.e. drywall, insulation, fiberglass, cellulose, duct mastic)?	<input type="checkbox"/>	<input type="checkbox"/>	
Biological Hazards: Are there any mold/moisture, sewage or other concerns present?	<input type="checkbox"/>	<input type="checkbox"/>	
Building Structure & Roofing Issues: Are there any structural problems, including walls, ceilings, floors & roof?	<input type="checkbox"/>	<input type="checkbox"/>	
Asbestos Risks: Do you know of or suspect the presence of asbestos (vermiculite insulation, pipe/furnace coverings, ceilings, walls, floors or exterior siding)?	<input type="checkbox"/>	<input type="checkbox"/>	
Drainage Issues: Have you experienced any drainage issues (pooled water, water damage, or other issues)?	<input type="checkbox"/>	<input type="checkbox"/>	
Electrical Issues: Are you experiencing any obvious electrical issues (exposed wires, outages, overloaded circuits or outlets)?	<input type="checkbox"/>	<input type="checkbox"/>	
Fire Hazards: Do you feel that there are any possible fire hazards in or around your home (chemical, electrical or other)?	<input type="checkbox"/>	<input type="checkbox"/>	
Injury Prevention Issues: Are there any hazards that we should be made aware to avoid injury to workers while in and around your home (broken stairs, fall hazards, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	
Lead-Based Paint: Is flaking or peeling paint visible around the home? If so, do you have any concerns about lead?	<input type="checkbox"/>	<input type="checkbox"/>	
Radon Gas: Were you provided with a copy of the EPA's consumer's guide to radon?	<input type="checkbox"/>	<input type="checkbox"/>	
Pest Control Issues: Are there any pests that workers should be aware of, in or around the home?	<input type="checkbox"/>	<input type="checkbox"/>	
Space Heaters: Do you have any space heaters or stand alone electric heaters, in use?	<input type="checkbox"/>	<input type="checkbox"/>	
Ventilation: Are you experiencing any ventilation issues in your home (example: Are your bathroom fans working effectively)?	<input type="checkbox"/>	<input type="checkbox"/>	
Other: Are there any other health, safety or specific issues that you would like to make us aware of prior to work beginning?	<input type="checkbox"/>	<input type="checkbox"/>	

Indemnification and Hold Harmless:
 Recipient shall indemnify, defend, and save harmless ADOH, the State of Arizona and its agents, officials, and employees as well as the sub-grantee named above from any and all claims, demands, suits, actions, proceedings, loss, costs, and damages of every kind and description, including any attorney's fees and litigation expenses, which may be brought or made against or incurred by the State on account of loss of or damage to any property or for injuries to or death of any person, caused by, arising out of or contributed to, in whole or in part, by reason of any alleged act, omission, professional error, fault, mistake, or negligence of Recipient, its employees, agents, representatives, or subcontractors, their employees, agents, or representatives in connection with or incidental to the performance of this Agreement, or arising out of Workmen's Compensation claims, Unemployment Compensation claims, or Unemployment Disability Compensation claims of employees of Recipient or its subcontractors or claims under similar such laws or obligations. Recipient's obligation under this section shall not extend to any liability caused by the sole negligence of ADOH, the State of Arizona, or its employees.

Date:

Client Name: Client Signature:

Date:

Intake Specialist Name: Intake Specialist Signature:

- FORM INSTRUCTIONS:**
1. This form is mandatory and must be kept in every client file.
 2. This form must be completed by the client (resident/homeowner).
 3. Ensure that client and a sub-grantee representative both sign and date the form.

12.11 Client Health and Safety Evaluation – Auditor



Arizona Department of Housing Weatherization Assistance Program

CLIENT HEALTH & SAFETY EVALUATION FORM - For AUDITOR

Date: Name of Weatherization Sub-grantee: AZ Job #:

Client Name: Address:

To be completed by AUDITOR during INITIAL AUDIT:

Potential Health and Safety Risk:	Yes	No	Describe Location/ Severity/ Comments:
Health Concerns: Are there obvious health conditions that could be aggravated by any of the materials that will be used (i.e. drywall, insulation, fiberglass, cellulose, duct mastic)?	<input type="checkbox"/>	<input type="checkbox"/>	
Biological Hazards: Does there appear to be any mold/moisture, sewage or other concerns present? (Take pictures)	<input type="checkbox"/>	<input type="checkbox"/>	
Building Structure & Roofing Issues: Are there any obvious structural problems, including walls, ceilings, floors & roof? (Take pictures)	<input type="checkbox"/>	<input type="checkbox"/>	
Asbestos Risks: Do you suspect the presence of asbestos (vermiculite insulation, pipe/furnace coverings, ceilings, walls, floors or exterior siding)? (Take pictures)	<input type="checkbox"/>	<input type="checkbox"/>	
Drainage Issues: Are there any obvious signs of drainage issues (pooled water, water damage, or other issues)? (Take pictures)	<input type="checkbox"/>	<input type="checkbox"/>	
Electrical Issues: Are there any obvious electrical issues (exposed wires, outages, overloaded circuits or outlets)? (Take pictures)	<input type="checkbox"/>	<input type="checkbox"/>	
Fire Hazards: Do you notice any obvious, possible fire hazards in or around the home (chemical, electrical or other)? (Take pictures)	<input type="checkbox"/>	<input type="checkbox"/>	
Volatile Organic Compounds (VOC)& Chemical Air Pollutants: Do you suspect the presence of VOC's or other air pollutants in the home?	<input type="checkbox"/>	<input type="checkbox"/>	
Injury Prevention Issues: Are there any obvious hazards that should be noted (broken stairs, fall hazards, etc.)? (Take pictures)	<input type="checkbox"/>	<input type="checkbox"/>	
Lead-Based Paint: Is flaking or peeling paint visible around the home? If so, does it likely contain lead? Is home pre-1978? (Take pictures and provide pamphlet to the homeowner)	<input type="checkbox"/>	<input type="checkbox"/>	
Pest Control Issues: Are there any pests or infestations present in or around the home? (Take pictures)	<input type="checkbox"/>	<input type="checkbox"/>	
Space Heaters: Are there unvented gas space heaters or stand-alone electric heaters that lack an ANSI tag? (Take pictures)	<input type="checkbox"/>	<input type="checkbox"/>	
Ventilation: Is mechanical ventilation inadequate or, after weatherization, will additional ventilation be necessary? Completion of ASHRAE 62.2 calculation required.	<input type="checkbox"/>	<input type="checkbox"/>	
Other: Are there any other noted health, safety or specific concerns present?	<input type="checkbox"/>	<input type="checkbox"/>	

Indemnification and Hold Harmless:

Recipient shall indemnify, defend, and save harmless ADOH, the State of Arizona and its agents, officials, and employees as well as the sub-grantee named above from any and all claims, demands, suits, actions, proceedings, loss, costs, and damages of every kind and description, including any attorney's fees and litigation expenses, which may be brought or made against or incurred by the State on account of loss of or damage to any property or for injuries to or death of any person, caused by, arising out of or contributed to, in whole or in part, by reason of any alleged act, omission, professional error, fault, mistake, or negligence of Recipient, its employees, agents, representatives, or subcontractors, their employees, agents, or representatives in connection with or incidental to the performance of this Agreement, or arising out of Workmen's Compensation claims, Unemployment Compensation claims, or Unemployment Disability Compensation claims of employees of Recipient or its subcontractors or claims under similar such laws or obligations. Recipient's obligation under this section shall not extend to any liability caused by the sole negligence of ADOH, the State of Arizona, or its employees.

Discuss findings of initial audit (above) with the homeowner and obtain homeowners signature below.

Date:
 Client Name: Client Signature:

Date:
 Auditor Name: Auditor Signature:

FORM INSTRUCTIONS:

1. This form is mandatory and must be kept in every client file.
2. This form must be completed by the initial auditor.
3. Ensure that client and a sub-grantee representative both sign and date the form.

12.12 Health and Safety Waiver



Arizona Department of Housing Weatherization Assistance Program

HEALTH & SAFETY WAIVER

Print Form

Requirements/

Notices:

1. This waiver must be submitted for approval to The Arizona Department of Housing Weatherization Assistance Program (ADOH WAP):
 - When \$2,000 or more will be spent on health, safety and durability measures in a home.
 - Prior to any work commencing on the home.
2. Failure to obtain this waiver prior to work commencement will result in measures being considered unallowable costs for the home.
3. Waiver is to be used for The Department of Energy (DOE) and Southwest Gas (SWG) funds only.
4. A signed copy must be kept in the client's file.

Sub-grantee Requesting Waiver: Name of Homeowner:

Address of Property:

Measure to be installed and cost:

Reason for requested measure:

What funding source will be used: DOE SWG

Name of Requester:

Date:

ADOH WAP Authorization:

Date:

12.13 Client File Checklist



Arizona Department of Housing Weatherization Assistance Program

CLIENT FILE CHECKLIST

Date: Sub-grantee: ADOH WAP Database #:

Job #: Client Name (Last, First):

Client Address: Owner Renter

Sub-grantee sign off sheet	Work Agreement/Scope of Work:
<p>Client File Checklist (this sheet):</p> <p><input type="radio"/> Yes Documenting someone reviewed client file, all information is contained, job is considered complete.</p> <p><input type="radio"/> No</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p>
Eligibility	The Work
<p>Eligibility Determination & Client Information:</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p>Proof of Ownership or Signed Rental Agreement:</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p>Deferral Information (if applicable):</p> <p><input type="radio"/> Yes Documentation / letter to client related to either a deferral or activities that need to be accomplished for work to begin.</p> <p><input type="radio"/> N/A</p> <p>State Historic Preservation Documentation (if applicable):</p> <p><input type="radio"/> Yes</p> <p>No Previous Weatherization Checklist</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p>	<p>Assessment/Audit:</p> <p><input type="radio"/> Yes Documentation of how the unit was audited. (optional form "Residential Diagnostic Evaluation" is available)</p> <p><input type="radio"/> No</p> <p>Priority Checklist & Copy of REM w/ Waiver Request (if applicable):</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p>Work Summary:</p> <p><input type="radio"/> Yes Work order deviations/ comments from field that may alter SOW; justification of adjustments; challenges/ comments; change order, as applicable</p> <p><input type="radio"/> N/A</p> <p>Final Test Out Documentation</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p>
Client Correspondence and Sign-Offs	Sub-grantees and Grantee's Final Inspection Form
<p>Each file must have clear records of any client file interactions during the weatherization process.</p> <p>Client Complaints and Documented Resolution:</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> N/A</p> <p>Client Sign off of the Scope of Work?</p> <p><input type="radio"/> Yes What measures will be included (may be included on form within the Scope of Work)</p> <p><input type="radio"/> No</p> <p>Progress Form:</p> <p>-Client sign off of: Intake; Initial Audit; Scope of Work; Notice to Proceed; Completion of Work Verification; Completion of all Items; Cleanliness of Work Site. Also, sign-off that client received the "Client Rights and Responsibilities Form".</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p>	<p>Final Inspection Checklist:</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p>QCI Checklist (if applicable):</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p>
	Supporting Documentation for the Work Performed
	<p><input type="radio"/> Hazard Disclosure Form</p> <div style="border: 1px solid gray; padding: 5px; margin: 5px;"> Client sign off that information, notifications and release were given to them regarding: -Lead Paint -Mold Assessment and Release -Radon </div> <p><input type="radio"/> Lead Safe Weatherization <input type="checkbox"/> N/A</p> <p><input type="radio"/> Certified Renovator Documentation <input type="checkbox"/> N/A</p> <p><input type="radio"/> Photos of Appliances/HVAC (before and after replacement)</p> <p>Name of BPI Mobile Home Certification Holder (if applicable): <input type="text"/></p>

<div style="background-color: #0070C0; color: white; text-align: center; padding: 2px;">Invoice</div> <p><i>(Sub-grantee must have consistent procedures, whether this information is contained "in the file" or "on file." A sub-grantee needs to demonstrate a methodical and consistent ability to pull the necessary invoice information by job)</i></p> <p>Contractor Based:</p> <p><input type="radio"/> Materials and labor costs</p> <p><input type="radio"/> Information related to bid/ equipment detail/specifications</p> <p>Crew Based:</p> <p><input type="radio"/> Inventory Sheets</p> <p><input type="radio"/> Installed Materials/Costs</p> <p><input type="radio"/> Invoices/purchase orders for all materials installed</p> <div style="background-color: #0070C0; color: white; text-align: center; padding: 2px;">Other Documentation</div> <p>Bid Sheets, Heat Loss Calculations, Vendor's Bids and Any Other Documentation Necessary for Completing WAP Work.</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p>Low-Cost/No-Cost Documentation:</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p>Client Health & Safety Evaluation Forms (2)</p> <p><input type="radio"/> Completed by Auditor, During Initial Audit</p> <p><input type="radio"/> Completed by Homeowner, During or Prior to Initial Audit</p> <p>Landlord/Tenant Agreement (if applicable)</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> N/A</p> <p>Household Action Plan</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p>Refusal For Services, Indemnification & Waiver of Claims (if applicable)</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> N/A</p> <p>Sub-grantee Representative: <input style="width: 500px; height: 20px;" type="text"/></p>	<p>Refrigerator Protocol Page:</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p>Health & Safety (HSD) Waiver (if applicable):</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p>Sub-grantee Statement of Completion:</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p>Follow-Up Documented:</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> N/A</p> <p>Utility Release Form:</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <div style="background-color: #0070C0; color: white; text-align: center; padding: 2px;">Testing Documentation</div> <p><i>(Typically included in audit and final inspection but if kept elsewhere should be included)</i></p> <p><input type="radio"/> CAZ/Draft/CO</p> <p><input type="radio"/> Blower Door</p> <p><input type="radio"/> HVAC System Efficiency Testing</p> <p><input type="radio"/> Pressure Pan/Duct Testing</p> <p><input type="radio"/> Zonal Pressure Testing</p> <p><input type="radio"/> Room to Room Pressure Testing</p> <p>The Above Testing Was Done:</p> <p><input type="radio"/> At Initial Audit</p> <p><input type="radio"/> At Final Test Out</p> <p><input type="radio"/> At Final Audit</p> <p><input type="radio"/> At QCI Inspection <input type="radio"/> N/A</p>
<p>Comments on Client File Checklist:</p> <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	

FORM INSTRUCTIONS:
 1. This form is mandatory and must be kept in every client file.
 2. This form should be followed by the items listed and checked off.

12.14 Hazard Disclosure Form



Arizona Department of Housing Weatherization Program

Weatherization Assistance Program Disclosure/Release Form

Lead Pre-Renovation Section:

This portion of the form is to be used by firms to document compliance with the requirements of the Federal Lead-Based Paint Renovation, Repair, and Painting Program.

Pamphlet Receipt:

I have received a copy of the lead hazard information pamphlet informing me of the potential risk of the lead hazard exposure from renovation activity to be performed in my dwelling unit. I received this pamphlet before work began.

Printed name (Owner/Occupant):

Signature (Owner/Occupant):

Date:

NOTE: Homeowner must be provided with pamphlet within 7 and no more than 60 days prior to work starting. If done by mail, it must be sent certified mail with read receipt showing that date received falls within guidelines.

Arizona Weatherization Assistance Program requires owner/occupant signature or work cannot commence.

Mold Assessment and Release Section

TO OWNER/OCCUPANT: Mold can be a problem in any home, but especially in those where there is an excessive amount of moisture or humidity present. In addition, if there are several people, pets, plants, or fish aquariums present, conditions may exist for mold to grow. An assessment of your home included a visual check for mold. This is not a mold inspection and the person making this assessment is not a mold inspector. Testing and identification of specific molds is beyond the scope of this program and we are not liable for mold that was not found during this inspection.

Date of Energy Audit:

Property Address:

During the energy audit no mold growth was identified.

During the energy audit our personnel identified mold growth in the following areas of your home:

Living/Bedroom Laundry Crawlspace Basement Bathroom Combustion Attic Other:

Moldy or musty odors are an indicator that there may be hidden mold growth.

Moldy or Musty odors: Are Present Are Not Present

The U.S. Department of Energy generally does not allow weatherization agencies to remedy mold problems, but some actions associated with a cost effective energy saving measure may be taken to reduce moisture problems. We will take the following measures that may help to resolve existing moisture problems:

Check ONE of the following disclaimers and Sign:**Moisture/Mold Disclaimer:**

By signing below, I acknowledge that I have received information concerning moisture and mold conditions in my home prior to any weatherization work being done. I have received "A Brief Guide to Mold, Moisture and Your Home" and I will take steps to reduce excessive moisture. I agree to hold the agency performing weatherization harmless for any future moisture or mold problems that are not associated with the weatherization work.

Deferral Disclaimer:

By signing below, I acknowledge that I have been notified that there is existing mold in the home prior to weatherization work being done. I have been advised that the agency performing weatherization cannot cost effectively resolve the identified mold or moisture and that weatherization work must be deferred until the mold or moisture is remedied. I have also been supplied a copy of "A Brief Guide to Mold, Moisture and Your Home".

Signature (Owner/Occupant):

Date:

Radon:

I have been provided with the EPA consumer's guide to radon.

Signature (Owner/Occupant):

Date:

FORM INSTRUCTIONS:

1. This form is mandatory and must be kept in every client file.
2. The client must check, sign and date all 3 sections separately.

12.15 Household Action Plan



Arizona Department of Housing Weatherization Program

Household Action Plan

Sub-grantee: Job Number: Database # (if different):

Clients Name: Date:

Address (completed home): Unit #:

City: State: Zip Code: Clients Phone #:

ACTIONS THAT CAN BE TAKEN TO KEEP THIS HOME IN ENERGY EFFICIENT STATE:

- Set Thermostat to degrees in the winter and degrees in the summer.
- Change air filter(s) once each month (if you have animals or live in high dust area you may want to change more frequently).
- Use energy efficient lighting:

Other ideas/actions that can be taken to make this home energy efficient as discussed with homeowner:

BEHAVIORAL CHANGES THAT CAN BE MADE IN HOW ENERGY IS USED:

- Turn off all lights when no one is in the room or when natural light is available and sufficient.
- Run fans in occupied rooms to move air. Turn fans off when no one is in the room.
- Close exterior doors and ensure that all windows are closed when HVAC is in use.
- Keep interior doors open while HVAC is in use.
- Avoid running oven, dishwasher, washing machine and dryer during daytime hours.

Other ideas/actions that can be taken to make this home energy efficient as discussed with homeowner:

Acknowledgement

I, understand that, if implemented, the above action items will help make my home comfortable and energy efficient. The above items were explained to me and all of my questions pertaining to them were answered. I agree to abide by the above suggestions, to the best of my ability so that my house can run efficiently and effectively and allow all installed measures to work as intended.

Client Signature: Date:

Sub-grantee Signature (sub-grantee representative): Date:

FORM INSTRUCTIONS:

1. This form is mandatory and a copy or 2nd original must be kept in every client file. The original must be given to the homeowner.
2. This form must be completed by the sub-grantee or sub-grantee representative.
3. Ensure that client and a sub-grantee representative both sign and date the form.

Appendix A – Definitions and Acronyms

ADOH WAP

The State of Arizona, Department of Housing, Community Development and Revitalization (CD&R) Division Weatherization Assistance Program.

Air Sealing

A systematic approach to tightening a dwelling unit's building shell to reduce uncontrolled infiltration through the building shell.

Appliance

Any device powered by electricity, oil, or gas designed for household use. This includes, but is not limited to refrigerators, freezers, dehumidifiers, heating systems, and water heaters.

Baseload Measures (Incidental Repairs or Low Cost/No Cost)

An energy conservation measure that reduces the daily non-heating electrical use of a dwelling unit. An example of a baseload measure is the installation of compact fluorescent lighting in place of incandescent lighting.

Blower Door

A diagnostic tool used to locate points of infiltration in the building envelope and help prioritize the air sealing protocols.

Callbacks

Additional work required as a result of a final inspection or complaint/concern and occurs prior to a dwelling unit being reported as complete.

CAZ

Combustion Appliance Zone. A test designed to measure the levels of carbon monoxide in worst case scenario.

Client

A person that has been determined to be eligible for the Weatherization Program and who will receive or has received weatherization work on their current eligible dwelling.

Client Notification Requirements

The weatherization program has notification requirements for owners and occupants in several areas. Examples include deferral and denial, including appeal information (see Chapter 2), Health and Safety (see Chapter 10), and tenant notification (see Chapter 2). This is not an exhaustive list.

Completed Measure

A measure that has been installed in accordance with all standards and specifications contained in this manual and/ or other program guidance, including the Weatherization Field Guide.

Completed Unit/Job

A dwelling unit that has received all the appropriate weatherization measures required by applicable funding sources and meets the following criteria: the unit has passed a final

inspection; if funded with DOE, has passed a quality control inspection; the property owner, or the owner's authorized representative, has completed the owner sign-off document; a completion date is entered in the AZWAP.org database.

Cost Allocation

A method used to assure that costs are charged to funding sources appropriately and accurately. Cost allocation plans identify the methodology by which this takes place.

Damaged Materials

Materials specifically assigned or designated for a specific dwelling unit/job that are damaged and made unusable either during transit to the job site or at the job site, prior to installation.

Deferral of Service

A delay of weatherization services to an eligible dwelling unit because of the presence of hazardous working conditions or other conditions that impede completion of weatherization work.

Denial of Service

Denials are limited to dwellings that are not eligible (e.g., previously weatherized, customer/owner did not correct reasons for deferral, insufficient number of eligible dwelling units in multi-unit), or there are no energy conservation measures to complete at the dwelling.

Department of Energy (DOE)

The federal U. S. Department of Energy (US DOE) whose mission is to advance energy technology and promote related innovation in the United States. DOE also refers to funds provided by US DOE.

DOE Priority Clients (for service priority)

The DOE priority client characteristics are factored into the prioritization of households. The DOE identifies priority categories of elderly (persons 60 and older), persons with disabilities, and families with young children (under six), which may also be used to determine the priority of service. The DOE identifies additional flexibility to target services by adding the categories of high residential energy user, and households with a high energy burden.

Dwelling Unit

A structure, including a stationary mobile home, apartment, group of rooms, or a single room occupied as a separate living quarters. A dwelling unit has an identifiable site address such as a fire number or street address. A United States Postal Service PO Box number is a mailing address and does not constitute a dwelling unit address.

Elderly Person

A person who is 60 years of age or older.

Eligible Dwelling Unit

A dwelling unit occupied (or, with DES permission for certain rental units, will be occupied within 180 days of completion) by an eligible low-income household, that; was not previously

weatherized; or, was weatherized prior to September 30, 1994 with DOE funding (See Chapter 2 for eligibility requirements for multi-unit buildings).

Energy Audit

An inspection of the dwelling unit that documents its conditions from a CAZ, thermal, structural, appliance, lighting, and safety perspective.

Energy Efficient Measures (EEMs)

The measures installed in a home that return energy cost savings.

ENERGY STAR® Standards

When stated in this manual that a product “shall meet ENERGY STAR® standards,” it shall be labeled and listed on the Energy Star® website (<http://www.energystar.gov/>), and shall conform to the set of criteria used by ENERGY STAR® to rate products.

Financial Audit

The review and/or inspection of any or all fiscal or accounting records or procedures of a local Sub-grantee or their subcontracted agencies. Also see Chapter 3. Financial Standards.

Sub-grantee

The non-profit, local or regional entity under contract with the ADOH WAP to provide weatherization services to low-income families as defined in 10 CFR 440.15 Sub-grantee).

Group Homes

A facility where a group of persons, related or unrelated, live together in a dwelling unit and jointly share in providing the necessities of life for the person(s) in the group. The necessities of life are shelter, heat and utilities.

High Energy Burden Household

A low-income household whose residential energy burden (residential expenditures divided by the annual income of that household) exceeds the median level of energy burden for all low-income households in the State.

Home Energy

All fuel sources used in a dwelling unit including all heating costs, cooling costs, non-heating and non-cooling costs. Non-heating and non-cooling costs are often referred to on utility bills as baseload costs (the base costs before heating or cooling costs are included).

Improper Invoice

An invoice presented for payment not submitted with adequate or correct information for processing. Examples include incorrect price, cash discount not shown, incorrect reference to purchase order number, missing required forms or documents, or submittal to the incorrect address for processing, as identified in the Contract.

Indoor Air Quality

The quality of indoor air relative to its acceptability for healthy human habitation. Assessing, and ameliorating when necessary, the quality of indoor air is a major concern of the weatherization process. For example, the presence of by-products of a combustion appliance is considered unhealthy indoor air.

Infiltration

The uncontrolled air entering the shell of the building.

Landlord Contribution

The portion of the cost of weatherization that is born by the owner of a rental property.

Lead Safe Work

Conditions that meet the OSHA and EPA requirements for adequate protection from lead exposure for both the building occupants and the workers and contractors performing the weatherization activities.

Low Income Home Energy Assistance Program (LIHEAP)

The program that is federally designated under 42 U.S.C. 8621 and provides block grants to states. LIHEAP provides benefits and services to assist low-income households with the cost of energy used for home heating and cooling. These federal funds are used together with other funding sources to operate the ADOH Weatherization Assistance Program

Multi-Family Building

A building that contains five or more units of housing.

Multi-Unit Building

A building that contains more than one unit.

OMB

The federal Office of Management and Budget issues Circulars in the areas of uniform administrative requirements (A-110), cost principles (A-122) and financial audits (A-133). These circulars have now been codified in 2 CFR 200.

Persons with Disabilities

Persons with Disabilities means any individual (1) who is a handicapped individual as defined in section 7(6) of the Rehabilitation Act of 1973, (2) who is under a disability as defined in section 1614(a)(3)(A) or 223(d)(1) of the Social Security Act or in section 102(7) of the Developmental Disabilities Services and Facilities Construction Act, or (3) who is receiving benefits under chapter 11 or 15 of title 38, U.S.C.

Poverty Level

Household income in relation to family size based on federal poverty guidelines.

Program Income

Income earned by a Sub-grantee from grant supported activities, including but not limited to, income from service fees, sale of commodities, usage or rental fees, and royalties, patents and copyrights.

Pressure Diagnostics

The practice of measuring air pressures and flows in a building to control air leakage.

Savings-to-Investment Ratio (SIR)

The ratio between the energy cost savings over a period of time versus the investment cost of installing a weatherization measure. To be eligible for DOE funds the measures must meet a SIR of 1 or greater; or follow the DOE approved priority list.

Scope of Work

A written agreement between a Sub-grantee and the owner/agent of an eligible building that discloses the type and amount of weatherization work to be done on the building including materials to be used; and other conditions both parties shall agree to, including the right for representatives from the Sub-grantee as well as state and federal government, or their designee, to verify the delivery of weatherization services and the quality of those services. The owner/agent shall sign the Scope of Work prior to the installation of weatherization measures.

Separate Living Quarters

Living quarters in which the occupants do not live and eat with any other persons in the structure and which have either direct access from the outside of the building or through a common hall or complete kitchen facilities for the exclusive use of the occupants. The occupants may be a single family, one person living alone, two or more families living together, or any other group of related or unrelated persons who share living arrangements, and includes shelters for homeless persons.

Single-Family Dwelling Unit

A structure containing no more than one dwelling unit.

Weatherization

The improvement of a dwelling unit to reduce energy consumption. It often includes the installation of insulation and replacement or modification of the unit's heating and/or cooling system.