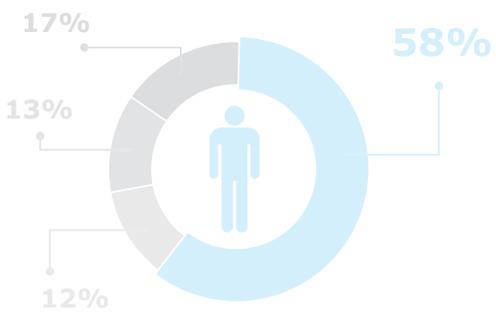
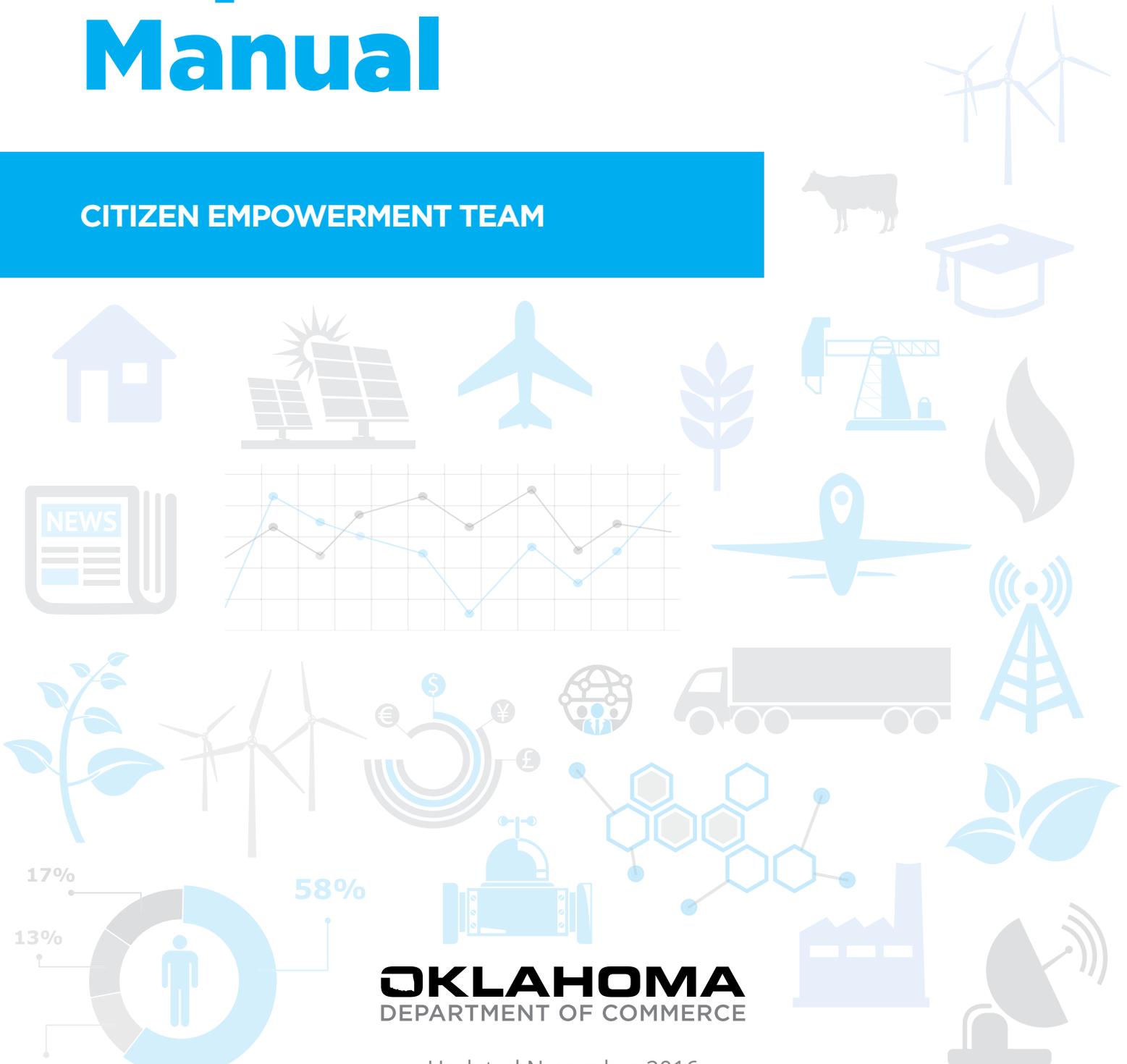


Community Action Agency (CAA) Implementation Manual

CITIZEN EMPOWERMENT TEAM



OKLAHOMA
DEPARTMENT OF COMMERCE

Updated November 2016

Table of Contents

Section 1 – Requirements for All Programs	7
Req. 101 – ROMA.....	7
Req. 102 – Guidelines for Personnel Policies.....	9
Req. 103 – Affirmative Action.....	12
Req. 104 – Applicant Appeals.....	13
Req. 105 – Prohibited Political Activities.....	15
Req. 106 – Lobbying Activity.....	16
Req. 107 – Travel and Per Diem.....	18
Req. 108 – Procurement Policies.....	20
Req. 109 – Financial Management.....	29
Req. 110 – Training and Technical Assistance.....	34
Req. 111 – Conflict of Interest.....	36
Req. 112 – Reporting.....	38
Req. 113 – Requirements for Boards of Directors.....	40
Req. 114 – CONFAX.....	46
Req. 115 – Revisions to Budgets and Program Plans.....	48
Req. 116 – Records Retention.....	50
Req. 117 – CSBG Organizational Standards.....	52
Section 2 – CSBG Program	52
Req. 201 – Community Services Block Grant (CSBG).....	54
Req. 202 – CSBG Corrective Action, Termination, Or Reduction of Funding.....	55
Section 3 – Weatherization Program	56
Req. 301 – Weatherization Eligibility and Application Review Procedures.....	56
Req. 302 – Maximum Allowable Costs.....	61
Req. 303 – Weatherization Procedures.....	66
Req. 304 – Client Files.....	68
Req. 305 – Assessment, Purchase, and Inspection.....	70

Req. 306 – WAP Financial Reports..... 75
Req. 307 – Health and Safety..... 76
Req. 307 A – Health and Safety – Lead-Safe Work Practices..... 100
Req. 308 – Electric Base Load 106
Req. 309 – NEAT and MHEA Procedures 110
Req. 310 – Weatherization Mold Procedures..... 114

Section 4 – Head Start Program 118

Req. 401 – Head Start Program 118
Req. 402 – Head Start Collaboration 119

Helpful Links

All Programs

OKGrants Grant Management System

<https://grants.ok.gov>

ODOC OKGrants Resource Page (walkthroughs, FAQ and troubleshooting)

<http://okcommerce.gov/community-resources/grants-and-funding-programs/okgrants-resources/>

Community Services Block Grant Act

<http://codes.lp.findlaw.com/uscode/42/106>

IRS 501(c)(3)

[http://www.irs.gov/Charities-&-Non-Profits/Charitable-Organizations/Exemption-Requirements-Section-501\(c\)\(3\)-Organizations](http://www.irs.gov/Charities-&-Non-Profits/Charitable-Organizations/Exemption-Requirements-Section-501(c)(3)-Organizations)

2 CFR 200

http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

Economic Opportunity Act of 1964, Pub. L. 88-452

<http://www.gpo.gov/fdsys/pkg/STATUTE-78/pdf/STATUTE-78-Pg508.pdf>

Robert's Rules of Order

<http://www.robertsrules.org/>

74 O.S. Standard 257:1-1-2

<http://www.oscn.net/applications/oscn/deliverdocument.asp?id=457202&hits=8548+8547+5703+2492+2491+>

OK Open Meeting Act - 25 O.S. §301-314

<http://www.odl.state.ok.us/lawinfo/docs/2006-LibraryLaws-PartD.pdf>

OK State Travel Reimbursement Act - 74 O.S. §500.1

http://www.ok.gov/DCS/Central_Purchasing/Agency_Travel/Resources/

United States General Services Administration:

http://www.gsa.gov/portal/content/104877?utm_source=OGP&utm_medium=print-radio&utm_term=perdiem&utm_campaign=shortcuts

Freedom of Information Act 5 USC 552

<http://www.justice.gov/oip/blog/foia-update-freedom-information-act-5-usc-sect-552-amended-public-law-no-104-231-110-stat>

CSBG Program Links

CSBG IM No. 116 Correction Action, Termination, or Reduction of Funding

<http://www.acf.hhs.gov/programs/ocs/resource/no-116-corrective-action-termination-or-reduction-of-funding>

Coats Human Services Reauthorization Act of 1998

<http://www.gpo.gov/fdsys/pkg/PLAW-105publ285/html/PLAW-105publ285.htm>

Weatherization Links

Code of Federal Regulations

2 CFS 200

http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

2 CFR 910

<http://www.ecfr.gov/cgi-bin/text-idx?SID=603839ff9f638565f4dab514877ab3f2&node=pt2.1.910&rgn=div5>

ATTACHMENT 7: Title 10 CFR 440

http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl

Health and Safety Guidance

EPA Oklahoma radon information link

<http://www.epa.gov/radon/states/oklahoma.html>

EPA regulations and on Lead-Based paint

<http://www2.epa.gov/lead>

HUD link Lead Hazard Control

http://portal.hud.gov/hudportal/HUD?src=/program_offices/healthy_homes

Renovate Right - Confirmation of Receipt and Lead Pamphlet link

<http://www2.epa.gov/sites/production/files/documents/renovaterightbookletbwsept2011.pdf>

Weatherization Program Notices

Weatherization Program Guidance

<http://www.waptac.org/Rules-0024amp;-Guidance/Program-Guidance.aspx>

2011 Health and Safety Guidance (WPN 11-6)

http://waptac.org/data/files/website_docs/government/guidance/2011/wpn%2011-6.pdf

WAP Activities and Federal Lead-Based Paint Regulations (WPN 02-6)

http://www.waptac.org/data/files/website_docs/government/guidance/2002/wpn%2002-6.pdf

Lead Safe Weatherization Guidance (WPN 08-6)

http://www.waptac.org/data/files/website_docs/government/guidance/2008/wpn%2008-6%20guidance%20and%20attachments.pdf

Lead Safe Weatherization Additional Materials and Info (WPN 09-6)

http://www.waptac.org/data/files/website_docs/government/guidance/2009/wpn%2009-6%20final%20guidance%20document.pdf

OSHA Regulations Lead CFR 29 (1910.1025)

https://www.osha.gov/pls/oshaweb/owadisp.show_document?p_table=STANDARDS&p_id=10030

Policy Regarding the Use of DOE Program funds for Call-Back/Add-on Work (WPN 11-3)

http://waptac.org/data/files/website_docs/government/guidance/2011/wpn%2011-3_20110926t212146.pdf

Updated Guidance on Eligible Multifamily Property Listings for use in WAP

http://waptac.org/data/files/website_docs/government/guidance/2011/wpn%2011-09.pdf

Program Year 2012 Weatherization Grant Guidance

http://waptac.org/data/files/website_docs/government/guidance/2012/wpn_12-1.pdf

2013 Program Guidance (WPN 13-1)

http://www.waptac.org/data/files/website_docs/government/guidance/2013/wpn-13-1.pdf

Section 1 – Requirements for All Programs

Req. 101 – ROMA

I - REQUIREMENTS FOR ALL PROGRAMS

REQUIREMENT NO. 101

RESULTS ORIENTED MANAGEMENT AND ACCOUNTABILITY (ROMA)

EFFECTIVE SEPTEMBER 1, 2014

I. ROMA

- A. The ROMA framework must be implemented and strived for, by all contractors, for all programs, both ODOC and non ODOC funded. The framework consists of following six goals:
1. Low-income people become more self-sufficient
 2. The conditions in which low-income people live are improved
 3. Low-income people own a stake in their community
 4. Partnerships among supporters and providers of service to low-income people are achieved
 5. Agencies increase their capacity to achieve results
 6. Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems.
- B. Contractors must implement a Results-Oriented Management system by
1. Having a clear anti-poverty mission, vision, and values statement
 2. Conducting a Community Needs Assessment every two years to assess poverty needs and conditions within their community
 3. Using the Community Needs Assessment to identify results to be achieved within their community
 4. Executing programs based on the Community Needs Assessment
 5. Implementing a system to track client services and analyzing customer satisfaction on an annual basis.
 6. Develop a community action plan that is outcome based, anti-poverty focused and ties directly to the Community Needs Assessment
 7. Each agency must ensure that all staff are trained by a certified ROMA trainer.
- C. Contractors must utilize a Results-Oriented Accountability by
1. Tracking and reporting client outcomes for all ODOC and non ODOC funded programs in an ongoing manner. Data should be entered by the 20th of each month for all programs and reviewed by agency management.
 2. Developing strategies to evaluate improvements in the condition of low-income families.
 3. Identifying clear links between indicators being measured and the six ROMA goals (NPIs).

4. Using the information gathered to inform a long-range strategic plan, funding, and community partnerships that includes an evaluation process to determine effectiveness of the strategic plan, agency advocacy and community partnerships.
 5. Submitting the CSBG Information Survey Annually in timely, completely, and accurately manner
- D. The ROMA process should be integrated throughout the agency and information shared with the agency's board of directors on a regular basis.

II. CONTRACTUAL REQUIREMENTS

- A. Contractors are required to track and report client outcomes for all ODOC funded and all CSBG supported programs.

III. PROCEDURES

- A. Client/Outcome data is to be maintained and updated on a regular basis to allow for all required reporting.

IV. FORMS

None

Req. 102 – Guidelines for Personnel Policies

I - REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT NO. 102 GUIDELINES FOR PERSONNEL POLICIES EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

Contractors shall establish and adhere to clear and equitable personnel policies.

II. PROCEDURES

A. GENERAL ADMINISTRATION: Personnel policies shall include:

1. Statement on travel and travel allowances for employees that conforms to Oklahoma Department of Commerce, Office of Community Development (ODOC) Requirement 106.
2. Records to be included in personnel files:
 - a. Employee time sheets documenting hours worked and identifying the amount of time spent on each program.
 - b. Leave records that fully account for all absences. If tracked or maintained electronically, records shall be provided upon request.
 - c. Individual personnel files that include but are not limited to: Job description, pay adjustment authorizations, and application for employment.
 - d. Annual employee evaluations.
3. Statement regarding accessibility to personnel files.
4. Provision for certification of time and attendance reports.
5. If leave records and time sheets are maintained electronically, agency personnel policies shall include the procedures to be utilized for employees to enter their time and leave and for the supervisory approval process.

B. EMPLOYMENT: Personnel policies shall include statements that:

1. Describe employee categories such as full-time, probationary, etc.
2. Describe employee performance appraisal.
3. Prohibit discrimination on the basis of race, color, national origin, age, sex, religion, familial status or disability.
4. Prohibit conflicts of interest and nepotism.
 - a. Nepotism shall refer to the employment or supervision of any person who is a relative within the third degree of a Board Member,

Executive Director, or appointing authority. Relatives may not be employed, supervised, or contracted with when they are to be paid with ODOC funds or when the Board Member, Executive Director, or appointing authority exercises jurisdiction or control over said department or program.

- b. Relatives signing contracts with the agency prior to the election or selection of the Board Member, Executive Director, or appointing authority may complete the contracted obligation prior to termination. However, such contracts shall not be renewed.
- c. For purposes of this requirement “relative within the third degree” is defined as follows:

Spouse	
Parents	Spouse’s Parents
Children	Spouse’s Children
Brother/Sister	Spouse’s Brother/Sister
Grandparents	Spouse’s Grandparents
Grandchildren	Spouse’s Grandchildren
Aunt/Uncle	Spouse’s Aunt/Uncle
Nephew/Niece	Spouse’s Nephew/Niece
Great-Grandparents	Spouse’s Great-Grandparents
Great-Grandchildren	Spouse’s Great-Grandchildren

- (1) Spouse of someone related to Board Member by marriage is eligible for employment.
 - (2) Spouse of someone related to Board Member by blood is ineligible for employment.
 - (3) “Children” includes adopted children and step-children.
- 5. Permit employment of persons with criminal records when the Contractor determines the criminal record does not disqualify the applicant for the position under consideration.
 - 6. Salaries and benefits are consistent with prevailing local wage compensation practices, provided no employee shall receive less than minimum wage. Add CSBG wage study wording. Note: CSBG does not require a survey to be completed regularly – best practices suggest every five years. Some agencies set their own timeline.

C. FRINGE BENEFITS: Personnel policies shall include statements which:

1. Describe provisions for annual leave, sick leave, family leave, military leave, leave without pay, and jury duty.
 2. List holidays to be observed by the Contractor.
 3. List other benefits.
- D. EMPLOYEE CONDUCT: Personnel policies shall include statements which:
1. Prohibit the receipt of gifts, services, or other compensation by employees from persons receiving benefits or services from the Contractor.
 2. Describe limitations on political activity.
- E. GRIEVANCE PROCEDURE: Personnel policies shall include a written description of procedures for the prompt review, impartial consideration and equitable disposition of employee grievances. These procedures shall also include a policy that shall be used in the case of a grievance against the Executive Director.

III. FORMS

None.

Req. 103 – Affirmative Action

I - REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT NO. 103 AFFIRMATIVE ACTION REQUIREMENTS EFFECTIVE DATE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

No person shall, on the grounds of race, color, national origin, religion, sex, age, familial status or disability, be excluded from participation in, be denied benefits of or be subjected to discrimination under any program, project or activity funded in whole or in part with funds made available by ODOC.

II. PROCEDURES

Each Contractor shall submit annually to ODOC an Affirmative Action Plan that has been approved by its Board of Directors. The Affirmative Action Plan shall include the following:

- A. Equal employment policy.
- B. Responsibilities for implementation.
- C. Evaluation of previous efforts.
- D. Established goals and timetables.
- E. Identification of problem areas.
- F. Procedures for dissemination of the Plan.
- G. Internal evaluation procedures.
- H. Grievance procedures.
- I. Identification of the Equal Employment Opportunity (EEO) Officer. (Neither the Executive Director nor the Personnel Officer may serve as the EEO Officer.)

III. FORMS

None.

Req. 104 – Applicant Appeals

I - REQUIREMENTS FOR ALL PROGRAMS

REQUIREMENT NO. 104

APPLICANT APPEALS

EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

Contractors shall establish and maintain an applicant appeals procedure to ensure equal access to services and resources available under programs funded by ODOC.

II. PROCEDURES

- A. The notice of right to appeal shall appear on all application forms used to determine applicant eligibility for any services or resources provided with funds received from ODOC.
- B. The Contractor's Executive Director shall initiate the appeals procedure, upon request by an applicant, within ten (10) days after the request.
- C. After all local appeal procedures have been exhausted, an applicant may appeal the Contractor's decision to ODOC. In such cases, the Contractor and appellant shall provide ODOC with all relevant documentation.
- D. The applicant appeals procedure shall guarantee that each person seeking services shall:
 1. Have the right to file formal application for services or resources upon request.
 2. Be afforded an opportunity to have private and confidential interviews pertaining to the case.
 3. Not be denied assistance on the basis of race, color, gender, creed, religion, age, political preference, familial status or disability.
 4. Receive timely approval or disapproval of the application.
 5. Receive written notification of appeal and appeal procedures, including notices that:
 - a. All aggrieved parties shall be afforded a reasonable opportunity for a fair hearing.
 - b. The applicant or the representative of the applicant shall have access to records relevant to the appeal process.
 - c. The applicant shall have the right to a timely determination and prompt notice of hearing decisions.

III. FORMS

None.

Req. 105 – Prohibited Political Activities

I - REQUIREMENTS FOR ALL PROGRAMS

REQUIREMENT NO. 105

PROHIBITED POLITICAL ACTIVITIES

EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

Contractor employees, volunteers and Board Members, while performing Contractor activities and functions, shall adhere to restrictions against certain types of political activity, as specified in the Community Services Block Grant (CSBG) Act <http://codes.lp.findlaw.com/uscode/42/106>, State legislation and other related requirements.

II. PROCEDURES

A. Contractors may not:

1. Use official authority or influence for the purpose of interfering with or affecting the result of an election or a nomination for office.
2. Directly or indirectly coerce, attempt to coerce, command or advise a State or local officer or employee to pay, lend or contribute anything of value to a party, committee, organization, agency or person for political purposes.

B. Contractors may not provide voters and prospective voters with transportation to the polls or provide similar assistance in connection with an election or any voter registration activity. This also prohibits the use of agency transit vehicles for these purposes.

C. Under 74 O.S. Standard 257:1-1-2,

<http://www.oscn.net/applications/oscn/deliverdocument.asp?id=457202&hits=8548+8547+5703+2492+2491> Contractors may not:

1. Use program funds for any political purpose.
2. Permit the use of equipment or premises that are purchased or leased with program funds for a political purpose.
3. Discriminate against or in favor of any employee or beneficiary of the program because of his or her political beliefs.
4. Require an employee or beneficiary to disclose his or her political affiliation.
5. Offer employment, promotion or benefits under the program as a reward for the support or defeat of any political party or candidate for public or party office; nor may any Contractor create or threaten to create a disadvantage in employment or deprivation of benefits as a penalty for such support.

III. FORMS

None.

Req. 106 – Lobbying Activity

I - REQUIREMENTS FOR ALL PROGRAMS

REQUIREMENT NO. 106

LOBBYING ACTIVITY

EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

Contractor employees, volunteers and Board Members, while performing contractor activities and functions, shall adhere to restrictions against certain types of lobbying, as specified in the Community Services Block Grant (CSBG) Act,

<http://codes.lp.findlaw.com/uscode/42/106>

IRS 501(c)(3) [http://www.irs.gov/Charities-&-Non-Profits/Charitable-Organizations/Exemption-Requirements-Section-501\(c\)\(3\)-Organizations](http://www.irs.gov/Charities-&-Non-Profits/Charitable-Organizations/Exemption-Requirements-Section-501(c)(3)-Organizations), State legislation and other related requirements.

II. PROCEDURES

- A. Contractors may conduct the following lobbying-type activity if the cost is otherwise allowable:
1. Lobbying of any person relating to local legislation, i.e., city ordinances, but not to local ballot initiatives or referenda.
 2. Lobbying of Federal Executive Branch official, so long as it is not an attempt to influence a decision to sign or veto Federal or State legislation.
 3. Lobbying to influence State legislation in order to directly reduce cost or to avoid material impairment of the CAA's authority to perform the grant or contract.
 4. Providing a technical and factual presentation of information on a topic directly related to the performance of a grant or contract through hearing testimony, statements or letters to the Congress or State Legislature in response to a documented request. Costs related to this activity for travel, lodging or meals are unallowable.
 5. Nonpartisan, balanced and factually supported research and analysis of legislation or proposed legislation prepared for the CAA and/or the general public, so long as it does not include a "call to action."
 6. Individuals employed by the CAA or connected in some other way may lobby in connection with legislation, as individuals, so long as (s)he does so on his or her own time and does not make use of federally funded CAA facilities.
- B. Contractors may **not** conduct the following lobbying activities:

1. Attempt to influence the introduction, enactment or modification of any Federal or State legislation through:
 - a. Communications with Federal or State legislators or their staff.
 - b. Efforts to influence State or local officials to engage in similar lobbying activity.
 - c. Communications with government officials or employees in connection with a decision to sign or veto legislation.
 - d. Urging members of the general public to lobby or take other action in connection with State or Federal legislation (“grass roots lobbying”).
 2. Contractors must keep records of lobbying expenditures, which should show appropriate, i.e., private or unrestricted, funding sources to determine their allowability. Time logs need not be kept for any employee who engages in lobbying less than 25% of his or her time.
- C. Contractors are also restricted from the use of both private and Federal funds for grant-related lobbying, i.e., any attempt to influence an officer or employee of a Federal agency or member or employee of Congress, through a communication with or appearance of such person in connection with the awarding of any federal grant, contract or loan.

III. FORMS

None.

Req. 107 – Travel and Per Diem

I - REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT NO. 107 TRAVEL AND PER DIEM REQUIREMENTS EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

Contractors shall follow State Travel Reimbursement Act (STRA), Title 74 O.S., Section 500.1, et seq., except as noted, when using ODOC contract(s) funds. However, when a Contractor has existing travel policies more restrictive than ODOC's or when a grant contains more restrictive limitations, the more restrictive limitations shall apply.

State Travel Reimbursement Act:

http://www.ok.gov/DCS/Central_Purchasing/Agency_Travel/Resources/

United States General Services Administration:

http://www.gsa.gov/portal/content/104877?utm_source=OGP&utm_medium=print-radio&utm_term=perdiem&utm_campaign=shortcuts

Contractors shall maintain and adhere to written travel regulations and procedures, which have been approved by their Board of Directors when using contract funds. Such procedures and regulations shall be consistent with (or more restrictive than) these requirements.

Contractor payments for travel by employees, consultants, board members or other persons approved and authorized to perform official travel for the Contractor shall be authorized in advance and supported by properly approved documents covering both travel and, if applicable, per diem. Such payments shall be in conformance with the standards set forth in this document.

Any reference, in this document, to agency, state or department also applies to any agency that is a private corporation or public agency established pursuant to the Economic Opportunity Act of 1964, Pub. L. 88-452, <http://www.gpo.gov/fdsys/pkg/STATUTE-78/pdf/STATUTE-78-Pg508.pdf> which establishes Community Action Agencies or any agency (public or private) contracted by the Oklahoma Department of Commerce to perform services.

Agency employee or official means management, staff, board members and other persons approved and authorized by the Community Action Agency Executive Director to perform official travel for the agency.

Forms and number of copies referenced in these procedures should be complied with in general, i.e., the forms shall be essentially similar, particularly when/where authorizations/approvals are required, dates and/or where other pertinent travel documentation is required.

Where specific agencies, departments, divisions or other offices are referenced, your agency should reference the appropriate department, division, or office within your own agency policies or practices.

II. FORMS

None.

Req. 108 – Procurement Policies

I - REQUIREMENTS FOR ALL PROGRAMS

REQUIREMENT NO. 108 PROCUREMENT PROCEDURES EFFECTIVE APRIL 1, 2015

I. CONTRACTUAL REQUIREMENT

Contractors shall comply with the requirements set forth in 2 C.F.R. as applicable, http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl. Contractors shall comply with the procurement requirements set forth in 10 C.F.R 910 <http://www.ecfr.gov/cgi-bin/text-idx?SID=603839ff9f638565f4dab514877ab3f2&node=pt2.1.910&rgn=div5> for contracts originating from funds provided by the U.S. Department of Energy (DOE).

II. PROCEDURES

A. DEFINITIONS

1. **Responsible Bidders/Vendors:** Bidders/Vendors who possess the potential ability to perform successfully under the terms and conditions of the proposed procurement. Consideration shall be given to such matters as bidder integrity, record of past performance, financial and technical resources or accessibility to other necessary resources. Such indicators should be included as part of the specifications and organized for evaluation.
2. **Responsive Bids/Offers:** Bids/Offers submitted that satisfactorily meet the requirements as specified by the Contractor.
3. **Adequate Notice:** Sufficient time prior to the stated opening of bids for a bidder to respond to the request for bid or proposal. For the purposes of this Requirement, the minimum adequate notice required shall be at least two weeks from the date of first public advertisement.
4. **In the Aggregate:** "In the Aggregate" is a reference to purchases of the same product more than one time during the contract period. An example would be the purchase of copy paper. Procurement would be for one time, with multiple purchases; therefore, the "aggregate cost"

would be the total of all planned purchases of copy paper during the contract period.

B. STANDARDS

The procurement systems for Contractors shall be written and include, at a minimum, the following standards:

1. Assurance that all procurement transactions shall be conducted in a manner to provide, to the maximum extent practicable, open and free competition.
2. Positive efforts shall be made to utilize small and minority-owned businesses.
3. Contracts shall be made only with responsible bidders/vendors who possess the potential ability to perform successfully under the terms and conditions of the proposed procurement.

C. SMALL PURCHASE PROCEDURES (for purchases less than Twenty-Five Thousand Dollars [\$25,000]):

Small purchases shall be exempt from the advertised process. Contractors shall conduct purchasing procedures in a manner to provide, to the maximum extent practical, open and free competition. Some form of cost or price analysis shall be made and documented in all procurement files. Small purchase procedures are as follows:

1. Purchases under \$5,000 – Informal price comparison.
2. Purchases \$5,001 - \$15,000 – Three telephone bids.
3. Purchases \$15,001 - \$25,000 – Three or more written price quotations.

D. ADVERTISED PROCUREMENT (for purchases of Twenty-five thousand dollars \$25,000 or more):

Procurement records shall include bid selection or rejection and the basis for the cost or price. All documents must be retained in the Contractor's files.

1. Specifications: Prior to advertisement for bids, the specifications should be completed in the form of a bid packet containing the following components:

- a. A clear, accurate description of the product or service being procured;
 - b. All requirements the bidder must fulfill in order for the bid to be evaluated;
 - c. Evaluation criteria used to determine the successful bidder.
2. Solicitation: A notice is to be advertised and distributed as follows:
- a. Provision of a notice to all known prospective bidders via first-class mail at least 20 days prior to the scheduled bid opening; and
 - b. Publication in two (2) consecutive weekly issues of a general circulation newspaper. The first publication must be at least twenty (20) days prior to the date set for opening bids.
3. Selection:
- a. All factors relevant to the procurement shall be included in the bid packet so the selection can be made from those bids that are responsive to the solicitation and awarded to the lowest responsive and responsible bidder.
 - (1) There must be two (2) or more responsive and responsible bids. When only one (1) responsive and responsible bid (single source) is received and all good faith efforts to solicit and maximize the number of bidders have been accomplished, documentation of all solicitation efforts must be maintained in Contractor files. Contractors shall ensure that the identified market is large enough to solicit responses from enough responsible bidders to create competitive offers/prices.
 - (2) The procurement must lend itself to a firm, fixed-price contract so the selection can be made principally on price.
 - (3) Bids must be opened at a public (open) meeting. During the solicitation, it is advisable to note the date, time and location of the bid opening.
 - b. Once the bidder submits a price, the dollar value is not subject to any type of negotiation or change.

4. Documentation:

- a. All solicitation efforts must be documented in the recipient files and should include items such as dated newspaper clippings.
- b. Files must contain a copy of specifications and evaluation criteria, including evaluation criteria forms completed for each bid.
- c. If other than the lowest responsive bid is selected, Contractor must document reason for selection in procurement records.

E. SOLE SOURCE PROCUREMENT

Sole source occurs when particular goods, materials, or services are available from only one source. All sole source procurements of \$5,000 or more must be approved in advance and in writing by ODOC. The Contractor shall submit a written request to utilize sole source procurement, provide a brief description of the goods or services to be procured and justification for the sole source procurement.

F. EMERGENCY PROCUREMENT

When the urgency for the goods or services will not permit a delay due to competitive procurement, ODOC may authorize emergency procurement. Examples of urgent need are emergency plumbing or electrical work. Authorization may be obtained through a telephone request. If the Contractor cannot obtain telephone approval prior to procuring the goods or services, a written request for approval shall be submitted immediately after the procurement takes place.

G. INVENTORY AND DISPOSITION

1. Equipment/Non-Expendable Property: Any equipment or non-expendable property acquired with a usable life expectancy of more than one year shall comply with this Requirement. See, also, the requirements below and the requirements set forth in 10 C.F.R 600 and 2 C.F.R. as they relate to property management and disposition. Any equipment with an expected usable life of less than one year shall follow the requirements listed under Paragraph B, Materials and Supplies. See, also, certain requirements listed under Lease/Purchase Agreements below in Paragraph D, which may be applicable.

a. Inventory Requirements: All furniture and equipment costing \$500 or more purchased with ODOC contract funds must be kept on inventory at the Contractor's agency. By the end of each calendar year, a comprehensive inventory list, by program, must be submitted to ODOC. Contractor records should contain all the information mentioned in paragraph (1) below.

(1) Contractors shall maintain an inventory file for all equipment or non-expendable property with a life of more than one (1) year and costing \$500 or more.

The records shall include procurement information, source of funding for the purchase, description of the equipment, manufacturer's serial, model or other identification number, location of the item, original purchase price and a statement of condition and disposition (disposal or sale) information. Inventory records shall be maintained for three (3) years after the date of disposal or sale.

(2) A physical inventory of all equipment and non-expendable property purchases made with ODOC contract funds shall be taken and the results reconciled with the equipment records once a year.

(3) Staff who maintains the inventory should not conduct the yearly inventory activities. A definitive line must be present between these duties.

(4) Weatherization and any other equipment purchased by ODOC must be maintained in working condition and the Contractor is responsible for any maintenance/repairs, loss, or theft.

(5) The Contractor shall maintain the up-to-date inventory within its CONFAX. [See Requirement 113]

b. Disposition of Equipment or Vehicles: Equipment or vehicles acquired with funds from ODOC contracts may be sold, traded in on replacement equipment or salvaged only upon written approval from ODOC.

- c. Vehicles Acquired with DOE Funds: Prior approval is required from DOE before the purchase of motor vehicles. The Contractor shall make written request to ODOC before taking any action; ODOC will request approval from DOE and provide written response to the Contractor. Please contact ODOC for specific instructions.

H. MATERIALS AND SUPPLIES

This section refers to expendable materials and supplies with an expected usable life of less than one year. The cost of the materials or supplies shall be based on the aggregate amount of the purchases, planned or potential, over a one-year period and not based on a one-time purchase that may be recurrent.

1. Procurement Procedures:

- a. Expendable materials and/or supplies with an expected usable life of less than one year costing less than twenty five thousand dollars (\$25,000) shall be purchased using Small Purchase procedures. {Reference Section II C}
- b. The purchase of expendable materials and supplies with an expected life of less than one year costing above twenty five thousand dollars (\$25,000) must use Advertised Procurement procedures. {Reference Section II D}
- c. Inventory Requirements: Contractors shall establish and maintain an inventory system to control materials and supplies purchased in quantity.

I. SERVICES

Services, for the purposes of this section, refer to services provided by outside professionals or consultants and include such items as accounting or payroll services, employee training, legal consultations, audit services and maintenance-related services such as plumbing, equipment, HVAC or electrical work.

1. Procurement Procedures: For the purchase of services costing:

- a. Less than \$5,000: Informal price comparisons.

- b. \$5,001 through \$15,000: Three telephone bids. Contractor completes Telephone/Request for Quotation.
 - c. \$15,001 through \$25,000: Contractor will be required to obtain three (3) or more written price quotations from vendors. The vendor completes Request for Quotation (Form 18).
 - d. Above \$25,000: Advertised Procurement procedures. Procurement of Services costing more than \$25,000 must be approved in advance by ODOC, using Contractor Request for Contract Services (Form 21).
2. Contract Periods: All contracts for services must have a specific contract period. If provided for in the original procurement, the original contract may be extended, by mutual agreement of the parties, up to five (5) years.

J. RENTAL OF REAL PROPERTY

1. If a Contractor is planning to move (rental) or is planning to rent additional space, the following procurement procedures must be used for real property; and based on the full term of the lease:
- (a) Less than \$5,000: Informal price comparison.
 - (b) \$5,001 through \$15,000: Three telephone bids.
 - (c) \$15,001 to \$25,000: Contractor will be required to obtain three (3) or more written price quotations from vendors. The vendor completes Request for Quotation (Form 18).
 - (d) \$25,000 and up: Use Advertised Procurement procedures.
2. A written lease or rental agreement shall be maintained on file. The agreement shall specify the terms of the agreement, landlord/tenant responsibilities and termination and renewal procedures. The lease may be extended, by mutual agreement of the parties, up to five (5) years.

K. PROGRAM INCOME

1. Program Income is gross income earned by the recipient that is directly generated by supported activity or earned as a result of WAP activities. Program Income includes income from fees for services performed, the use of rental or real personal property acquired under the federally funded project, the sale of commodities or

items fabricated under an award, license fees and royalties on patents and copyrights, and from payments of principal and interest on loans made with WAP funds. Program Income also includes rebates, credits, discounts, etc., or interest earned on any of them.

2. Contractors are required to notify the Oklahoma Department of Commerce prior to selling any item originally purchased with DOE Weatherization Assistance Program funds and to track Program Income in accordance with the procedures identified below.
 - (a) Contractors must notify ODOC of the following prior to the selling of any weatherization item:
 - i. Notify ODOC in advance,
 - ii. The name of the item,
 - iii. The date of purchase,
 - iv. The original purchase price,
 - v. The intended or predicted sale price,
 - vi. The method of calculating intended sale price,
 - vii. The intended method of advertisement or sale.
3. Fair market value should be sought by the Contractor. For any sale item the agency must complete full due diligence to ensure the appropriate proceeds are realized from the sale. This due diligence shall include:
 - (a) Advertising the item for the Kelley Blue Book (KBB) value or other value determined by a widely recognized source, or
 - (b) Conducting an advertised auction for the item with a minimum price set as per KBB estimate or other widely recognized source,
 - (c) If the above methods prove unsuccessful, consult with ODOC program Representatives (liaisons) and provide documentation of due diligence efforts and plans to sell or liquidate the item for less than what would otherwise be fair market value.
4. Proceeds From Sales:
 - (a) Program Income must be accounted for separately and expended before any other program funds are spent. Program Income is tracked as a separate line item and is not included in ODOC contract budgets or expenditure reports.
 - (b) Verification of Program Income, received within an annual budget period, must be submitted to an ODOC Program Representative (liaison) for approval.
 - (c) Net program income (profit) must be used to complete additional dwelling units and tracked separately from annual DOE contracts.
 - Vehicle and Equipment proceeds are considered 100% profit
 - Fee for Service (e.g. QCI subcontract) net revenue would be considered profit, after loss is recorded.

(d) Accounting records verifying the use of Program Income must be made available to ODOC staff upon request.

III. FORMS

1. Telephone/Request for Quotation (Form 18)
2. Contractor Request for Contract Services – Over \$25,000 (Form 21)

IV. RESOURCES

[ANNUAL WEATHERIZATION GRANT GUIDANCE](#)

Req. 109 – Financial Management

I - REQUIREMENTS FOR ALL PROGRAMS
REQUIREMENT NO. 109
FINANCIAL MANAGEMENT
EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

Contractors shall maintain records and accounts, including property, personnel and financial records that properly document and account for all contract funds. All record keeping shall be in compliance with State and Federal regulations 2 C.F.R. as applicable, http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2tab_02.tpl and generally accepted accounting principles.

II. PROCEDURES

A. FINANCIAL SYSTEM

1. Contractors shall ensure the financial system used to administer ODOC contracts conforms to the following standards:
 - a. Accurate, current and complete disclosure of the financial results of the ODOC programs is provided in accordance with specified State and Federal requirements.
 - b. Records are maintained that adequately identify the source and application of funds for each ODOC-supported activity, including any applicable matching funds.
 - c. Effective control and accountability is maintained for all funds, property and other assets.
 - d. Accounting records are maintained with adequate supporting documentation.
 - e. Internal controls are established to eliminate fraud and abuse.
2. Contractors may request ODOC review of existing procedures to determine compliance with this entire Requirement.
3. Contractor shall implement and maintain a written accounting procedure manual that adequately describes specific procedures, processes and requirements necessary for the Contractor to be in conformance with standards 1.a through 1.e as listed above.

4. The accounting manual should include any procedures or processes unique to the Contractor or infrequent but relevant to the accounting system.

B. ACCOUNTING SYSTEM REQUIREMENT

Contractors shall establish and maintain a separate set of self-balancing accounts for each ODOC contract, in accordance with written procedures, which will permit the Contractor to properly account for all funds in conformance with generally accepted accounting principles. The following requirements shall apply:

1. Books of original entry shall be utilized to account for contract funds and any required matching funds.
2. Accounting records shall include the cash receipts journal, cash disbursement journal, general journal and general ledger.
 - a. The accounting records shall utilize a payroll register for any employees paid with ODOC funds.
 - b. The general ledger shall include separate expenditure accounts for each approved budget line item as shown in the contract budget or subsequent revisions.
3. A monthly trial balance shall be performed when the books are closed each month. The trial balance shall become a part of the accounting records.
4. Monthly Expenditure Reports submitted to ODOC every month, **regardless of whether there are expenditures or not**, must be taken from the original books of account and be directly traceable to the general ledger expense accounts.
5. Any costs shared between programs must be properly allocated. The method of allocation must be generally accepted, reasonable and documented. An agency cost allocation plan should be established.
6. Accounting records must always be posted up-to-date.
7. All receipts recorded in the receipts log shall be reconciled regularly with the cash receipts journal, general ledger and bank statement.
8. All general ledger entries must be clearly traceable to appropriate source documentation.

9. Appropriate source documentation is defined as any approved original documents that clearly indicate costs allowable and allocable to the program. Examples of supporting documentation include: Original invoices, fee contracts, progress billings and employee time sheets.
10. All paid invoices must be defaced by indicating the check number, date paid and "PAID" on the invoice. Copies of the purchase order and check shall be attached to the invoice before filing.
11. All supporting documentation must be filed in an orderly manner in accordance with the Contractor's written accounting procedures.
12. Accounting files shall include:
 - a. Copies of all Monthly Expenditure Reports and Requests for Funds submitted to ODOC.
 - b. All correspondence relating to financial management of the contract.
 - c. Employee time sheets showing hours worked and charged to the ODOC contract when applicable.
13. All manual accounting records shall be maintained in ink for permanence.
14. Correction fluid (whiteout, etc.) shall not be used to cover transpositions or other errors in the original books of account. A single line should be drawn through the mistake or error and the correct figure should be recorded in ink. This will allow clear identification of the error. **Errors found after the books are closed for any given month must be corrected by general journal entry in the month the error is found.** This also applies to electronic (computer software) accounting systems.
15. Bank statement reconciliations shall be performed on a monthly basis. The individual performing the reconciliation shall initial and date it when complete.
16. Electronic Signatures – Agency will have a policy to ensure only appropriate staff have access to electronic signatures.
17. Passwords – Phones, computers, etc.- Agency will have a policy to ensure only appropriate staff have access to electronic signatures.

C. INTERNAL CONTROL REQUIREMENTS

Contractors shall implement the following controls to safeguard all funds and assets of the ODOC contract:

1. Blank checks and credit cards must be maintained in locked cabinets or files.

2. Undelivered checks should be kept in a locked cabinet or safe until delivery.
3. When a signature stamp is used for checks or correspondence, access to the signature stamp should be limited to authorized personnel and the stamp should be maintained in a lockable cabinet or drawer.
4. Deposits of ODOC funds shall be made by someone other than the accountant or bookkeeper maintaining the ODOC accounting records.
5. Incoming checks should be stamped "For Deposit Only" by the person opening the mail and recorded in a receipts log that identifies the check number, amount and source of funds.
6. Bank reconciliations should be performed by someone other than the accountant responsible for ODOC accounting records or for making deposits.

D. CASH MANAGEMENT REQUIREMENTS

Contractors shall implement the following to ensure proper cash management of Federal and State funds:

1. ODOC funds cannot be placed in petty cash funds.
2. All ODOC funds received shall be promptly deposited in the proper bank account. The Contractor shall designate through the use of an Electronic Funds Transfer Authorization form, the appropriate account to be used for any program utilizing electronic transfer of funds.
3. Contractors shall not maintain excessive cash on hand.
 - a. Reimbursement Contracts: Contractors shall have on file documentation for expenditures reported on any Request for Reimbursement. Funds paid on a reimbursed basis are considered expended when the Monthly Expenditure Report is submitted.
 - b. Cash Advances: For those programs that allow for advances, the Contractor shall request only an amount sufficient to cover immediate anticipated expenditures. Requests for funds may be made at any time funds are needed throughout the month. No funds will be released for contracts with delinquent expenditure reports. Expenditure reports shall be submitted each month, whether or not expenses were incurred [(Section II (B) (4))].

4. The Contractor shall verify cash on hand on a daily basis and is responsible for coordinating with its bank to determine when electronic transfer of funds has occurred.
5. All vendor invoices must be verified for accuracy. The reviewer should initial and date the invoice.
6. All vendor invoices that allow a discount for early payment should be paid in the discount period if administratively feasible.
7. All checks paid with ODOC funds must be pre-numbered.
8. All checks paid with ODOC funds must be completely filled out before they are signed.
9. Voided checks must be filed with copies of checks or other accounting documentation for accountability.

E. ALLOWABLE/UNALLOWABLE COSTS

Costs charged to each program shall be in accordance with 2 C.F.R. as applicable, http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2tab_02.tpl The Contractor must ensure that all costs are properly accounted for in accordance with the following definitions:

1. Operations costs may include any costs directly associated with the program activity. Examples of operations costs include but are not limited to: Personnel costs (payroll and fringe benefits) for operational staff time, travel, supplies, equipment and space costs directly related to the program.
2. Administrative costs are those costs indirectly related to a program activity. Examples of administrative costs include but are not limited to: Accounting and auditing costs, legal fees, liability insurance and fidelity bond costs, personnel costs (payroll and fringe benefits) for staff time, travel, supplies, equipment and space costs indirectly related to the program.

III. FORMS

None.

Req. 110 – Training and Technical Assistance

I - REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT 110 TRAINING AND TECHNICAL ASSISTANCE EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

Training and technical assistance will be provided for Contractors, staff members and Board Members by ODOC to ensure the continued quality performance of ODOC Contractors and to ensure performance of activities useful to advance the purpose of the contracts. The Contractor shall ensure the attendance of any person performing services under the contract whose presence is requested.

II. PROCEDURES

A. DEFINITIONS

Training and technical assistance will be considered separate and distinct functions in accordance with the following definitions.

1. Training:

- a. Training is an instructional or educational event on a general topic that provides the opportunity for participants to gain information, increase program management skills and define program objectives.
- b. Training events are designed for groups to share knowledge and experience.

2. Technical Assistance:

- a. Technical assistance is a problem-solving activity designed to provide Contractors with an immediate resolution, or approach to a resolution, of a specific problem or set of problems.
- b. Technical assistance, providing resources and information, may be held on-site, at ODOC offices, by telephone or by written communication.

- B. Request for training shall be based on the learning needs for a designated job category with specific topics and objectives or desired results clearly stated.

- C. Requests for technical assistance shall be based on a specific problem in a designated job category and shall involve Contractor's staff affected by the problem and staff involved in developing resolutions. It will also be based on a request for resources or information related to a specific problem or need.
- D. Training may be requested by contacting your ODOC representative by phone or email. You may be requested to identify needs, topics, expected objectives/results; participants expected and preferred delivery method. Suggested dates and location must be submitted to confirm telephone requests.
- E. Technical assistance may also be requested by contacting your ODOC representative by phone or email. You may be asked to identify the problem, persons affected by the problem who are involved in developing resolutions, preferred delivery method and suggested dates and location, or lists, information, and other resources needed.
- F. Requests may also be initiated by the Contractor based on internal evaluation or needs assessment.

III. FORMS

None.

Req. 111 – Conflict of Interest

I - REQUIREMENTS FOR ALL PROGRAMS

REQUIREMENT 111

CONFLICT OF INTEREST

EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

No persons who have exercised any functions or responsibilities with respect to activities assisted with ODOC funds may obtain a financial interest in or benefit from an ODOC activity or have an interest in any contract, subcontract or agreement, either for themselves or for those with whom they have family or business ties, during their tenure or for one year thereafter.

A. PERSONS COVERED

The conflict of interest provisions apply to any person who is an employee, agent, consultant, officer or elected or appointed official of the agency receiving ODOC funds.

B. EXCEPTIONS

Upon the written request of the Contractor, ODOC may grant an exception on a case-by-case basis when it determines the exception will serve to further the purposes of the ODOC programs and the effective and efficient administration of the Contractor's program or project. An exception may be considered only after the Contractor has provided an assurance that:

1. A disclosure of the nature of the conflict, accompanied by an assurance that there has been public disclosure of the conflict and a description of how the public disclosure was made.
2. An opinion of the Contractor's attorney that the interest for which the exception is sought would not violate State or local law.

C. FACTORS TO BE CONSIDERED FOR EXCEPTIONS

In determining whether to grant a requested exception after the agency has satisfactorily met the requirements of paragraph B of this Requirement, ODOC will consider the cumulative effect of the following factors, where applicable:

1. Whether the exception would provide a significant cost benefit or an essential degree of expertise to the program or project that would otherwise not be available;
2. Whether the person affected is a member of a group or class of low-income persons intended to be the beneficiaries of the assisted activity. If that person is a member of such a class or group, the exception will permit such person to receive generally the same interests or benefits as are being made available or provided to the group or class;
3. Whether the affected person has withdrawn from his or her functions or responsibilities or the decision-making process with respect to the specific assisted activity in question;.
4. Whether the interest or benefit was present before the affected person was in a position as described in Paragraph A of this Requirement;
5. Whether undue hardship will result either to the Contractor or the person affected when weighed against the public interest served by avoiding the prohibited conflict; and
6. Any other relevant considerations.

II. FORMS

None.

Req. 112 – Reporting

I - REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT NO. 112 REPORTING EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

Contractors shall furnish to ODOC narrative, statistical and financial reports related to the contract on forms and at such times as may be required. The amount of CSBG funds budgeted (or expended) for administration cannot exceed 15 percent (15%) of the Contractor's total agency budget as shown on the agency budget summary.

II. PROCEDURES

The reports shall be submitted to ODOC as listed below. An Advance Payment form should be submitted five working days before needed. The Advances will not be processed if current expenditure reports are not received by the due date. **(An expenditure report must be submitted each month whether or not funds have been expended.)** Budget/Budget Revisions must be submitted and approved prior to implementing expenditure changes.

The following are program reporting requirements. All expenditures and Advances must adhere to Requirement 108 (D) Cash Management Requirements.

CSBG – Federal Contract

Contract Period - January 1 – September 30 of following year

OKGrants Forms:

Expenditure Report – Monthly – By the 20th of each month

Advances – As needed

Closeout Certification – 60 days after end of contract

DOE – Federal Contract

Contract Period - April 1 – March 31

OKGrants Forms:

Expenditure Report – Monthly – By the 20th of each month.

Advances – As needed

Monthly Progress Report – By the 20th of each month

Quarterly Report – Due July 20, October 20, January 20, April 20

Closeout Certification – 60 days after end of contract

DHS – Federal Contract

Contract Period - October 1 – September 30

OKGrants Forms:

Expenditure Report – Monthly – By the 20th of each month.

Advances – As needed

Monthly Progress Report – By the 20th of each month

Quarterly Report – January 20, April 20, July 20, October 20

Annual Report – Due with Closeout Closeout Certification – 60 days after end of contract

SAF/CAA – State Contract – 1/12 per month Reimbursement

Contract Period - July 1 – June 30

OKGrants Forms:

Reimbursement Claim – Due by the 20th of each month

Closeout Certification – 60 days after end of contract

SAF/CAA – HS – State Contract – 1/12 per month Reimbursement

Contract Period - July 1 – June 30

OKGrants Forms:

Reimbursement Claim – Due by the 20th of each month

Closeout Certification – 60 days after end of contract

Attachment:

Annual/Final Report – Due with closeout

RX for Oklahoma – State Contract – 1/12 per month Reimbursement

Contract Period - July 1 – June 30

OKGrants Forms:

Reimbursement Claim – Due by the 20th of each month

Reports: See RX for Oklahoma Request for Proposal (RFP)

Closeout Certification – 60 days after end of contract

Req. 113 – Requirements for Boards of Directors

I - REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT NO. 113 REQUIREMENTS FOR BOARDS OF DIRECTORS EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

Contractors receiving funds under CSBG shall comply with the requirements for Boards of Directors specified in 675 (c) (3) of the CSBG Act, <http://codes.lp.findlaw.com/uscode/42/106> provisions of the contract and assurances provided by the Contractor.

II. PROCEDURES

The following standards shall be incorporated into the By-Laws of all Boards of Directors:

A. BOARD SIZE

Boards shall consist of no fewer than 12 nor more than 36 members. The Contractor's By-Laws should specify the number of Board Members.

B. COMPOSITION

Board composition must be one-third public sector, at least one-third representatives of the low-income community and the remainder composed of representatives of the private sector.

1. Public Sector: One-third of the members of the Board shall be elected public officials currently holding office or their representatives. If, however, the number of elected officials reasonably available and willing to serve is less than one-third of the membership, appointed public officials may be counted in meeting the one-third requirement.
 - a. The term "elected public official" refers to a duly elected representative of the State, a municipality, county, tribal government or State political subdivision.
 - b. The term "appointed public official" refers to employees of public agencies and members of boards and commissions established under State and/or

local law who have responsibility and authority to determine and implement the policies of those agencies, boards or commissions.

- c. An elected or appointed public official may designate another person to serve on the Board as their representative as long as the representative is entitled to act on behalf of the public official represented with regard to the business of the Board.

2. Low-Income Sector: At least one-third of the Board shall be a democratically selected representative of low-income persons residing in the service area.

3. Private Sector: The remainder of the members shall be officials or members of business, industry, labor, religious, welfare, education or other major groups and interests in the service area.

C. SELECTION PROCEDURE

The selection procedures must be in writing and documented to show Board involvement in the selection of the public and private sector members and the involvement of the low-income community in the selection of low-income members.

1. Alternates for the public, low-income and private sectors may be selected and may have voting privileges provided they are selected in the same manner as the Board member they alternate for. The Agency must have an established By-Law provision that allows alternates to vote in the absence of the regular member and to be counted as part of the quorum requirements.
2. Vacancies on the Board shall be filled in a manner consistent with the original election/selection process. Agencies are encouraged to fill all vacancies as soon as possible, preferably within two months. Alternates may fill the remainder of any term for the sector they were selected to represent.

D. COMMITTEES AND SUBCOMMITTEES

Committees and subcommittees may be established by the Board to accomplish the business of the Board and the Agency provided:

1. Actions of any committee are ratified by the Board;

2. Standards regarding meeting and quorum requirements as stated later in this Requirement (H.2-7) apply to all Board subgroups; and
3. Decisions relating to the acceptance/denial of a specific applicant for weatherization services made by a duly composed Weatherization Policy Advisory Council need not be ratified by the Board except in instances of an applicant appeal that necessitates Board action.

E. TERMS OF SERVICE

Each term shall not exceed three years and each member must be removed at the end of each term. The member may be re-selected/appointed or a new member may be selected/appointed. This procedure must be in accordance with "Selection Procedures" previously stated. Limitations on the number of terms a member may serve shall be determined by the Board of Directors and must be in writing as part of the Agency's By-Laws.

F. REMOVAL OF MEMBERS

1. Public officials or their representatives must be removed from the Board when the public official no longer retains the designated office/position. An individual appointed by a body of public officials, such as a commission or council, shall be removed from the Board upon change in composition of the appointing body. The public sector representative may be reappointed or a new representative may be appointed by the newly-selected/elected public official(s).
2. The Board shall establish and include in its By-Laws the grounds and procedures for the removal of low-income and private sector representatives.

G. BOARD COMPENSATION

1. Unless compensated from another source, Board members may be reimbursed for travel costs incurred in attending Board or committee meetings.
2. Reimbursement for travel shall be in accordance with current travel provisions.

H. MEETING AND QUORUM REQUIREMENTS

1. The Board of Directors shall meet as often as the Agency or Board's business may require but not less than six (6) Board meetings shall be held within any 12 month period.

2. The required quorum shall be more than 50 percent of the current total membership of the Board.
3. In the absence of specific rules of order, Robert's Rules of Order <http://www.robertsrules.org/> shall apply.
4. The Board shall provide its members with a notice of and the agenda for all meetings in advance of the meeting date.
5. The Board shall keep minutes for each meeting that include a sign-in sheet, record of votes by members on each motion and a record of absences, categorized as excused or unexcused.
6. Minutes of the previous meeting shall be distributed to all members before the next meeting and shall be made available to the public upon request.
7. All Board meetings shall be in compliance with the Oklahoma Open Meeting Act, 25 O.S. §301, et seq., and 25 O.S. §§301-314, as revised.
<http://www.odl.state.ok.us/lawinfo/docs/2006-LibraryLaws-PartD.pdf>

I. CODE OF CONDUCT

A Code of Conduct shall be established to ensure the appropriate conduct by members of the Board. Such Code shall prohibit the promotion of or involvement in nepotism, conflict of interest and discriminatory practices.

J. POWERS, RESPONSIBILITIES AND ROLE OF THE BOARD

The Board is to be the governing policy-making entity of the Agency.

1. Powers and Responsibilities: The powers and responsibilities of the Board shall include but not be limited to:
 - a. Appointing an Executive Director;
 - b. Evaluating the Executive Director annually;
 - c. Determining the rules of procedures for the Board;
 - d. Determining the policies under which the Board and Agency shall operate;
 - e. Determining, within regulations and policies, the major fiscal, personnel and program policies;
 - f. Reviewing and approving all programs and expenditures;

- g. Considering and approving all program proposals and budgets;
- h. Enforcing compliance with all conditions on grants;
- i. Determining overall program plans and priorities;
- j. Determining the use of all discretionary money;
- k. Compliance with the Oklahoma Open Meeting Act, 25 O.S. §301, et seq., and 25 O.S. §§301-314, as revised;
<http://www.odl.state.ok.us/lawinfo/docs/2006-LibraryLaws-PartD.pdf>
- l. Compliance with the Code of Conduct;
- m. Review the agency's mission statement at least every five years and ensure the mission addresses poverty and the agency's program and services are in alignment with the mission
- n. Ensure the agency's community action plan is outcome based, anti-poverty focused and ties directly to the Community Needs Assessment
- o. Ensure the agency has a written succession plan in place for the CEO/ED approved by the board that contains procedures for covering an emergency, unplanned short-term absence as well as the process for filling a permanent vacancy
- p. Review the agency's annual audit and address all findings

- 2. Role of the Board: The role of the Board shall include but not be limited to:
 - a. Being a catalyst for positive change in the community;
 - b. Bringing the problems and needs of the community to the Board for discussion;
 - c. Looking at options for solving some of the problems or fulfilling the needs of the community;
 - d. Examining issues affecting the quality of life in the community;
 - e. Raising money;
 - f. Serving as an advocate for clients and being a catalyst for institutional change in institutions that serve them;
 - g. Serving as a link between the Board of Directors and the people or groups represented;
 - h. Serving as a good public relations advocate for the programs, projects and activities of the Agency;
 - i. Recruiting volunteers and space for programs and activities; and
 - j. Mobilizing resources for the entire community.

K. LIMITATIONS OF THE BOARD

Individual Board members do not have the authority to direct, coerce or in any way influence the actions of the Agency staff.

L. BOARD FILES

Selection documentation for Board files must be maintained in writing for each seated member and should contain a minimum of:

Public and Private:

1. A letter of request from the agency to the entity providing the Board member.
2. A letter from the entity to the agency providing the name of the chosen member.
3. A copy of agency Board minutes showing Board involvement in the selection of the member.

Low-Income:

1. A letter of request from the agency to the entity providing the Board Member.
2. Democratic selection documents such as a public posting, newspaper clippings, agenda, open meeting minutes, sign-in sheets, or ballots showing a democratic selection process.
3. A letter to the agency providing the name of the chosen member.

III. FORMS.

None.

Req. 114 – CONFAX

I - REQUIREMENTS FOR ALL PROGRAMS

REQUIREMENT 114

CONFAX

EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

- A. Contractors shall submit information as required to document contract compliance.
- B. Contractors shall maintain a Community Action Agency Implementation Manual as official policy for the administration of programs.

II. PROCEDURES

A. CONFAX

All CONFAX documents shall be kept current and submitted with the CSBG application annually. If CONFAX items are paperless within an agency or uploaded to the contractor's website, a link to the documents may be submitted in lieu of the documents themselves. **Documents or an updated link shall also be submitted or upon any revision.** Following is a list of required documents to be submitted. Any necessary forms are provided annually in the CSBG Application.

1. Articles of Incorporation;
2. By-Laws;
3. Affirmative Action Plan;
4. Personnel Policies;
5. Board Membership Roster;
6. Board Committee Membership List;
7. Organization Chart;
8. Agency Program Chart;
9. Approved Board Minutes, signed by the authorized Board representative (including the sign-in sheet and voting record);
10. List of all satellite offices, including address and telephone number;
11. Equipment Inventory List (purchased with ODOC contract funds);
12. Agency Budget Summary.

All CONFAX documents shall include effective dates.

B. CONTRACTORS IMPLEMENTATION MANUAL

1. Agencies must ensure proper staff access to the online Contractors Community Action Agency Implementation Manual, or
2. Agencies wishing to maintain a hard copy of the manual shall ensure that it is maintained in an orderly manner with each manual change inserted promptly.

III. FORMS.

None

Req. 115 – Revisions to Budgets and Program Plans

I - REQUIREMENTS FOR ALL PROGRAMS REQUIREMENT NO. 115 BUDGET AND PROGRAM PLAN REVISIONS EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENTS

In accordance with 2 C.F.R. as applicable, http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2tab_02.tpl. Recipients are required to report deviations from budget and program plans, and request prior approvals for budget and program plan revisions.

Contracts with the Oklahoma Department of Commerce/ Community Development (ODOC/CD) require that revisions in work program activities which result in revisions to the budget line items of (+) or (-) 10% shall be submitted for approval by authorized staff.

II. PROCEDURES

Contractors shall request prior approval from ODOC/CD for one or more of the following program or budget related reasons:

- A. If expenditures year to date will change a line item budget of \$1,000 or more by +/- 10%, a revised budget is required.
- B. If the line item budget is at or under \$1,000 and expenditures year to date are in excess of 50% of the budget line item, a revised budget is required.
- C. If there is a change in the scope or the objective of the project or program (even if there is no associated budget revision requiring prior approval), a written justification is required.
- D. If there is a change in the key person specified in the application or award document a written statement describing the change is required.
- E. If the budget includes costs that require prior approval in accordance with 2 C.F.R. as applicable, http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2tab_02.tpl submit the request in writing.

- F. If the agency wants to transfer funds allotted for training allowances (i.e. direct payment to trainees) to other categories of expense, a written justification is required.
- G. Unless described in the application and funded in the approved awards, the sub award transfer or contracting of any work under an award must receive prior written approval of ODOC. This provision does not apply to the purchase of supplies, material, equipment, or general support services.
- H. Budgets may not be revised after the end of the contract period.

III. FORMS

None.

Req. 116 – Records Retention

I - REQUIREMENTS FOR ALL PROGRAMS

REQUIREMENT NO. 116

RECORDS RETENTION

EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

In accordance with 2 C.F.R. as applicable, http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2tab_02.tpl agencies will retain records in the manner outlined below.

II. PROCEDURES

- A. Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of three years from the date of submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by the Federal awarding agency. The only exceptions are the following:
 - a. If any litigation, claim, or audit is started before the expiration of the three-year period, the records shall be retained until all litigation, claims or audit findings have been resolved and final action taken;
 - b. Records for real property and equipment acquired with Federal funds shall be retained for three years after final disposition;
 - c. When records are transferred or maintained by the Federal awarding agency, the three-year retention requirement is not applicable to the recipient;
 - d. Indirect cost rate proposals, cost allocation plans, etc. as specified below (Section F) and;
 - e. The retention period can be longer based upon advice of legal counsel or professional accountants or auditor
- B. Copies of the original records may be substituted for the original records if authorized by the Federal awarding agency.
- C. The Federal awarding agency shall request transfer of certain records to its custody from recipients when it determines that the records possess long term retention value. However, in order to avoid duplicate recordkeeping, a Federal awarding agency may make arrangements for recipients to retain any records that are continuously needed for joint use.
- D. The Federal awarding agency, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that

are pertinent to the award, in order to make audits, examinations, excerpts, transcripts and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

- E. Unless required by statute, no Federal award agency shall place restrictions on recipients that limit public access to the records of recipients that are pertinent to an award, except when the Federal awarding agency can demonstrate that such records shall be kept confidential and would have been exempted from disclosure pursuant to the Freedom of Information Act (5 U.S.C. 552) <http://www.justice.gov/oip/blog/foia-update-freedom-information-act-5-usc-sect-552-amended-public-law-no-104-231-110-stat> if the records had belonged to the Federal awarding agency.

- F. Indirect cost rate proposals, cost allocation plans, etc. – Section (a) and (b) below apply to the following types of documents and their supporting records: Indirect cost rate computations or proposals, cost allocation plans, and any similar accounting computations of the rate at which a particular group of costs is chargeable (such as computer usage chargeback rates or composite fringe benefit rates).
 - a. If submitted for negotiation - If the recipient submits to the Federal awarding agency or the subrecipient submits to the recipient the proposal, plan, or other computation to form the basis for negotiation of the rate, then the three-year retention period for its supporting records starts on the date of such submission.
 - b. If not submitted for negotiation - If the recipient is not required to submit to the Federal awarding agency or the subrecipient is not required to submit to the recipient the proposal, plan, or other computation for negotiation purposes, then the three-year retention period for the proposal, plan or other computation and its supporting records starts at the end of the fiscal year (or other accounting period) covered by the proposal, plan, or other computation.

III. FORMS

None.

SECTION I
REQUIREMENTS FOR ALL PROGRAMS
REQUIREMENT NO. 117
CSBG ORGANIZATIONAL STANDARDS
EFFECTIVE May 1, 2016

The CSBG organizational standards provide a standard foundation of organizational capacity for all CSBG Eligible Entities (agency). The Federal Office of Community Services' Information Memorandum (IM) 138 provides direction to States and agencies on establishing organizational standards by FY 2016 and includes the final wording of the standards developed by the OCS-funded organizational standards Center of Excellence (COE).

The COE-developed organizational standards are comprehensive and were developed by and for the CSBG Network through the work of the CSBG Working Group. The standards work together to characterize an effective and healthy organization while reflecting the vision and values of Community Action and the requirements of the CSBG Act.

ODOC understands that it will take time to fully implement all of the standards. Through the below process, agencies must show what progress they are making towards meeting each standard.

Annual Self-Assessment

By April 30 of each year, agencies will complete and submit to ODOC a Community Action Partnership Organizational Standards Agency Self-Assessment Tool.

Calendar Year 2016

Liaison review

Using the Community Action Partnership Organizational Standards state assessment tool, ODOC's most current CSBG Org Standard FAQ and the Community Action Partnership Glossary of Terms for the Organizational Standards, ODOC liaisons will review an agency's most current self-assessment and, through desk and on-site monitoring visits, will validate whether the agency has accurately assessed the meeting of each standard.

Unmet standards will be included in a 2016 Organizational Standards State Assessment and Technical Assistance Tracking spreadsheet that will be provided to agencies and agencies will use to identify activities and timelines leading to compliance with those standards. Through the completed spreadsheet and conversation with their agencies, ODOC liaisons will monitor the agencies' progress towards meeting each standard.

Beginning Calendar Year 2017

Liaison review

Using the Community Action Partnership Organizational Standards state assessment tool, ODOC's most current CSBG Org Standard FAQ and the Community Action Partnership Glossary of Terms for the Organizational Standards, ODOC liaisons will review an agency's most current self-assessment and, through desk and on-site monitoring visits, will validate whether the agency has accurately assessed the meeting of each standard.

An official Organizational Standards review report and Technical Assistance Plan (TAP) identifying unmet standards will be provided to agencies and agencies will use to identify activities and timelines leading to compliance with those standards. Through the completed TAP and conversation with their agencies, ODOC liaisons will monitor the agencies' progress towards meeting each standard.

Technical Assistance Plans (TAP) and Quality Improvement Plans (QIP)

During the assessment process, if a State finds an agency is not meeting a standard or set of standards, the State's response will depend on the circumstances. In cases where the agency may be able to meet the standard in a reasonable time frame contingent on some targeted technical assistance, the State and agency may develop a technical assistance plan to target training and technical assistance resources and outline a time frame for the agency to meet the standard(s). If appropriate in other situations, the State may initiate action in accordance with section 678C of the CSBG Act (42 U.S.C. § 9915), including the establishment of a Quality Improvement Plan (QIP) with clear timelines and benchmarks for progress.

Corrective Action

As long as the State is confident that the agency is moving toward meeting standards, under a technical assistance plan, QIP, or other oversight mechanism, the State should not initiate action to terminate or reduce funding.

The failure of an agency to meet multiple standards may reflect deeper organizational challenges and risk. In those cases, a State must determine whether it may be necessary to take additional actions, including reducing or terminating funding, in accordance with CSBG IM 116 (Corrective Action, Termination, or Reduction of Funding), issued May 1, 2012.

Attachments

2016 Organizational Standards State Assessment and Technical Assistance Tracking Spreadsheet

Links

Community Action Partnership Organizational Standards state assessment tool

ODOC's most current CSBG Org Standard FAQ

Community Action Partnership Glossary of Terms for the Organizational Standards

OCS IM 138

OCS IM 116

Section 2 – CSBG Program

Req. 201 – Community Services Block Grant (CSBG)

**II – CSBG PROGRAM
REQUIREMENT NO. 201
COMMUNITY SERVICES BLOCK GRANT (CSBG)
EFFECTIVE SEPTEMBER 1, 2014**

I. CONTRACTUAL REQUIREMENT

The Coats Human Services Reauthorization Act of 1998, places an increased emphasis on outcome performance measurements, accountability, monitoring, reporting, training, and technical assistance. In keeping with this increased focus, the continued goal for the State will be to provide a range of services and activities having a measurable and potentially major impact on the causes and effects of poverty-related problems within the State.

<http://www.gpo.gov/fdsys/pkg/PLAW-105publ285/html/PLAW-105publ285.htm>

II. PROCEDURES

In accordance with the State's goal, Community Services Block Grant (CSBG) contractors are required to develop a community action plan, develop meaningful performance targets to measure their clients' progress toward achieving self-sufficiency, as well as address the seven poverty-related areas as listed:

1. Unemployment and under-employment;
2. Inadequate education;
3. Inability to make efficient/effective use of available income;
4. Inadequate housing;
5. Inability to meet emergency needs;
6. Starvation and malnutrition; and
7. Inability to make efficient/effective use of related programs and services.

III. FORMS

None.

Req. 202 – CSBG Corrective Action, Termination, Or Reduction of Funding

II - CSBG PROGRAM REQUIREMENT NO. 202 CORRECTIVE ACTION, TERMINATION, OR REDUCTION OF FUNDING EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

ODOC will provide funding for the project as follows:

- A. The allocation of funds for this contract is based upon a base + formula allocation of funds as awarded by the U.S. Department of Health and Human Services' Office of Community Services for Fiscal Year 2014. Contractor shall receive funding for all counties designated as the Contractor's service area.

- B. ODOC shall perform monitoring and evaluation activities to assess the Contractor's financial and programmatic compliance and progress.

II. PROCEDURES

ODOC will utilize the guidance issued in CSBG IM No. 116 Corrective Action, Termination, or Reduction of Funding <http://www.acf.hhs.gov/programs/ocs/resource/no-116-corrective-action-termination-or-reduction-of-funding> when

- A. updates to the population and poverty level data included in the State's distribution formula causes a change in the proportional share to eligible entities.
- B. based upon routine State monitoring, reviews, or investigations related to specific complaints or allegations, the State CSBG office determines that an eligible entity has failed to comply with the terms of an agreement or a State plan, or to meet a State requirement. The State's determination may be based on the entity's failure to provide CSBG services, or to meet appropriate standards, goals, and other requirements established by the State, including performance objectives.

III. FORMS

None.

SECTION III
ADDITIONAL PROGRAM REQUIREMENTS
REQUIREMENT NO. 301
WEATHERIZATION ELIGIBILITY AND APPLICATION REVIEW PROCEDURES
EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

Subgrantee Recipients shall establish procedures to comply with the requirements of 10 CFR 440.22, http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl Eligible Dwelling Units, to assist eligible households, maximize energy conservation, and minimize health and safety risk associated with Weatherization work.

II. PROCEDURES

A. DOE Contracts: Eligibility requirements under the Department of Energy (DOE) are described as follows:

1. A dwelling unit is eligible for weatherization assistance if a family unit occupies it:

- a. Whose income is at or below 200% of the Federal Poverty Guidelines; or
- b. Which contains a member who has received cash assistance payments under Title IV (Grants to States for Aid and Services to needy Families with children and for Child-Welfare Services) or XVI (Supplemental Security Income for the Aged, Blind and Disabled) of the Social Security Act or applicable State or local law during the twelve-month period preceding the determination of eligibility.
- c. Who is identified as a “high residential energy user” or “households with a high energy burden.”

(1) The subgrantee recipient shall use \$1,600 as the median/average annual level of **energy expenditures** (both gas and electric) for eligibility determination.¹ Eligible applicant, as defined in 440.3 of the Federal Register, adds the term “high residential user,” which identifies the amount of energy a low-income household uses in excess of a comparable household in the same area. “Households with a high energy burden” identifies a low-income household whose energy cost exceeds income or ability to pay.

(2) Clients are eligible if utility expenses exceed the median or average level by 30% or \$2080;

¹Based on ONG average of \$864.35 for a 12-month period ending December 2010, and average cost of \$757.20 for municipal utilities annually (750 kWh).

To calculate the eligibility of “Households with a high energy burden”:

- Calculate the amount of one years’ worth of gas and electric bills.
- To be eligible the total of these bills must exceed the median average of \$1,600 by 30% (which is \$2,080).

For example: The Jones family is requesting assistance as a “household with a high energy burden.” The family has an average electric bill of \$120 and an average gas bill of \$60 annually. Calculate $(\$120 + \$60) \times 12 = \$2,160$. This family is eligible because their annual utility expense is in excess of the median average by 30% or \$80 ($\$2,160 - \$2,080$).

To calculate the eligibility of a “High residential user” you must analyze the utility expenses of a sampling of residence within the same area and within a comparable household (i.e. size and occupancy usage patterns). The analysis must determine that the low-income household energy usage is in excess of those compared.

- B. Subgrantee Recipients shall offer client education where applicable to assist the client in reducing energy costs.
- C. A subgrantee recipient may weatherize a building containing rental dwelling units where:
 1. The subgrantee recipient has obtained the written permission of the owner or owner's agent;
 2. Not less than 66 percent (50 percent for multifamily buildings of 100 units or more) of the units are eligible units or will become eligible dwelling units within 180 days under a federal, state, or local government program for rehabilitating the building or making similar improvements to the building;
 3. The subgrantee recipient has established procedures for dwellings consisting of a rental unit or units to ensure that:
 - a. The benefits of weatherization assistance in connection with such rental units, including units where the tenants pay for their energy through their rent, will accrue primarily to the low-income tenants residing in such units;
 - b. For a reasonable period of time, which is defined as a period of three years, after weatherization work has been completed on a dwelling containing a unit occupied by an eligible household, the tenants in that unit (including households paying for their energy through their rent) will not be subjected to rent increases unless those increases are

demonstrably related to matters other than the weatherization work performed;

- c. Tenants may file a complaint first with the local Community Action Agency then with the Oklahoma Department of Commerce/Office of Community Development if the complaint is not resolved. The owners must demonstrate that the rent increase concerned is related to matters other than the weatherization work performed; [See Requirement 103 Applicant Appeals]
- d. No undue or excessive enhancement shall occur to the value of the dwelling units.

D. With written approval from the Oklahoma Department of Commerce, Office of Community Development (ODOC/OCD), subgrantee recipients may weatherize shelters that comply with the definitions below:

- 1. Shelter means a dwelling unit or units whose principal purpose is to house, on a temporary basis, individuals who may or may not be related to one another and who are not living in nursing homes, prisons, or similar institutional care facilities;
- 2. Shelters shall be counted as one (1) unit per each 800 square feet or each floor of the unit shall be considered as one (1) unit;
- 3. Expenditures to service shelters are limited to twenty percent (20%) of each weatherization contract;
- 4. Requests to provide services to shelters should include an analysis of the cost/benefit to clients and cost benefit for energy savings when compared with serving family units.

E. DHS Contracts: Eligibility requirements [See Attachment 6] under State Department of Human Services (DHS) contracts are as follows: Any household certified by DHS to be eligible for assistance under the approved Low Income Home Energy Assistance Program (LIHEAP) Plan. A household not appearing on the DHS/LIHEAP list must be certified by DHS prior to weatherization and the LIHEAP client number assigned by DHS must be included on the ODOC claim or, if the LIHEAP list for any particular county has been exhausted, the subgrantee recipient may determine a household's eligibility for LIHEAP-funded weatherization assistance using all LIHEAP or DOE eligibility criteria of 60% of State Median Income Guidelines, provided:

- 1. Such households are owner-occupied, or renter-occupied as long as the unit complies with Section II.C of this policy for rental units.
- 2. Such determination entitles the household to weatherization assistance only; and

3. The subgrantee recipient assumes total responsibility, including financial responsibility, in all such cases where weatherization services are provided in the event of error.
- F. All Contracts: Subgrantee Recipients shall not weatherize a unit which:
1. Is designated for acquisition or clearance by a federal, state or local program within 12 months from the date weatherization of the dwelling unit would be scheduled to be completed; or
 2. Was previously weatherized with ODOC funds, except:
 - a. If such dwelling units have been damaged by fire, flood or Act of God and repair of the damage to weatherization material is not paid for by insurance; or
 - b. If the unit was weatherized during the period September 30, 1975, through September 30, 1994, it may be eligible for **re-weatherization**. These homes will be reported separately. Subgrantee Recipients may count these homes as completions for the purposes of compliance with the per-home expenditure limits. Each dwelling unit must receive a new energy audit that takes into account any previous energy conservation improvements to the dwelling.
- G. Procedures for Application Processing:
1. Subgrantee Recipients shall use the Weatherization Assistance Program Application [**Form 22**] to determine eligibility of the applicant.
 2. If the applicant has no evidence of income, or no-income, the subgrantee recipient must collect a Notarized Self-Certification Form from the applicant [**Form 34**].
 3. **Supporting Documentation-** For purpose of review and audit, each file must contain an application from the client that contains the required demographics and income for the entire family living in residence. The demographics should include the same information as what is included on the Weatherization DOE Quarterly report (age, disabled or physically challenged, race - Native American, high residential energy user, household with high energy burden) and this data must be collected and included in each client file.
 4. If the applicant is eligible, the subgrantee recipient shall prepare a Weatherization Needs Assessment/Priority System [**Form 23**]. Ineligible applicants must be notified in writing with a Weatherization Denial/Deferral Form [**Form 24**]. If the initial assessment indicates a need for the applicant to

remedy an issue, the applicant must be notified with a Deferral of Service **[Form 33]**.

5. The application should then be reviewed by internal review procedures and selected for service and prioritized based upon need.

III. FORMS

1. Weatherization Assistance Program Application - Form 22
2. Weatherization Needs Assessment/Priority System - Form 23
3. Weatherization Denial Form - Form 24
4. Weatherization Deferral of Service - Form 33
5. Weatherization Self-Certification No-Income Form - Form 34

ATTACHMENTS

1. Attachment 6 - DHS Weatherization Guidelines

RESOURCES

1. DOE Current PY Guidance:
<http://waptac.org/Rules-0024&-Guidance/Program-Guidance.aspx> (find current Program Year and Poverty Income Guidelines)

SECTION III
ADDITIONAL PROGRAM REQUIREMENTS
REQUIREMENT NO. 302
MAXIMUM ALLOWABLE COSTS
EFFECTIVE April 1, 2015

I. CONTRACTUAL REQUIREMENT

Subgrantee Recipients shall comply with the requirements set forth in 10 CFR 440 http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl in determining maximum allowable costs for weatherized dwelling units.

II. PROCEDURES

A. Weatherization Programs funded by ODOC shall operate within the following limitations.

1. Agency program costs cannot average more than \$7,105 per unit. The total allowable costs shall consist of Program Support Costs (total labor, transportation, tools and equipment and storage) and Materials (including incidental repair materials).

B. Building insulation products and material containing recovered materials must be procured.

C. DOE released WPN 12-9 WAP Incidental Repair Measure June 27, 2012 to provide guidance on Incidental Repair Measures (IRMs). The WAP Federal Regulations 10 CFR § 440.3 http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl define Incidental Repairs as follows: “those repairs necessary for the effective performance or preservation of weatherization materials. Such repairs include but are not limited to, framing or repairing windows and doors which could not otherwise be caulked or weather-stripped, and providing protective materials, such as paint, used to seal materials installed under this program.” Incidental repair costs cannot exceed \$750 per unit.

Incidental Repairs must be justified in the client file with an explanation for their need and relationship to a specific Energy Conservation Measure (ECM) or group of ECMs.

The introduction of advanced energy audits in 1993 altered the concept of tracking just material costs to installed measure costs (materials, including warehouse and delivery, as well as labor and on site supervision costs). Instead of separate limits on dollars spent for weatherization and or incidental repairs materials to control spending, the cost of ECM and incidental repair measures (IRM) was limited by

requiring a Saving to Investment Ratio (SIR) of 1.0 or higher, and a maximum average expenditure for each home weatherized.

Although IRMs continue to have a requirement to be justified by an *association* (necessary for effective performance or preservation) with one or more ECM, the WAP enabling statute indicates the *costs* for IRMs must be limited by the inclusion in the “cost of the package of measures installed in a dwelling 10 CFR §440.21(d).”
http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl
Weatherization Program Notice 12-9 will assist subgrantees in determining the appropriate ECM ancillary item costs and IRM cost as part of a package of measures.

See the definitions below:

Ancillary Items: *Costs must be included in SIR for associated individual Energy Conservation Measures.* Ancillary items are necessary for the proper installation of weatherization materials. Ancillary items refer to small items such as hardware, nails/screws, other fasteners, adhesive, sealant, etc. Ancillary items are not large ticket items such drywall, roof/floor decking, rough framing, etc. (latter are incidental repairs). Ancillary items are required by materials manufacturers, general construction, and/or WAP field standards to achieve a finished product in a typical installation where no unusual or extensive repairs are needed. **The costs of ancillary items and installation are to be included within the cost of an individual ECM when calculating the SIR for the individual ECM.** Although the WAP requires the use of appropriate, durable ancillary materials, standards for ancillary items are not typically listed in 10 CFR 440, Appendix A.

Energy Conservation Measures (ECM) – A procedure, including materials and installations, which is considered or performed for its anticipated energy savings. An ECM often includes installation of ancillary items but will not include IRMs. **The installed cost of all ancillary items associated with the proper installation of an individual ECM must be added to the cost of its ECM when calculating the SIR for the individual ECM.**

Health and Safety Measure – *Separate costs justification. Not included in SIR.* Health and Safety measures are those actions necessary to maintain the physical well-being of both the occupants and/or weatherization workers where the actions **MUST** be taken effectively perform weatherization work or the actions are necessary as a result of weatherization work.

Incidental Repair Measure (IRM)- *Cost must be included in SIR for whole unit package of ECM.* Includes incidental repair materials and installation, which are performed because they are deemed necessary for the effectiveness of one or more ECMS. The ECM(s) that require the installation of an IRM must be documented in the client file. **The IRM costs are not added to an individual or partial group of ECM costs. The total**

costs of all IRMs are added to the costs of the package of weatherization measures to calculate the whole unit (SIR). Incidental repair costs cannot exceed \$750 per unit.

Package of Weatherization Measures – The cost of all ECMs included in an audit and/or installed in the home. **The estimated cost of each ECM will include the estimated costs of its ancillary items.** The cost of all IRMs is added to the cost of the package of weatherization measures when calculating the SIR for the whole building.

Weatherization Materials – Materials that are purchased for installation in a building that are anticipated to have a direct impact on saving energy. A definition of approved weatherization materials can be found in Federal Regulations 10 CFR § 440.3.

http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl

Weatherization materials must be listed and must comply with the standards in 10 CFR Part 440 Appendix A.

Therefore, **costs must be included in the cost of the associated ECM, and the entire cost of the repair and measure must yield an SIR of 1.0 or higher**. Allowable incidental repair costs consist of those repairs necessary for the effective performance or preservation of other weatherization materials. Incidental repairs include but are not limited to the following:

1. Lumber used to frame or repair windows and doors, which could not otherwise be caulked and weather-stripped;
2. Roofing materials used as a patch to repair water leaks which could damage ceiling insulation;
3. Protective materials, such as paint, to seal materials installed under this program;

To see more examples of materials and how to calculate costs for each category (IRM, ECM or ancillary) see WPN 12-9 page 3 table:

This is the process that all subgrantee recipients should follow, according to WPN 12-9, to achieve the primary goal of WAP, to lower the home energy costs of qualified households without negatively affecting the health and safety of the occupants. Therefore, justification for the cost of each IRM and how each IRM is necessary for the effective performance or preservation of an ECM must be documented in the client file:

- Each ECM, including any associated ancillary items and installation costs, must have a calculated SIR of 1.0 or greater to be eligible for DOE funding:

- For each weatherized building, the cost of the total package of ECMs, added to the costs of all IRMs for the building must have a calculated SIR of 1.0 or greater.
 - After the first audit run, a package of measures may not have a qualifying SIR, it would be necessary to remove the combination of the ECM and its related IRM with the lowest SIR. If the IRM was deemed necessary for effective performance of the ECM, then both the ECM and the IRM must be removed in the attempt to meet the dwelling SIR. **This process (of removing the lowest ECM and its associated IRM) would continue until the package of measures (and each ECM) has a qualifying SIR at or above 1.0.**
 - If one IRM is necessary to protect or enhance more than one ECM, (e.g. roof repair protecting attic insulation, sidewall insulation and foundation insulation) **then all those ECMs together must be considered for removal until the SIR for the package of measures is 1.0 or greater.** This process may result in deferral of weatherization work until another funding source can be found to pay for the IRMs.
 - IRMs must be limited to those minor repairs necessary for the effective performance or preservation of measures installed by the subgrantee. WAP funds cannot be used to install IRMs deemed necessary to protect the materials in the building before the audit is performed.
- D. Replacement, Repair or installation of doors and windows is not an allowable health and safety cost, but may be allowed as an energy efficiency measure with a prescribed NEAT audit with a SIR of 1.0 or higher. Doors may also be justified with proper photo documentation/narrative in the client file. Doors and windows may be installed under general “air infiltration” under specific conditions (See Requirement 309).
- E. All equipment and vehicles costing more than \$5,000 must be approved in advance by the U.S. Department of Energy. Requests must be submitted in writing to the Department of Commerce. The request must include:
- Name of requesting agency
 - A statement that the equipment or vehicle will be used only in the Weatherization Assistance Program
 - A statement whether this is a replacement, or an expansion for ramp-up. If this is a replacement how will the trade-in be addressed?
 - Brief Description of how the procurement will be done, and confirmation that Agency, Grantee and Federal procurement guidelines will be met
 - 2 CFR 225 – Costs Principals for State, Local, and Indian Tribe Governments
 - 2 CFR 230 – Cost Principals for Non-Profit Organizations
 - 2 CFR 200 – Financial Assistance Rules
 - What is the funding source (i.e. DOE Weatherization Program Operations funds).

- Copies of bid specifications (vehicle/equipment description with options requested) and a bid analysis indicating at a minimum, each bidder, the bid price, a determination whether the proposal met the bid specification.
- Three bids or quotes
- Statement that the lowest bid was selected or a sufficient justification of the “best value selection” if lowest bid not recommended for DOE approval.

III. FORMS

None

SECTION III
ADDITIONAL PROGRAM REQUIREMENTS
REQUIREMENT NO. 303
WEATHERIZATION PROCEDURES
EFFECTIVE April 1, 2015

I. CONTRACTUAL REQUIREMENT

- A. Subgrantee Recipients shall ensure that standards of workmanship and quality of service received comply with applicable federal and state rules, regulations, and guidelines.
- B. The maximum work necessary shall be completed within the allowable cost.
- C. As many materials as necessary should be applied in the priority order, within the allowable cost limitation for all Energy Conservation Measures (ECMs). At a minimum, all general heat waste, insulation, health and safety, and repairs should be accomplished if SIR at or above 1.0 for the cost of the package of ECMs, which will also include Incidental Repair Measures (ICMs).

II. PROCEDURES

Subgrantee Recipients shall:

- A. Complete Weatherization Field Audit [**Form 28**] Diagnostics Form [**Forms 38**].
- B. Comply with [10 CFR 440.1](#).
- C. Distribute [Renovate Right Confirmation of Receipt of Lead Pamphlet](#) [**Attachment 35**] and the brochure "Protect Your Family from Lead in Your Home" [**Attachment 11**].
- D. Comply with [Oklahoma Weatherization Field Guide](#), and [NREL's Home Energy Professional Standard Work Specifications \(SWS\)](#)
- E. Follow the recommended measures list in NEAT/MHEA.
- F. New Hire Training requirements:
 - 1. Within 6 months of start date, new hire weatherization worker(s) must be trained and certified in RRP, and OSHA 10.

2. Within one year new hire weatherization worker(s) must attend Tier 2 training sessions to build worker capacity for their Job Task Analysis (JTA), and to build upon the necessary CORE competencies for that position.
 3. Within two years, the weatherization new hire must receive Tier 1 training through an IREC accredited program for the JTA of the worker.
- G. All reported weatherization units must receive a final inspection by a certified Quality Control Inspector (QCI), utilizing the Quality Control Summary (Form 44)

III. FORMS

1. Weatherization Field Audit [**Form 28**]
2. Diagnostics Summary [**Form 38**]
3. Quality Control Summary [**Form 44**]

IV. ATTACHMENTS

1. 10 CFR 440 Weatherization Assistance for Low Income Persons http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl
2. Distribute [Renovate Right Confirmation of Receipt of Lead Pamphlet](#)
3. “Protect your Family from Lead in Your Home” [**Attachment 11**]
4. [Oklahoma Weatherization Field Guide](#).
5. [NREL’s SWS](#)

SECTION III
ADDITIONAL PROGRAM REQUIREMENTS
REQUIREMENT NO. 304
CLIENT FILES
EFFECTIVE April 1, 2016

I. CONTRACTUAL REQUIREMENT

Subgrantee Recipient shall maintain documents and records as required by ODOC to demonstrate compliance with applicable regulations. All of the following forms must be utilized; ODOC will no longer allow Subgrantee modified forms to be used for weatherization.

II. PROCEDURES

A. Subgrantee Recipients shall maintain the following documents in client files. The Subgrantee Recipient must have separate client files for each funding source contract. All forms must be included in the Client File per the order of Form 39 (Weatherization Client File Checklist).

III. PHOTOS

Photo documentation is required to be a part of the Client File. Photos can be stored on CDs, jump drives, and/or printed. Photos should be clearly distinguishable, labeled (either as the date the photo was taken or as "before," "after," or "during"), and organized within the Client File.

Before/During/After photo documentation of the following is required:

- A. Photos of all completed weatherization work that was prescribed by NEAT and/or MHEA or required for Health and Safety reasons.
- B. Photos of all items that were not specifically required by NEAT and/or MHEA, such as incidental repairs or items involving extenuating circumstances.
- C. Photos of all lead safe work procedures.

IV. FORMS

- 1. Weatherization Client File Checklist (Section III, Form 39)
- 2. Building Weatherization Reports (Form 26 DOE, Form 27 DHS)
- 3. Client Satisfaction (Form 35)
- 4. Quality Control Inspection (QCI) Summary (Form 44)
- 5. Warranty Information (Form 46)
- 6. Diagnostics (Form 38)
- 7. Work Write-Up/Estimate (Form 28)

8. NEAT/MHEA Deviation, Client Resolutions (Form 45)
9. Priority Needs (Form 23)
10. Weatherization Application (Form 22)
11. Occupant Agreement (Form 30)
12. Weatherization Program Agreement for Rental Unit (Form 29)
13. Weatherization Self-Certification No-Income Form – (Form 34)
14. ASHRAE 62.2-2013 Online Ventilation Calculation Sheet (link)
<http://www.residentialenergydynamics.com/REDCalcFree/Tools/ASHRAE6222013.aspx>
15. LSW – Certified Renovator On the Job Training Log (Form 40)
16. LSW – Cert. Renovator Training Hands on Skills Assessment (Form 41)
17. LSW- Test Kit Documentation (Form 42)
18. LSW – Renovation Recordkeeping Checklist (Form 43)
19. Mold Inspection and Release Form (Form 32A)
20. Client Health and Safety Checklist – (Form 25A)

V. ATTACHMENTS

1. Attachment 24 - Department of Energy Program Notice 10-18
2. Attachment 30 - ASHRAE 62.2 Duct Sizing Info Sheet
3. Attachment 32 - Spot Ventilation- EERE Info Sheet
4. Attachment 33 - Ventilation Strategies Info Sheet
5. Attachment 35 - “Renovate Right” Pamphlet

SECTION III
ADDITIONAL PROGRAM REQUIREMENTS/PROCEDURES
REQUIREMENT 305
ASSESSMENT, PURCHASE, AND QUALITY CONTROL INSPECTION
EFFECTIVE April 1, 2015

I. CONTRACTUAL REQUIREMENTS

Subgrantee Recipients, in compliance with 10 CFR 440 http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl shall accomplish weatherization activities to improve energy efficiency and shall conserve energy by purchasing and installing materials which are the most cost effective and complies with the Standard for Conformance as set forth in Appendix A of 10 CFR 440, while ensuring reported units are inspected in accordance with DOE standards established in [Weatherization Program Notice 15-4](#).

II. PROCEDURES

Subgrantee Recipients shall comply with the following:

- A. Dwelling Assessment:** The subgrantee recipient is responsible for assessing a dwelling to determine the material needs for weatherization of a unit. This responsibility shall not be subcontracted or assigned to other than subgrantee recipient personnel. The subgrantee recipient may have the subcontractor accompany them but the subgrantee recipient must be certain all general heat waste, insulation and venting materials used are identified by the NEAT or MHEA Audit.
- B. Material Purchases:** The subgrantee recipient or its designated subcontractor is responsible for determining all material needs and purchases. The subgrantee recipient/subcontractor must provide the following documentation prior to authorization for payment.
1. Material invoices with each unit.
 2. Totals for material and labor cost must be shown separately.
 3. Certify that all materials meet DOE Appendix A standards.
 - a. **French Doors are not listed in Appendix A and are not an allowable weatherization material.**
 4. CAA is required to complete Field Audit (Form 28), inspections (pre- and post-completion), and ensure materials meet Appendix A Standard in 10 CFR 440.
 5. If ODOC determines that costs of materials/labor are excessive, those costs will be disallowed and payment shall be the responsibility of the CAA. Written justification for questionable materials/labor cost must be received and approved by ODOC prior to the payment of such cost.
 6. At the beginning of each program year, CAAs must annually update their material and labor, and fuel costs in NEAT/MHEA, in order to ensure accurate pricing, as stated in Requirement 309. This data must be made available to ODOC upon request.
- C. Certification/QCI:** Per DOE's Quality Work Plan Requirement, [WPN 15-4](#), the subgrantee recipient is responsible to report only those dwelling units that are completed, which includes the following:
1. The installation of NEAT/MHEA prescribed measures installed in order of the recommended measures, with a measure SIR at or above 1.0, and a unit SIR at or above 1.0 (cumulative).

2. All weatherization and H&S measures are installed in a workmanlike manner and the quality of work will meet or exceed the DOE standards as set forth in [NREL's Standard Work Specifications \(SWS\)](#).
3. All weatherization measures are installed by trained Subgrantee crew member(s) or a trained contracted third party (Subcontractor).
4. Every dwelling unit has received a final inspection, including mechanical work performed, by a certified Quality Control Inspector (QCI), also known as Quality Control. The requirements for each Quality Control Inspection are detailed in part D.
5. This responsibility shall not be subcontracted or assigned to other than subgrantee recipient personnel, without prior ODOC approval.
6. The final inspection should not occur until all necessary materials are applied.

D. Quality Control Inspection Process: DOE requires every reported WAP unit to receive a final inspection by a certified QCI per [WPN 15-4](#). ODOC identified the following process to ensure subgrantee recipient compliance with the requirement:

1. Each client file must identify which weatherization worker conducted the assessment, measure installation/work and final inspection on the unit, and identify if the inspector was an agency employee or contracted third party.
 - a. This will ensure the state monitors and state QCI (Quality Assurance) monitor are aware of the separation of duties.
 - b. If the subgrantee recipient utilizes the same person for the audit/assessment as the final inspection, the number of weatherization units inspected will increase to at least 10%.
2. The QCI Summary Form (Form 44) must be used during the final inspection.
 - a. In order to prepare for the inspection the inspector should review the following in the client file and pre-fill the QCI Summary form prior to the final inspection
 - i. BWR/Client File checklist
 - ii. Energy Audit NEAT/MHEA to review the Recommended Measures, air infiltration work
 - iii. The Weatherization Diagnostics Form (Form 39) should be utilized to determine pre and post weatherization diagnostics and compared to the QCI assessments.
 - b. The QCI is expected to perform and record the following diagnostics during the final inspection (on the QCI Summary Form 44) and follow ODOC and/or DOE policy regarding each test:
 - i. Blower Door test
 - ii. Zonal Test
 - iii. Pressure Pan Testing
 - iv. Isolated CAZ Testing
 - v. Dominant Duct Testing
 - vi. Room Pressure Testing
 - vii. Exhaust Fan Flow testing
 - viii. Whole House Ventilation Testing (ASHRAE)
 - ix. Duct Leakage (Total Leakage and Leakage to outside)
 - x. Worst Case CAZ Testing (Using BPI standards)
 - xi. CO testing Ambient exterior and Interior (Using BPI Standards)
 - xii. Infrared camera to spot check air sealing effectiveness
 - xiii. Thorough inspection of the attic and crawl space to determine air sealing and conformance to SWS

- c. QCI will need to provide Verification of the following during the final inspection:
 - i. When insulation is used verification of amount required and amount used (bag count)
 - ii. Certified Renovator Cards
 - iii. OSHA 10 and or 30 cards
 - iv. Respirator Fit Testing
 - v. Equipment maintenance
 - vi. Diagnostic equipment calibration
 - d. If the Crew Leader or Retrofit Installer is present during the final inspection, the QCI may allow the worker to fix issues found immediately, or determine the best process for addressing the incomplete work, as long as the final report records the entire process.
 - e. If the QCI is unsure of a specific finding or measure installation during the final inspection, the QCI may contact the State for guidance to determine the best course of action.
 - f. The QCI Summary must be filled out completely and included in the subgrantee recipient's Client File, and ensure all requirements in Section C above are met.
 - g. State QCI: Will be required to provide a report and narrative of the above procedures, and client file verification with more details provided in Contract language.
3. If the QCI signs off on work that is later deemed incomplete by the State QCI, State Monitor (Program representative), or DOE monitor, the subgrantee recipient (Community Action Agency) will be considered responsible for units reported to DOE and later deemed incomplete. This does not change if the QCI is agency employee, or contracted third party.
- a. Once the unit is reported as complete, Department of Energy (DOE) funds cannot be used for call-back/supplemental work. Therefore, subgrantee recipients should caution their final inspectors to thoroughly inspect each unit.
 - b. If a QCI at the Grantee or Subgrantee level is not inspecting units using the standards adopted by the Grantee and consistent with NREL's SWS, the following disciplinary actions will take place:
 - i. If the QCI (Grantee or Subgrantee) does not perform inspections based on the requirements set forth in this policy, Section D, and does not use standards identified in SWS or WPN 15-4, including not utilizing a certified QCI for final inspections for any reported WAP unit the following disciplinary actions will occur:
 - a. The Subgrantee will be placed on immediate probation for a period of up to 6 months or more, and required to report all units to ODOC for verification of QCI final inspection.
 - b. The Subgrantee will be paid on a reimbursement basis during the probationary period,
 - c. ODOC will widen the unit sampling of quality assurance reviews to 20-50% depending on the size of the Subgrantee during the

probationary period to establish corrective action is achieved including verifying final inspections are conducted by a certified QCI, and all work is installed in accordance with standards in SWS.

- d. Additional oversight on quality assurance reviews will ensure corrective action is achieved through quality work and measure effectiveness.
 - ii. If the QCI (Grantee or Subgrantee) does not perform inspections based on the requirements set forth in this policy, Section D, including using standards identified in SWS, and the QCI (Grantee or Subgrantee) reports incomplete units to DOE, and the State QCI or Program Representative notice a pattern of oversight, the following will occur
 - a. ODOC will widen the sampling of the of quality assurance reviews to 20-50%, depending on the size of the Subgrantee, for a probationary period of up to six months, to establish corrective action is achieved including verifying final inspections, quality work, and measure effectiveness.
 - b. The certified QCI will be required to attend necessary training, Tier 1 or Tier 2 depending on the needs of the Subgrantee QCI.
 - c. If during the 6 month probationary period the QCI does not successfully meet the standards set forth in C.1, ODOC will place the agency on reimbursement status for an additional 3 months or until ODOC is satisfied the Subgrantee can fulfill these requirements.
 - iii. If during the maximum probationary period up to 9 months ODOC is unsatisfied with the Subgrantee response to these requirements, ODOC will take further action to ensure DOE funding is utilized and expended based upon DOE rules, including but not limited to re-distribution of funding, and possible additional corrective actions as determined by the State.
- c. Completion: A dwelling may not be counted as complete until all weatherization measures are installed, the unit has received its final inspection by a certified Quality Control Inspector, and all work is completed in a skillful manner in accordance with the audit.

III. FORMS

Form 28 – Field Audit

Form 39 – Weatherization Diagnostics Form

Form 44 – Quality Control Inspection Summary

IV. ATTACHMENTS

1. Attachment 25 (Weatherization Program Notice 11-3 POLICY REGARDING THE USE OF DOE PROGRAM FUNDS TO PAY FOR CALL-BACK/ADD-ON WORK AFTER REPORTED TO DOE AS A COMPLETED UNIT).
2. Attachment 7 – 10 CFR 440

3. Weatherization Program Notice 15-4

V. RESOURCES

1. Federal Regulations 10 CFR 440, Appendix A- Standards for Weatherization Materials

SECTION III
ADDITIONAL PROGRAM REQUIREMENTS
REQUIREMENT NO. 306
WAP FINANCIAL REPORTS
EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENTS

Subgrantee Recipients shall furnish financial reports related to the contract in the forms and at such times as may be required by ODOC.

II. PROCEDURES

Reports shall be submitted, as funds are required.

- A. Request for Payment of Contract Funds submitted, as funds are required.
- B. DHS/DOE Monthly Expenditure Report submitted on the 20th of the month whether funds have been expended or not.
- C. DHS/DOE Budget/Budget Revision submitted to and approved by ODOC prior to executing a Budget Modification.
- D. DHS/DOE Quarterly Report due July 20, October 20, January 20, and April 20.
- E. DHS/DOE Weatherization Program Narrative submitted with the Monthly Expenditure Report.
- F. Weatherization Assistance Program Production Schedule submitted quarterly.

III. FORMS

None.

SECTION III
ADDITIONAL PROGRAM REQUIREMENTS
REQUIREMENT NO. 307
HEALTH AND SAFETY
EFFECTIVE April 1, 2016

I. CONTRACTUAL REQUIREMENTS

Energy related health and safety concerns are those hazards that must be mitigated before or because of installation of weatherization materials. Therefore, health and safety hazards associated with weatherization activities that are energy related should be mitigated or prevented. Subgrantee Recipients are strongly encouraged to leverage funds not associated with the Weatherization Assistance Program (WAP) to abate any health and safety issues not abatable within the limits of this requirement.

II. PROCEDURES

All weatherization related activities must comply with DOE Weatherization Program Notice 11-06 or newer guidance as issued. The most prevalent areas of health and safety concerns are lead-based paint, combustion appliances, and excess moisture. Other potential health and safety hazards, which tend to be limited by region, such as radon gas, are to be resolved with other appropriate state or federal agencies. Under no circumstance should weatherization work which would exacerbate health and safety problems proceed. Health and Safety activities should be documented on the Weatherization Dwelling Inspection and Health & Safety Checklist. [Requirement 303]

ODOC recognizes that it is not possible to catalog all potential health and safety problems. Should concerns not enumerated in this document be identified, it is the subgrantee recipient's responsibility to notify ODOC of the problem and obtain specific directions on how to proceed before any weatherization work commences. Failure to adhere to this requirement may result in disallowed costs for the subgrantee recipient and potential liability for the subcontractor.

Health and Safety (H&S) expenditures for mitigation are estimated at 13% of Program Operations expenditures or approximately 13% the average cost per unit (ACPU) for PY 2016. Health and Safety shall be listed as a separate category. Health and safety charges shall not be included in the average cost per unit.

ODOC requires all subgrantee recipients to educate clients on all H&S issues found within the home. Form 25A lists possible H&S issues, and the subgrantee recipient is required to provide this form, and the Renovate Right Brochure, which provide good information on how to avoid or prolong H&S issues, and maintenance required on some equipment. **This is required for each applicable H&S issue at each unit weatherized.** The client must sign Form 25A before final assessment on the unit, and the subgrantee recipient must include the signed form within the client file.

Training:

Each potential H&S problem below lists the basic training requirements for the applicable H&S issue, however ODOC recommends additional training for H&S at the Oklahoma Weatherization Training Center, including but not limited to, Assessor/Auditor training, Mobile Home training, continuing education on CAZ testing, mold, lead, and asbestos to help recognize the risk factors present within units. Another important training aspect is for crews and assessors to learn the signals for potentially dangerous situations including drugs in the home, biological hazards, cleanliness, and accessibility.

Important:

In PY 2015 and beyond all measures/installations must follow [NREL's Standard Work Specifications](#), to include H&S installations, and weatherization installations must follow the most current [Oklahoma Field Guide](#) aligned to the SWS, and ODOC policies and procedures within the CAA Implementation Manual. Agencies are required to document all measure installations on the Weatherization Plan and Field Audit (Form 28).

In order to ensure the safety of WAP clients, all units must be tested utilizing CAZ testing methods at the conclusion of each work day when air sealing a unit. The Subgrantee Recipient must test drafting appliances for draft, and spillage under worst case conditions, before and after air tightening any weatherization unit. The CAZ test will be recorded on the Field Pressure and Diagnostic Summary (Form 38) and will be required to be included in the client file. Subgrantee Recipient cannot utilize their own forms.

Subgrantee Recipient are required to ensure their sub-contractors are trained per DOE rules and regulations, as well as weatherization crews, with the implementation of NRELs Standard Work Specifications (SWS) in PY 2015 and beyond.

A. Air Conditioning/Heating Systems:

Actions/ Allowability: "Red tagged", inoperable, or non-existent heating system replacement, repair, or installation is allowed when climatic conditions warrant, unless prohibited by previous DOE guidance. Heating system replacement with H&S funds must be approved by ODOC liaison. The furnace should be input in NEAT/MHEA to determine potential energy savings and a SIR at or above 1.0, prior to determining it as a potential H&S replacement.

A.C. systems – replacement, repair or installation

Allowed in at risk occupant homes - air conditioners may be repaired or replaced (if repair is not feasible) using health and safety funds if all of the following conditions are met:

- there is an existing air conditioner installed in the home that is not currently working.
- the home is owned by the occupant/applicant
- a child under age 5, and/or person over age 65, and/or a disabled person lives in the home

Weatherization providers should be mindful of limits in their health and safety budgets, and also be reminded that the WAP is primarily an energy efficiency program, and any health and safety mitigation should be energy related.

Mitigation Work: All repair or replacement must be performed in accordance with all state and local codes and ordinances. In the absence of local codes, the Building Officials and Code Administrators (BOCA) model building regulations for the protection of public health, safety, and welfare are to be followed.

Testing A.C. and Heating systems:

- Ensure present systems are operable, and performing (see CO testing)
- Determine presence of at-risk occupants

Training: The Oklahoma WAP network contracts out all HVAC work completed in units. This helps alleviate the occurrence of call-backs which are disallowed per DOE WPN 11-3. Subgrantee Recipient are required to ensure their sub-contractors are trained per DOE rules and regulations, especially in regards to the standards established in [SWS](#) for PY 2015 and beyond.

Client Education: Provide information sheet on appropriate use and maintenance of units, including tune-ups, cleaning, and discuss the risks and warning signs associated with high CO in a household.

B. Appliances and Water-Heaters:

Action/Allowability: Replacement of water heaters is allowed on a case by case basis and is to be approved by ODOC Program Representatives. Generally, if the water heater is leaking, rusted, and appears beyond repair, ODOC approves replacement based on verifiable need through photo documentation. The DWH should be input in NEAT/MHEA to determine potential energy savings and a SIR at or above 1.0, prior to determining it as a potential H&S replacement.

Other Appliances - Replacement and installation of other appliances are not allowed health and safety costs. Repair and cleaning are allowed.

Testing: Determine if the appliance or water heater is performing safely. Combustion testing is required when a combustion appliance is present. See Carbon Monoxide Testing Section Z.

Training: Awareness of guidance. CAZ testing (through BPI), basic weatherization procedures courses available annually through various conferences and the Oklahoma Weatherization Training Center.

Client Education: Discuss appropriate use and maintenance of units and proper disposal of bulk fuel tanks when not removed. Provide information sheet on appliances and water heater use and maintenance.

C. Asbestos -

1. In siding, walls, ceilings, etc. -

Action/Allowability: Removal of siding is allowed to perform energy conservation measures. All precautions must be taken not to damage siding. Asbestos siding should never be cut or drilled.

Recommended – where possible insulate through home interior and avoid removal of asbestos siding.

Testing: Inspect exterior wall surface and subsurface for asbestos siding prior to drilling or cutting.

Client Education: Inform client that suspected asbestos siding is present and how precautions will be taken. Provide client with Asbestos information info sheet.

Training: Safe practices for siding removal and replacement. How to identify asbestos containing materials.

2. In Vermiculite -

Action/ Allowability: When vermiculite is present, unless testing determines otherwise, take precautionary measures as if it contains asbestos, such as not using blower door test and utilizing personal air monitoring while in attics. Where blower door tests are performed, it is a best practice to perform pressurization instead of depressurization. Encapsulation by an appropriate trained asbestos professional is allowed.

Removal is not allowed.

Testing: Assess whether vermiculite is present. Asbestos Hazard Emergency Response Act of 1986 (ASHERA) certified prescriptive sampling is allowed by a certified tester.

Client Education: Clients should be instructed not to disturb suspected asbestos containing material. Provide asbestos safety information to the client. Formally notify client if test results are positive for asbestos and signed by the client. Provide client with asbestos info sheet.

Training: Audit training on how to recognize vermiculite. ASHERA course for testing. ASHERA course or other appropriately trained or certified asbestos control professional training for encapsulation.

3. On pipes, furnaces, other small covered surfaces.

Action/ Allowability: Assume asbestos is present when covering materials. In Oklahoma asbestos is commonly found on pipes, so use caution, and thoroughly inspect units before blower door test.

Removal may be allowed by an ASHERA professional on a case by case basis. Not recommended.

Encapsulation is allowed by an appropriately trained ASHERA asbestos control professional and should be conducted prior to blower door testing.

Testing: ASHERA testing is allowed by a certified tester.

Client Education: Clients should be instructed not to disturb suspected asbestos material. Provide asbestos safety information to the client.

Training: AHERA course for testing and asbestos control professional training for abatement. How to identify asbestos containing materials.

D. Biological and Unsanitary conditions- odors, mustiness, bacteria, viruses, raw sewage, rotting wood:

Action/ Allowability: Remediation of conditions that may lead to or promote biological concerns and unsanitary conditions is allowed. Removal of mold, odors, viruses, bacteria, rotting wood and other unsanitary conditions is not a responsibility of the weatherization program, but may be undertaken with Health and Safety funds if such activities allow for the installation of weatherization measures and/or to ensure the health and safety of clients and workers.

Addressing bacteria and viruses is not an allowable cost.

Weatherization work may be deferred if the cost, scope, or nature of mitigating the biological hazard is beyond the reach of the weatherization provider. Also, deferral may be necessary in cases where a known agent is present in the home that may create a serious risk to occupants or weatherization workers. Also see mold and moisture guidance Requirement #310.

Testing: Sensory testing.

Client Education: Inform client of observed conditions. Provide information on how to maintain a sanitary home and steps to correct deferral conditions.

Training: How to recognize conditions and when to defer. Ensure training on worker safety when coming into contact with these conditions.

E. Building Structure and Roofing:

Action/ Allowability: Building Rehabilitation is beyond the scope of the WAP.

Homes with conditions that require more than incidental repairs should be deferred. Dwellings with structural integrity that is in question should not be weatherized. Applicants may be referred to the U.S. Department of Housing and Urban Development, United State Department of Agriculture or other non-DOE housing programs.

The cost of incidental repairs that are necessary to ensure the effectiveness of weatherization measures must be combined with the cost of the associated energy saving measure, and the entire cost must result in an SIR of 1.0 or higher. For example, if a home needs roof repair before attic insulation can be installed, then the cost of the insulation should be combined with the cost of the roof repair, and if the result is an SIR of 1.0 or higher, then the repairs and the insulation installation should be completed. The maximum incidental repair cost cannot exceed \$750 for the unit.

Testing: Visual Inspection. Ensure that access to areas necessary for weatherization are safe for entry and performance of assessment, work and inspection.

Training: How to identify structural and roofing issues.

Client Education: Notify client of structurally compromised areas.

F. Code Compliance:

Action/Allowability: Correction of preexisting code compliance issues is not an allowable cost other than where weatherization measures are being conducted.

State and local codes must be followed while installing weatherization measures.

Condemned properties where “red-tagged” health and safety conditions exist that cannot be corrected under this guidance should be deferred.

Testing: Visual inspection – Local Code enforcement inspections.

Training: How to determine what code compliance may be required.

Client Education: Inform client of observed code compliance issues.

G. Combustion Gases:

Action/Allowability: Proper venting to the outside for combustion appliances, including gas dryers, is required.

Correction of venting is allowed when testing indicates a problem.

Testing: Combustion Safety testing is required when combustion appliances are present. **(Also see Z: Carbon Monoxide)**

- Inspect venting of combustion appliances to confirm adequate clearances.
- Test naturally drafting appliances for draft and spillage under worst case conditions before and after air tightening.
- Inspect cook stove burners for operability and flame quality.

Training: How to perform testing; determine when a building is excessively depressurized, and the difference between free-air and as-measured.

Client Education: Provide client with combustion safety information sheet, and discuss the importance of using ventilation when cooking and the importance of keeping burners clean to limit the production of CO.

H. Drainage – Gutters, downspouts, extensions, flashing, sump pumps, landscapes, etc.:

Action/ Allowability: Major drainage issues are beyond the scope of the WAP. Homes with conditions that may create serious health concerns that require more than incidental repairs should be deferred.

Testing: Visual Inspection.

Training: How to recognize drainage issues.

Client Education: Importance of cleaning and maintaining drainage systems. Provide information sheet on Drainage System Maintenance to help reduce drainage issues.

I. Electrical

Training: How to identify electrical hazards. Local code compliance.

1. Other than knob and tube wiring

Action/Allowability: Minor electrical repairs are allowed where health and safety of the occupant is at risk. Upgrades and repairs are allowed when necessary to perform specific weatherization measures.

Testing: Visual inspection, voltage drop and voltage detection testing are allowed.

Client Education: Provide information Sheet on Electrical Safety and discuss the risks when overloading circuits, and other electrical safety/risks.

2. Knob-and-tube-wiring

Action/Allowability: Minor upgrades and repairs are allowed as necessary for weatherization measures, and where the health and safety of the occupant is at risk. Must provide sufficient over-current protection prior to insulating over knob-and-tube wiring. **See Section J. Fire Hazards – Insulation considerations.**

Knob-and-tube wiring repairs can be made as an incidental repair when the cost of the knob-and-tube wiring repair added to the cost of the associated energy conservation measure (ECM), attic insulation for instance, results in the ECM having an SIR ≥ 1.0 . See ODOC Requirement 302 – Maximum Allowable Costs, II.C for details on Incidental Repair Measures. The maximum incidental repair cost cannot exceed \$750 for the unit.

Testing: Inspect for presence of knob-and-tube wiring. Check for alterations that may create an electrical hazard. Voltage drop and voltage detection testing are allowed.

Client Education: Provide knob-and-tube wiring information sheet to client, discuss over-current protection, overloading circuits, and other basic electrical safety/risks.

J. Fire Hazards

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

Weatherization providers should take precautions to ensure that no weatherization measures will create or exacerbate potential fire hazards. When considering mitigation of such hazards, H&S budget limits should be taken into consideration, as well as the possibility of using alternate funding sources such as LIHEAP or other funds available through additional CAA programs.

Insulation Considerations:

Insulation should not cover the pressure relief valve, end of the drip leg, draft hood, burner air inlet, pilot light access door, thermostat control, drain valve, or the top of the water heater on natural gas or propane water heaters. Insulation shall not cover the pressure relief valve, end of the drip leg, high limit switch, and plumbing pipes or drain valve on electric water heaters.

When adding insulation to the attic:

Shielding shall be installed around heat and high heat sources, including double-walled pipe. **Shielding shall be metal** and kept to a minimum of 3" from any heat source and a minimum of 6" from any high heat source. Shielding shall be installed at a height to accommodate the depth of the added insulation. If a masonry chimney has an existing metal or metal asbestos flue liner, the chimney does not need to be shielded. Weatherization materials shall not be installed over or adjacent to outlets, switches, or junction boxes that contain aluminum wiring. Open wire splices shall not be covered with insulation until they have been enclosed with proper junction boxes. If potentially dangerous creosote buildup in chimneys or wood stoves is identified, health and safety funds may be used to repair the unsafe solid fuel combustion heating system, within DOE/ODOC budgetary limits.

Weatherization of the building envelope shall not proceed until the system has been made safe.

Testing: Check for fire hazards in the time during the audit and while performing weatherization.

Training: How to identify fire hazards.

Client Education: Inform client of the observed fire hazards.

K. Formaldehyde, Volatile Organic Compounds (VOCs), and other air pollutants.

Action/ Allowability: Removal of pollutants is allowed and is required if they pose a risk to workers. If pollutants pose a risk to workers and removal cannot be performed or is not allowed by the client, the unit must be deferred.

Testing: Sensory Inspection

Training: How to recognize potential hazards and when removal is necessary.

Client Education: Inform client of observed conditions and associated risks. Provide client with written materials on safety and proper disposal of household pollutants.

L. Injury Protection of Occupants and Weatherization Workers – Measures such as repairing stairs and replacing handrails.

Action/ Allowability: Workers must take all reasonable precautions against performing work on homes that will subject workers or occupants to health and safety risks. Minor repairs and installation may be conducted when necessary to effectively weatherize the home; otherwise these measures are not allowed.

Testing: Observe if dangers are present that would prevent weatherization.

Training: Awareness of potential hazards.

Client Education: Inform client of observed condition and associated risks.

M. Lead based Paint

Action/ Allowability:

WPN 09-06 or newer guidance shall be followed by weatherization providers. Beginning in April 2010, all weatherization providers must comply with Certified Renovator requirements as stipulated by EPA/DOE. Requirement 307A of this manual and Attachment 7 must be followed.

The Oklahoma Department of Commerce supports efforts to comply with all LSWP requirements including those implemented by DOE in April 2010. Yearly monitoring of CAAs by ODOC will include review of LSWP training, review of certifications related to LSWP, and monitoring of weatherization projects in progress will be conducted to ensure compliance with all applicable LSWP rules.

If any CAA is found to be out of compliance with LSWP requirements, ODOC will facilitate an aggressive training and technical assistance plan tailored to the CAA's needs. If compliance is still not met after a pre-determined timeframe, ODOC may enforce deobligation of funds as per the contractual agreement.

Testing: Testing is allowed. Job site cleaning verification is required by a Certified Renovator. See Requirement 307A for all forms, and LSW procedure details.

Training: See requirement #307A LSWP.

Client Education: Provide client notification and disclaimer on lead safe practices and follow Certified Renovator requirements. Provide client with "Renovate Right" LSW brochure.

N. Mold and Moisture:

Action/ Allowability: Limited water damage repairs that can be addressed by weatherization workers and correction of moisture and mold creating.

See Section #310 Mold and Moisture for additional guidance.

If indoor relative humidity (RH) is at or above 60% or there is obvious evidence that a moisture problem exists (such as indoor mold or mildew) and cannot be abated within WAP cost limitations, then air sealing work must not be done. This does not include incidental repair items or repair/replacement of doors and windows. A unit with an indoor RH at or above 60% is to be considered "non-feasible" for blower door testing

<u>Excess Moisture</u>	<u>Mitigation Methods</u>
Bathroom (not from leaky pipes)	Install vent fan
Kitchen (not from leaky pipes)	Install vent fan
Dryer	Vent properly
Unvented space heater	See space heater requirement (Section II.V.2)

Testing: Visual assessment is required and diagnostics such as moisture meters are recommended pre and prior to final inspection. Mold testing is not an allowable cost.

Training: National Curriculum on mold and moisture or equivalent.

Client Education: Provide client with notification and disclaimer on mold and moisture awareness.

O. Occupant preexisting or Potential Health conditions

Action/ Allowability: When a person's health may be at risk and/or the worker's activities could constitute a health and safety hazard, the occupants at risk will be required to take appropriate action based on the severity of the risk. Temporary relocation of at-risk occupants may be allowed on a case-by-case basis. Failure or the inability to take appropriate actions may result in deferral.

Some weatherization materials and activities have the potential to create or exacerbate clients' health problems. Weatherization crews should use caution when weatherizing homes with clients with asthma, COPD (pulmonary lung diseases), allergies, etc., which can worsen during and after weatherization work.

Weatherization services can be provided in a manner that minimizes risk to workers and clients. Although the Weatherization Assistance Program does not provide all the solutions, awareness of potential hazards is essential to providing quality services. Other energy-related hazards should be considered on a case-by-case basis.

Testing: Require occupant to reveal known or suspected health concerns as part of the initial application for weatherization. Screen occupants again during audit.

Training: How to assess preexisting conditions and determining what action to take if the home is not deferred. Awareness of potential hazards.

Client Education: Provide client information of any known risks. Provide worker contact information so client can inform of any issues.

P. Occupational Safety and Health Administration (OSHA) and crew safety

Action/ Allowability: Workers must follow OSHA Standards and Material Safety Data Sheets (MSDS) and take precautions to ensure the health and safety of themselves and other workers. MSDS must be posted wherever workers may be exposed to hazardous materials.

CAAs must comply with Occupational Safety and Health Administration requirements in all weatherization activities. Costs to comply with these requirements may be charged to the Health and Safety budget.

Testing: Grantees (ODOC monitors) must perform assessments to determine if crews are utilizing safe work practices. Subgrantee Weatherization Directors and crew leaders are responsible to provide safe working environments (with training, and the proper tools and safety equipment) for their crews and weatherization clients.

Client Education: N/A

Training: Use and importance of personal equipment. OSHA 10 hour training is required for all workers. OSHA 30 training is required for Crew Leaders and Weatherization Directors.

Q. Pests

Action/ Allowability: Pest removal is allowed only where infestation would prevent weatherization. Infestation of pests may be cause for deferral where it cannot be reasonably removed or poses health and safety concerns for workers. Screening of windows and points of access is allowed to prevent infestation.

Testing: Assessment of presence and degree of infestation and risk to worker.

Training: How to assess presence and degree of infestation, associated risks, and need for deferral.

Client Education: Provide Pest Health Threats information sheet client if applicable.

R. Radon

Action/ Allowability: Whenever the site conditions permit, exposed dirt must be covered with a vapor barrier except for mobile homes. In homes where radon may be present, precautions should be taken to reduce the likeliness of making radon issue worse.

Major radon problems should be referred to the appropriate local environmental organization or agency for abatement.

Mitigation: Generally, mitigation work may be performed by WAP labor, but must comply with all local codes and manufacturers' instructions.

Testing: Testing may be allowed in locations with high radon potential.

Training: What it is, how it occurs. What factors may make radon worse. Weatherization measures that may be helpful. Vapor barrier installations.

Client Education: Provide client with EPA consumer's guide to radon, and Radon Info sheet.

S. Refrigerant

Action/ Allowability: Reclaim refrigerant per Clean Air Act 1990, section 608, as amended by 40 CFR82, 5/14/93

Refrigerant Issues: This manual provides extensive guidance and information regarding refrigerator targeting, replacement and disposal in attachments 17, 18, 20, and Requirement 308.

Testing: EPA testing protocols.

Training: EPA- approved section 608 Type I or universal certification.

Client Education: Client should not disturb refrigerant.

T. Smoke, Carbon Monoxide Detectors, and Fire Extinguishers

Action/ Allowability: Installation of smoke/CO detectors is allowed where detectors are not present or are inoperable. Replacement of operable detectors is not an allowable cost.

The smoke detectors are limited to the relatively inexpensive, battery-operated type, which can be purchased commercially. Subgrantee Recipients should only install the more expensive smoke detectors, which require wiring to the home's electrical system when these types of units are required by applicable codes. Carbon Monoxide detectors should be installed according to Underwriters Laboratories Standards for Safety ANSI/UL 2034-09 or newer if available.

Providing fire extinguishers is an allowable cost only when solid fuel is present.

Testing: Check for Operation.

Training: Where to install detectors. Local code compliance.

Client Education: Provide client with verbal and information sheet on smoke/CO detectors and fire extinguishers where allowed.

U. Solid Fuel Heating (Wood Stoves, etc.)

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

Testing: Required inspection of chimney and flue and combustion appliance zone depressurization.

Training: How to perform CAZ depressurization test and proper inspections.

Client Education: Provide client with Solid Heating Safety – Depressurization info sheet.

V. Space Heaters

1. Stand Alone Electric

Action/ Allowability: Repair, replacement, or installation is not allowed. Removal is recommended.

Testing: Check circuitry to ensure adequate power supply for existing space heaters.

Training: Awareness of guidance.

Client Education: Inform client of hazards and collect signed waiver if removal is not allowed. Provide client with Electric Space Heater info sheet.

2. Unvented Combustion

Action/ Allowability: Removal is required, except as a secondary heat where the unit conforms to ANSI Z21.11.2. Units that do not meet ANSI Z21.11.2 must be removed prior to weatherization but may remain until a replacement heating system is in place.

Testing: Testing for air-free carbon monoxide (CO) is allowed. Check units for ANSI Z21.11.2 label.

Training: How to perform CO testing. Understanding the dangers of unvented space heaters.

Client Education: Provide client with Unvented Gas Heater info sheet, and inform client of dangers of unvented space heaters- CO, moisture, NO2, CO, can be dangerous even if CO alarm doesn't sound.

3. Vented Combustion

Action/ Allowability: Should be treated as furnaces.

Testing: Venting should be tested consistent with furnaces.

Training: Proper testing methods for safe operation (draft and CO) should be conducted to and for steady state efficiency if possible.

Client Education: Client should be informed of potential dangers with combustion within the home, including detecting gas leaks.

W. Spray Polyurethane Foam (SPF)

Action/ Allowability: Use EPA recommendations at http://www.epa.gov/dfe/pubs/projects/spf/spray_polyurethane_foam.html when working within the conditioned space or when SPF fumes become evident within the conditioned space. When working outside the building envelope, isolate the area where foam will be applied, take precautions so that fumes will not transfer to inside conditioned space, and exhaust fumes outside the home.

Testing: Check for penetrations in the building envelope. Sensory inspection inside the home for fumes during foam application.

Training: Training on use of various products with specification for each application type. MSDS sheets. Temp sensitivity.

Client Education: Provide notification to the clients of plans to use two-part foam and the precautions that may be necessary.

X. Ventilation

Action/ Allowability:

Action/ Allowability:

Subgrantees will follow AHRAE 62.2-2013 per [NREL's SWS](#). See this link for the 2013 Ventilation calculation:

<http://www.residentialenergydynamics.com/REDCalcFree/Tools/ASHRAE6222013.aspx>

1. Inventory existing viable fans – Measure Exhaust Fan Flow with Fan Flow Meter and Digital Manometer (you will need pre blower door reading @CFM50 prior to conducting pre fan flow measurements)

- Kitchens require 100 CFM on demand or 5 ACH continuous.

- See Step 3 to measure existing CFM to determine if there is an alternative compliance path, to meet 100 CFM requirement.
- Bathrooms require 50 CFM on demand or 20 CFM continuous. ASHRAE 2013 Section 5 (5.1) clarifies that bathrooms are defined as rooms that contain a bathtub, shower, spa or other similar sources of moisture. Half baths with no source of moisture as listed above will not be required to have standard ventilation.
 - See Step 3 to measure existing CFM to determine if there is an alternative compliance path, to meet 50 CFM requirement.
- 3. Estimate post weatherization blower door @CFM50 to input in step 3, ASHRAE 62.2-2013 Ventilation Calculation Spreadsheet
<http://www.residentialenergydynamics.com/REDCalcFree/Tools/ASHRAE6222013.aspx>
- 4. In small, low-rise multifamily buildings, use the link below for the ventilation calculation spreadsheet, but you must **turn off the infiltration credit feature** in multi-family units per ASHRAE 2013.

<http://www.residentialenergydynamics.com/REDCalcFree/Tools/ASHRAE6222013>

- 5. Fill out ASHRAE 62.2-2013 Ventilation Calculation Spreadsheet (link above)
 - In each room where local ventilation should be, determine deficit relative to the required rate for a possible alternative compliance path:
 - Measure existing CFM to determine if there is an alternative compliance path and reduce the deficit
 - For each room with a deficit, reduce room's deficit by 20 CFM if that room has an operable window in kitchen and bathrooms (only one window can count).
 - Deficits cannot drop below zero.
- 4. If Continuous Ventilation to Add is above 15 CFM, per the ASHRAE 62.2-2013 [Ventilation Calculation Spreadsheet](#) , determine the best solution to provide ventilation required to reach CFM required by considering the following options:
 - Exhaust only Fans (Spot Ventilation) - best in moderate and cold- climates
 - Continuous or intermittent (must have an adjustable switch if intermittent)
 - Creates negative pressure in building with potential to pull pollutants from garage and there is a back draft potential
 - Consider what is the source of supply air with exhaust only option
 - Separate supply fans or multiple spot ventilation, or;

- Balanced multiple intake (single fan, single exhaust system)
- Supply Only – warm climates
 - Continuous
 - No exhaust
 - One point supply or in-line fan serves one or more supply points
 - Creates positive pressure in building
 - Not appropriate for cold climates
- Balanced
 - Continuous or Intermittent (must have adjustable switch if intermittent)
 - Fan driven air in & out, controlled air
- Heat Recovery (HRV)
 - Unit transfers sensible heat with no humidity transfer
- Energy Recovery (ERV)
 - Unit transfers sensible heat and humidity

5. Whole Building Ventilation might be satisfied by one of the local, on demand exhaust fans in kitchen or bathroom.

6. While sizing the whole building ventilation for each unit consider the following:

- Are smokers present?
- Is house all gas, or electric?
- Does homeowner have buy-in on ventilation requirements, or understand the risks? Client education is extremely important (Ventilation info sheet must be given to client)
 - Is a continuous fan the best option, or will homeowner utilize intermittent (should be used for a minimum four hours daily)
- Take caution: If you overestimate your final blower door reading the required ventilation will increase if the house is tighter than planned. Variable speed is important to consider

- Important to consider duct installation and the possibility of static loss. This could reduce a 100 CFM fan to 30 CFM easily (see attached Ventilation Strategies page 3/6 Static Pressure, and page 4/6 Duct Basics & Prescriptive Duct Sizing Info Sheet).

7. After Weatherization is completed, determine CFM at or below 15 CFM (after reading) and adjust ventilation on unit, or install adequate ventilation until 15 CFM is reached as described above. Use best judgment to determine the need for ventilation if CFM is at or below 15, in order to ensure healthy indoor air quality in each household.

8. Perform Worst-Case Draft Test (verify systems are functioning safely).

9. Verify the operation of all local and/or whole building ventilation equipment (Before and After using the [Ventilation Calculation Spreadsheet](#)).

10. Job Completed after reviewing the additional requirements one next page:

ASHRAE 62.2 Requirements Beyond the Fan

ASHRAE 62.2 -2013 requires the following in addition to the ventilation requirements detailed above. See ASHRAE 62.2-2013 Residential Ventilation Standard Auditor/Inspector Check List (Section III, Form 37):

- Spot Ventilation (Section IV Attachment – Spot Ventilation- EERE info sheet)
- Attached garages must be adequately sealed from living space to prevent migration of contaminants
- Clothes driers must be vented to exterior
- All duct joints outside conditioned space must be sealed
 - If ducts are located outside the pressure boundary (including in the garage, attic or crawl space), the system must be sealed to obtain a total system leakage of no more than 6% of the total fan flow when measured at 0.1 in of water (25 Pascals). This is especially important if an air handling unit or return ducts are located in the garage. Agencies will need to purchase additional equipment (duct blaster) if not already purchased for WAP.
- Sone rating requirement must be met
 - at or below 1 sone whole building fan
 - at or below 3 sones for local occupant controlled fans (kitchen and bath exhaust)
- Branch duct systems must have backdraft dampers
- Before and After fan flow must be verified in client file (Form 38 APD & CAZ)

Testing: See above.

Training: ASHRAE 62.2=2013 training is required and includes proper sizing, evaluation of existing and new systems, depressurization tightness limits, critical air zones, and etc. ASHRAE training will be considered Tier 2 based on WPN 15-4 Section 4.

Client Education: Provide client with info sheet on Ventilation, and info sheet on Indoor Air Quality. Educate clients on function, use, and maintenance of ventilation system and components.

Y. Window and Door Replacement, Window Guards

Action/ Allowability: Replacement, repair or installation is not an allowable health and safety cost but may be allowed as an efficiency or air infiltration measure if cost justified.

Testing: N/A

Training: Awareness of guidance.

Client Education: If lead is present in home, provide client with Renovate Right Brochure and educate client on the risks of lead in the home.

Z. Carbon Monoxide:

1. Improperly vented or installed gas appliances are a much greater hazard after the home is weatherized. The danger increases because the toxic fumes and/or carbon monoxide have fewer cracks through which to escape. Therefore, it is very important to conduct a thorough visual inspection, as well as testing for carbon monoxide (CO), insufficient draft, and combustible gas leaks. A careful check of each of the following items must be made to ensure that existing hazards are identified and corrected.

2. Combustion Appliances: The cost of tools and equipment used to test for dangerous concentrations of combustion products in the living space may be purchased with health and safety funds.

Testing: For indoor air quality, especially carbon monoxide levels in all homes with vented or unvented space heaters shall be performed. Only trained WAP personnel, licensed HVAC persons or utility company personnel shall accomplish testing. Subgrantee Recipients are required to record all diagnostic testing results on the Field Pressure & Diagnostic Summary (Form 38) and include in the client file.

Note: If instructions or training is needed to conduct the proper testing please contact ODOC.

1. Measure the Base Pressure: Start with all exterior doors, windows, and fireplace damper(s) closed. Set all appliances to the pilot setting or turn off the service disconnect, including: boiler, furnace, space-heaters, and water heater. With the home in this configuration measure and record the base pressure of the combustion appliance zone (CAZ) with reference to the outside.
2. Establish the Worst Case: Turn on the dryer and all exhaust fans. Close interior doors that make the CAZ pressure more negative. Turn on the air handler, if present, and leave on if pressure in the CAZ becomes more negative, then recheck the door positions. Measure the net change in pressure from the CAZ to outside, correcting for the base pressure. Record the "worst case depressurization" and ensure it is within the CAZ Depressurization limits per the table below.
3. Measure Worst Case Spillage, Draft, CO: Fire the appliance with the smallest Btu capacity first (water heaters and applicable HVAC – those with draft diverters with atmospheric vents), test for spillage at the draft diverter with a mirror or smoke test, and test for CO at the flue at steady-state (if steady-state is not achieved within 10 minutes, take CO readings at the 10 minute mark). If the spillage test fails under worst-case go to step 4. If spillage ends within 2 minutes, test the draft in the connector 1-2 feet after the diverter of first elbow. Fire all other connected appliances simultaneously and test the draft diverter of each appliance for spillage. Test for CO in all appliances in the flue, before the draft diverter.

4. Measure Spillage, Draft, CO under Natural Conditions (if applicable & appliance fails at worse case): Test for CO, spillage, and draft under “natural conditions”. Measure the net change in pressure from worse-case to natural in the CAZ to confirm the “Worst Case Depressurization” taken in Step 2. Repeat for each appliance, allowing the vent to cool between tests.
5. Ambient CO: Monitor the ambient CO in the breathing zone during the test procedure and **abort the test if ambient CO goes over 35 ppm**. Turn off the appliance, ventilate the space, and evacuate the building. The building may be reentered once ambient CO levels have gone below 35 ppm. The appliance must be repaired and the problem corrected prior to completing the combustion safety diagnostics. If the ambient levels exceed 35 ppm during testing under natural conditions, disable the appliance and instruct the homeowner to have the appliance repaired prior to operating it again.
6. Action Levels: Make recommendations or complete work orders for repairs based on test results and the Combustions Safety Test Action Levels Tables below:

Combustion Safety Test Action Level Table

<i>Co Test Result*</i>	<i>And/or</i>	<i>Spillage Test and Draft Test Results</i>	<i>Retrofit Action</i>
0-25 ppm	And	Passes	Proceed with work
26-100 ppm	And	Passes	Recommend that the CO problem be fixed
26-100 ppm	And	Fails at worst case only	Recommend a service call for the appliance and/or repairs to the home to correct the problem. Proceed with caution

100-400 ppm	Or	Fails under Natural conditions	<u>Stop Work:</u> Work may not proceed until the system is serviced and the problem is corrected
>400 ppm	And	Passes	<u>Stop Work:</u> Work may not proceed until the system is serviced and the problem is corrected
>400 ppm	And	Fails under any conditions	<u>Emergency:</u> Shut off fuel to the appliance and call for service immediately

*** CO measurements for undiluted flue gases at steady state**

Note: These Action levels are BPI procedures to ensure WAP clients do not lose gas service. If your agency is not prepared to handle the scope of work due to CO readings above 100ppm, see section **AB. Deferral of Service**, after following procedures to notify clients and eliminate the CO. **Helpful indicators:**

Visual indications of CO are burner(s) with a yellow-tipped flame or extra high flame that is in contact with the heat exchanged. In addition, the assessor should note soot or discoloration above the appliance.

The assessor shall make a thorough visual inspection of all gas appliances' venting, including that portion of the vent running through attic space as well as the roof. Vents that are loose, rusted, or poorly connected shall be noted on the ODOC Health and Safety Checklist and corrective action taken. Please see the CAZ Depressurization Limits table below:

CAZ Depressurization Limits (per SWS)

Venting Condition	Limit (Pascals)
Orphan natural draft water heater (including outside chimneys)	-2
Natural draft boiler or furnace commonly vented with water heater	-3
Natural draft boiler or furnace with vent damper commonly heated with water heater	-5
Individual natural draft boiler, furnace or domestic hot water heater	-5
Mechanically assisted draft boiler or furnace commonly vented with water heater	-5
Mechanically assisted draft boiler or furnace alone, or fan-assisted DHW alone	-15
High static pressure flame retention head oil burner; Direct-vented appliances/Sealed combustion appliances	-50

If the CO in any appliance is measured greater than 100 ppm during diagnostic testing, or the ambient CO in the home exceeds 35 ppm during appliance operation, an appliance clean and tune must be completed as part of the work scope.

The homeowner shall be notified of the results of all combustions safety tests.

- a. If CO is found in conjunction with a defective heat exchanger and/or venting system, the assessor must notify the homeowner and field supervisor of the problem. Visual indications of CO are burner(s) with a yellow-tipped flame or extra high flame that is in contact with the heat exchanged. In addition, the assessor should note soot or discoloration above the appliance.
- b. The assessor shall conduct a test for CO on all combustible appliances, including clothes dryers and cook stoves, and note readings on the Test 1 section of the ODOC Health and Safety Checklist.
- c. Draft testing shall be conducted on all vented gas appliances, including water heaters. With the heating system running at a steady rate, the draft gauge shall be used to check the draft in the vent pipe, see **the Acceptable Draft Test Range table** for applicable limits below. **The homeowner shall be notified of the results of all combustion safety tests**

Acceptable Draft Test Ranges

Outside Temperature (degree F)	Minimum Draft Pressure Standard (Pa)
<10	-2.5
10-90	$(T_{out} \div 40) - 2.75$
>90	-0.5

No unvented combustion appliances may operate in the living space with the exceptions of

gas/ranges ovens. Exhaust ventilation must always be recommended whenever a gas or propane cooking appliance exists.

Interim Gas/Propane Oven Testing Procedure

Range tops and ovens produce moisture and oxides of nitrogen. Excess moisture is not good for the durability of the home (could contribute to mold problems) and NOX is not healthy. These combustion appliances are capable of producing CO, which is a health hazard. In all cases a carbon monoxide detector is required and the homeowner should use exhaust ventilation when using these appliances. New appliances may require an extended warm up period to reach steady state.

1. Remove any items/ foil on or in oven.
2. Make sure self-cleaning features are not activated, set oven to highest setting.
3. Test oven for CO in the flue, before dilution of air.
4. After 5 minutes of operation check for steady-state.

Level I Action - 100 ppm to 300 ppm as measured you must install a carbon monoxide detector and recommendation for service must be made to the consumer.

Level II Action - Greater than 300 ppm as measured - the unit must be serviced prior to work. If greater than 300 ppm after servicing, exhaust ventilation must be provided with a capacity of 25 CFM continuous or 100 CFM intermittent.

***Continually monitor ambient CO levels during test**

Since all gas cooktops generate CO and it is difficult to simulate an actual operating condition for these appliances during the course of a typical house inspection, specific action levels for these burners are not specified by BPI. However, technicians must specify appropriate measures to mitigate potentially dangerous CO production of these units. ASHRAE exposure limits for CO shall be referenced when making recommendations for CO control in these areas.

The recommended ASHRAE limit for 24-hour exposure of 9 ppm shall be applied to building occupants. In most cases, it will not be possible to effectively test for this condition, however the following measures shall be recommended whenever gas cooktops exist in the home:

- If burners do not ignite properly or do not burn cleanly, a clean and tune of the appliance shall be recommended.
- If the appliance is located in a confined space and mechanical ventilation is not readily available, mechanical ventilation shall be recommended.

Ventilation provided for unvented gas ovens must provide a minimum capacity of 25 cfm continuous airflow or 100 cfm intermittent.

d. The assessor shall make a thorough visual inspection of all gas appliances' venting, including that portion of the vent running through attic space as well as the roof. Vents that are loose, rusted, or poorly connected shall be noted on the ODOC Health and Safety Checklist and corrective action taken.

Client Education: Provide client with Combustion Safety info sheet and discuss the risks and warning signs associated with high CO in a household.

AA. Client Education:

Client education, including information on the proper operation of the equipment, shall be provided and documented in the file. In all cases, an educational component for clients shall be included in the space heater work and maintenance of the smoke detector.

Clients should be informed of all risks and tests associated with observed conditions by client educator, weatherization crew, or agency assessor. See Form 25A and applicable info sheets.

Final QCI: By the time the final inspection is conducted Subgrantee Recipient's must ensure the client receives documentation and education on the weatherization measures installed within the household, whether H&S related, or for energy efficiency. Educating weatherization clients is the responsibility of the CAA, at some point in the weatherization process. It is a best practice to educate the client at the beginning and end of the weatherization work, to ensure a comprehensive review of the initial assessment through to implementation.

AB. Deferral Standards:

Deferral Standards: Many health and safety issues are beyond the scope or cost of the weatherization program. Therefore, standards are in place to allow for weatherization providers to refuse service, defer work, and/or refer applicants to other programs for assistance. See Form 33 of this manual (Community Action Implementation Manual) for these standards.

III. FORMS

1. Client H&S Checklist (Form 25A)
2. Weatherization Work Plan and Field Audit (Form 28)
3. Indoor Air Quality and Safety Checklist (Form 32)
4. Mold Disclosure (Form 32a)
5. WAP Deferral of Service Notification (Form 33)
6. ASHRAE 62.2 Calculation Sheet Use for Before & After include in Client see link-
<http://www.residentialenergydynamics.com/REDCalcFree/Tools/AdvancedInfiltration>
7. Field Pressure & Diagnostic Summary (Form 38)

IV. ATTACHMENTS – all attachments in Community Action Implementation Manual

1. Attachment 35: Renovate Right: Client Notification Information
<http://www.epa.gov/lead/pubs/renovaterightbrochure.pdf>
2. Attachment 33 - Ventilation Strategies in Weatherization
3. Attachment 32 - Spot Ventilation- EERE info Sheet
4. Attachment 30 - Prescriptive Duct Sizing Info Sheet
5. Attachment 31 - N-Values for the ASHRAE 62.2-2010 Infiltration Credit

V. RESOURCES

1. DOE Health and Safety Guidance WPN 11-6:
http://waptac.org/data/files/website_docs/government/guidance/2011/wpn%2011-6a_updated.pdf
2. EPA Link to Mold Guide
<http://www.epa.gov/mold/moldguide.html>

SECTION III
ADDITIONAL PROGRAM REQUIREMENTS
REQUIREMENT 307 A
HEALTH AND SAFETY – LEAD SAFE WORK PRACTICES
EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENTS

Subgrantee Recipients are required to follow the procedures in the Montana State University (MSU) Lead Safe Weatherization (LSW) Training Manual when working on DOE weatherization program pre-1978-constructed homes. Weatherization workers must be aware of the hazard and conduct weatherization activities in a safe work manner to avoid contaminating homes with lead-based paint (LBP) and debris, and to avoid exposing themselves and their families to this hazard.

II. PROCEDURES

NOTE: THIS POLICY AND GUIDANCE REFERS TO DOE WEATHERIZATION ACTIVITIES ONLY. IT DOES NOT APPLY TO WORK ON ANY HUD PROGRAM HOMES. AGENCIES WORKING ON HUD HOMES MUST REFER TO HUD POLICY AND GUIDANCE.

A. Criteria for determining when LSW should be performed by local weatherization agencies:

1. The dwelling was constructed pre-1978; and
2. The dwelling has not been determined to be LBP free; and
3. Either the amount of surface painted with LBP exceeds two square feet per room of interior surface, twenty square feet of exterior surface, or 10% of a small component type, e.g., window, or the amount of LBP dust that will be generated by the weatherization work exceeds the OSHA-defined airborne levels for lead.

Refer to attached DOE Program Notice 01-10, Sections 3 and 4.

B. Training:

1. Local agencies are responsible for the provision of training using the MSU Training and Reference Manual.
2. Local agencies must document training dates, modules covered, and a list of the staff trained in MSU LSW. This list should be kept on file at the agency and updated as necessary. This information must be available for ODOC review upon request.

3. Crews must be trained on a minimum of modules 1-4, managers on modules 1-4 and module 5.

Refer to attached DOE Program Notice 01-10, Section 8.

- C. Medical Surveillance: Crew members must receive blood level testing as required by OSHA standards. It is recommended that blood testing be done on each crewmember prior to the implementation of LSW.

1. The employer shall assure that all medical examinations and procedures are performed by or under the supervision of a license physician.
2. Blood lead levels shall not exceed 40 ug/dl.
3. The cost of blood level testing is an allowable DOE Health & Safety expense.
4. Refer to MSU Training Manual, Appendix E, OSHA regulation standards, for further guidance.

- D. Testing: Local agencies may expend DOE funds for testing under the following consideration. The following guidance is offered as a guide to determining whether testing is worth the time and money ***on a case-by-case basis***:

1. Houses built from 1978 on may be assumed free of LBP without testing;
2. In houses built prior to 1940, it is logical to assume the presence of LBP and save the cost of testing;
3. In homes built between 1940 and 1978, testing may not be warranted if the amount of paint to be disturbed is small, since it may be cheaper to perform LSW for a small area than to incur the expense of testing. However, where the amount of paint to be disturbed is greater than 2 square feet (interior) and twenty square feet (exterior), it may be worth the cost of testing, since a negative result would mean that the crews could dispense with having to perform the MSU LSW protocols;
4. Routine testing is not an allowable DOE expense.

Refer to attached DOE Program Notice 01-10, Section 4.

- E. Liability Issues: Local agencies are required to check their liability insurance to ensure there are no exclusion clauses for doing weatherization in a home with lead paint when the energy efficiency measure requires the disturbance of painted surfaces.

1. DOE strongly advises agencies to either refer or defer weatherization work that will disturb surfaces that may contain LBP until they have insurance that will provide coverage for LSW work in situations involving LBP.
2. The cost of such insurance is an allowable DOE expense and ODOC urges agencies to seek ways to obtain the coverage at reasonable rates.
3. DOE is involved with EPA and HUD in continuing discussions with the insurance industry about ways to qualify weatherization agencies for more favorable rates.
4. For additional coverage, local agencies are encouraged, not mandated, to take before and after pictures of the home to document the presence of paint chips prior to weatherization work. At the end of weatherization work, the area where energy efficient measures have been added should be photographed to document that the area was cleaned after weatherization.

Refer to attached DOE Program Notice 01-10, Section 7.

- F. Materials and Equipment: Local agencies are required to provide OSHA-specified safety equipment to their weatherization staff. The purchase of material and equipment is an allowable DOE expense. This includes, but is not limited to the following:
1. Latex gloves (non-allergenic gloves are allowable);
 2. Eye wear;
 3. Shoe covers;
 4. Hat covers;
 5. Coveralls (non-disposables must be laundered by a commercial launderer between **each** job). Subgrantees using a commercial laundry facility must disclose the possible nature of the contaminant on the clothing;
 6. HEPA Vacs;
 7. Respirators (fitted):
 - a. When work creates dust or chips and lead paint is presumed or known to exist, wear at least a NIOSH-approved half-face respirator with HEPA filters;
 - b. All crew members must be fit tested for a respirator;
 - c. The cost of fit testing is an allowable DOE expense under Health & Safety;
 - d. Medical surveillance must be completed for each crewmember being fitted for a respirator. The cost of the medical test for this purpose is an allowable DOE expense under Health & Safety;

- e. See Module 5 of the MSU Training and Reference Manual for further requirements pertaining to respirator usage.

For specific material and equipment details, see Module 4 of the MSU Training and Reference Manual.

G. Client File: The client file must contain:

1. Signed copy of "Confirmation of Receipt of Lead Pamphlet," client approval to proceed with work;
2. Documentation of any LSW procedures used in the client's home; including but not limited to:
 - a. Fully documenting all lead safe testing and possible procedures in the initial assessment of the unit, Form 25- Weatherization Dwelling H&S Checklist
 - b. Fully notifying client of potential lead safe hazards prior to and after weatherization work documented in client file, Form 25A- Client Health and Safety Checklist.
 - c. Documenting all lead safe training for new or uncertified RRP employees, Forms 40 & 41 as applicable.
 - d. Documenting Lead Safe testing, with clear indication of the test, and the results, Form 42- Test Kit Documentation
 - e. Documenting Lead Safe work, with clear indication of the process and the unit, Form 43 – Renovation Recordkeeping Checklist.
3. Completed "Cleanup" checklist. **[See Attachment 12]**
4. Before and after photographs.

H. Deferrals:

1. The mere presence of LBP will not be considered a justifiable reason for a "deferral" or "walk away."
2. Follow steps outlined in PN 01-10, Section 5 to determine if a deferral is justified.
3. Deferrals must be accompanied by proper documentation giving just cause for deferral of work to the home, Form 33 – Deferral of Service. Documentation must be maintained in the client file and available for ODOC review upon request. Proper documentation may include:

- a. Documented notification of training, within 2 months of contract start date or, in the case of new hires, within 2 months of employment start date;
 - b. Copy of insurance policy documented with date of when insurance coverage for LBP will be obtained, and must be within 3 months of FY '02 contract start date;
 - c. Copy of NEAT audit identifying the measures to be completed, accompanied by a description of how the performance of these measures would disturb LBP in excess of 2 sq. ft. (interior) and 20 sq. ft. (exterior).
- I. Substance Data Sheet for Occupational Exposure to Lead:
 1. The "Substance Data Sheet for Occupational Exposure to Lead" **[Attachment 14]** should be distributed to every employee who could be exposed to lead while on the job. A copy should also be at each job site where lead exposure could occur.
 2. OSHA requires extensive record keeping for employees at risk for lead exposure. As part of this record keeping, it is recommended that each employee receiving a "Substance Data Sheet" be required to sign some sort of a verification of receipt and understanding form. This should be kept on file with the employees' other health and safety records.

ISSUES NOT ADDRESSED IN THIS POLICY, THE DOE GUIDANCE OR MSU MANUALS SHOULD BE ADDRESSED BY SUBMITTING A DESCRIPTION OF THE ISSUE IN WRITING TO ODOC FOR EVALUATION AND RESPONSE PRIOR TO ACTION BEING TAKEN BY THE SUBGRANTEE RECIPIENT.

III. FORMS

1. Weatherization Dwelling Inspection & Health and Safety Checklist, Form 25
2. Client Health & Safety Checklist, Form 25A
3. WAP Deferral of Service, Form 33
4. On the Job Training Log, Form 40
5. Certified Renovator Training Hands on Skills Assessment, Form 41
6. Lead Safe Test Kit Documentation, Form 42
7. Renovation Recordkeeping Lead Safe, Form 43

IV. ATTACHMENTS

1. DOE WPN 01-10 Lead Based Paint Regulations (Attachment 10A)
2. Other Federal Government Regulation pertaining to lead based paints (Attachment 10 B)

3. Lead Based Paint Brochure (Attachment 11)
4. Final Cleanup Interior and Exterior Checklist (Attachment 12)

SECTION III
ADDITIONAL PROGRAM REQUIREMENTS
REQUIREMENT NO. 308
ELECTRIC BASE LOAD
EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

Subgrantee Recipients shall establish procedures to comply with the requirements of 10 CFR 440.21, http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl Standards and Techniques for Weatherization, to address the energy efficiency and energy usage of refrigerators and electric water heaters.

II. PROCEDURES

- A. If you are able to locate the manufacturer and model in the look-up table provided in the National Energy Audit (NEAT) audit, the required annual consumption will be entered for you. Otherwise, refrigerator energy usage must be evaluated with a commercially available electric load profiling power-metering device. A two-hour minimum metering duration is required. Relevant information must be entered into the NEAT. (See Section 6.13, Page 63 of the NEAT Users Manual for further explanation.)
- B. NEAT evaluates the cost-effectiveness of replacing an older unit with a more energy efficient model.
- C. Water heaters must be inspected to determine if they are operational, non-operational, repairable, and/or non-repairable. Relevant information must be entered into the NEAT. (if SIR below 1.0 see Health and Safety Requirement #307 on Water Heaters)
- D. Replacement refrigerators and/or electric water heaters must be recommended by NEAT and receive an SIR value of greater than one.
- E. Subgrantee Recipients shall accomplish the following services for refrigerators not replaced:
 - 1. Thorough cleaning of evaporator coils (licensing not required);
 - 2. Provide adequate ventilation;
 - 3. Test and readjust interior temperature;
 - 4. Client education on proper refrigerator usage, including proper control settings and proper food handling.
- F. Subgrantee Recipients shall accomplish the following services for electric water heaters not replaced, if audit justified:

1. Pipe insulation;
 2. Water heater blanket;
 3. Thermostat set to 120 degrees maximum;
 4. Check for leakage;
 5. Replacement of low-flow showerhead.
- G. Replacement appliances shall comply with the minimum standards of energy efficiency for major appliances established by the National Appliance Energy Conservation Act (NAECA) of 1987.
- H. Electric water heaters shall be replaced with another electric water heater only. Gas water heaters may be replaced under health and safety only. Fuel change is not allowable.
- I. Size: Replacement refrigerators shall be as follows:

Family Size	Replacement Size
1-4 persons	18 ft.
5-9 persons	21 ft.

1. Options: Weatherization Program Notice 00-5 lists the types of refrigerators that may be installed. They are refrigerators and refrigerator-freezers with manual, automatic, or partial-automatic defrost. New replacement units may not have through-the-door ice or water service since these features increase energy use. As weatherization is an energy efficiency program, subgrantee recipient must remove old refrigerators before supplying the new refrigerator. Freezers do not have to be removed.
2. Electrical Requirements:

Electrical outlets shall

 - a. Provide the voltage specified by the new refrigerator ID plate;
 - b. Extension cords shall not be used;
 - c. Outlet and cover plates shall be in good condition (e.g., not cracked or broken or have sparks, smoke, or burn marks, etc.).
3. Structural Requirements:
 - a. Location shall meet refrigerator manufacturer's specifications for space and clearances;
 - b. The floor must be level (unit made sturdy) to properly support the new refrigerator;
 - c. Doors and hallways must be sufficient to allow removal of the existing refrigerator and installation of the new one without damage to the appliance or house.

4. Installation: Subgrantee Recipients shall:
 - a. Deliver and install the new refrigerator;
 - b. Ensure that door hinges are on the appropriate side;
 - c. Instruct the customer on refrigerator operation;
 - d. Deliver warranties and operating manuals to the customer;
 - e. Set temperature controls appropriately.

6. Disposal: Subgrantee Recipients shall comply with the Clean Air Act (1990) for the disposal of the existing refrigerator.
 - a. Replaced refrigerators and packing material must be removed from the clients' premises and disposed of properly;
 - b. The expense, including licensed contractors, associated with the disposal requirements of the refrigerators that contain CFCs are allowable program costs;
 - c. Subgrantee Recipients must retain the following disposal information for subcontractors:
 - (1) Name of subcontractor;
 - (2) Date and time of removal;
 - (3) Client signature;
 - (4) Disposal site;
 - (5) Certification of proper disposal.

- J. ODOC has found that CFLs are only a cost-effective program measure when used more than two hours per day. Therefore, to avoid indiscriminate installations, we are requesting that all Subgrantee Recipients adhere to the policy outlined below when placing CFLs in a client's home.
 1. In a room-by-room survey, ask participant which lamps are used most frequently. (Permanent fixtures do not qualify. Only screw-in lamps will be replaced.)
 2. For the most frequently used lamps in each room ask approximately how many hours per day each lamp is used (use does not have to be continuous). Offer the following ranges and record responses.
 - a. Not exceeding 1/2 hour;
 - b. Between 1/2 hour up to 1 hour;
 - c. Over 1 hour but less than 2 hours;
 - d. 2 hours+;
 - e. Not sure.
 3. Only after the entire survey is complete should Subgrantee Recipients install CFLs in lamps used 2 hours or more per day. This procedure will avoid, or at least lessen, the possibility of "tipping off" clients to the minimum usage

necessary to qualify for a CFL. A "not sure" response would disqualify the lamp from receiving a CFL.

4. Install CFL with rated lumens comparable to those being removed.
5. If an outdoor lamp is left on overnight for safety/security purposes, install a CFL suitable for outdoor usage if compatible with existing screw-in fixtures. Do not replace spot/flood lights with a CFL!

Document in client files the location and wattages installed/replaced.

III. FORMS

None.

IV. ATTACHMENTS

1. WPN 00-5 (standards for conformance, Attachment 23)
2. Memorandum of Understanding (Attachment 16)
3. DOE Requirements for Refrigerator Replacement - At a Glance (Attachment 17)
4. Monitoring Refrigerators with the Brand 4-1850 WX Digital Power Meter (Attachment 18)
5. Refrigerator Selection Criteria for Replacing a Refrigerator (Attachment 20)

SECTION III
ADDITIONAL PROGRAM REQUIREMENTS
REQUIREMENT NO. 309
WEATHERIZATION NATIONAL ENERGY AUDIT TOOL (NEAT)
AND MANUFACTURED HOME ENERGY AUDIT (MHEA) PROCEDURES
EFFECTIVE April 1, 2015

I. CONTRACTUAL REQUIREMENT

Subgrantee Recipients shall establish procedures to comply with the requirements of 10 CFR 440.21 Weatherization Materials Standards and Energy Audit Procedures http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl. The most recently approved release of the NEAT/MHEA audit software shall be used to assign priorities among individual weatherization materials in descending order of their cost effectiveness (2012 Version 8.9.0.5). Only weatherization materials that are listed and which meet or exceed standards prescribed in 10 CFR 440 Appendix A may be purchased with weatherization funds, except for materials to eliminate health and safety hazards allowable under ODOC Requirement 307 Health and Safety.

II. PROCEDURES

- A. To identify each subgrantee recipient's information, specific agency identifiers must be input into the "Agency Information" dialog box.
- B. In order for the audits to reflect accurate local area conditions, the following parameter sets must be established at the beginning of each DOE WAP Program Year (see the NEAT User's Manual for specific instructions): Materials & Labor Costs, Fuel Costs, Candidate Conservation Measures, User Defined Insulation Types, Replacement Refrigerators, and Replacement Water Heaters. ODOC will conduct an annual comparison of all Subgrantee Recipients to ensure updates are accurate and current. Utilizing the comment box for each entry will help ODOC clearly identify the effort to update the Library.
 - 1. Material, Labor, and fuel costs shall be updated annually, at the beginning of each DOE program year in order to correspond with each contract period. Short term high or low values should be avoided.
 - 2. The measures listed below must be turned off in the Setup Library, unless the following occurs:
 - a. A turned off measure is preexisting in the unit, and therefore must be turned back on, in which case the material and labor costs must be updated for the measure (notify ODOC prior to adjustment).
 - b. Subgrantee Recipients must obtain a waiver from ODOC to re-enable a turned off measure due to extenuating circumstances (notify ODOC prior to adjustment).
 - c. Turned off measures - NEAT:

- i. White Coat Roofing
- ii. Window Sealing (part of air infiltration scope of work)
- iii. Window Replacement (specify low-e windows as they are more readily available)
- iv. Window Shading (awning)
- v. Sun Screen Fabric or Sun Screen Louvered
- vi. Window Film
- vii. Thermal Vent Damper
- viii. Electric Vent Damper
- ix. Electric Vent Damper IID
- x. Flame Retention Burner
- xi. High Efficiency Boiler (unless pre-existing)
- xii. Evaporative Cooler (unless pre-existing)

d. Turned off measures - MHEA:

- i. Window Sealing (unless pre-existing)
- ii. Plastic Storms (unless pre-existing)
- iii. Awnings
- iv. Shade Screen
- v. Evaporative Cooling (unless pre-existing)

C. Weatherization measures are eligible if a Savings to Investment Ratio (SIR) of 1.0 or above is achieved per energy savings measure. In addition, the cumulative SIR must be at or above 1.0 for the entire unit. The cost of incidental repairs must be included in the cost of the package of measures installed in the dwelling. The cost of incidental repairs cannot exceed \$750 per unit. Recommended measures shall be installed in order of decreasing SIR until the maximum allowable average cost per unit is achieved {Reference Requirement 302}.

- The ACPU can be an average throughout the contract period, but Subgrantee Recipients should watch their ACPU closely to avoid potential disallowed expenditures above the ACPU determined as allowable by DOE for the program year.

D. Subgrantee Recipients may use general heat waste (GHW) reduction weatherization materials that have been determined to be generally cost-effective without the need for a site-specific energy audit. The approved, presumptively cost-effective materials include: water heater wrap (i.e., insulating blanket); water heater pipe insulation (on six feet of hot water pipe exiting water heater); faucet aerators; low-flow showerheads; limited weather-stripping and caulking to increase comfort (does not include major air sealing work, which should be guided by blower door testing;) and furnace or air conditioner filters.

E. The dwelling unit should be treated as a whole system, including an examination of the heating and cooling system, air exchange system, and the occupants' living habits and needs. Necessary adjustments to the priority of weatherization materials may be accomplished with adequate client file documentation.

- F. By not checking the Include in SIR Checkbox, the subgrantee recipient is saying any measures will be paid for using H&S funds or another non-WAP funding source.
- G. Window assessment:
1. For Window Replacement **Evaluate All** should be selected on the Window Retrofit Options Field. When **Evaluate All** is selected NEAT will look at all turned on window retrofit options (Replace with Low-E and Storm). In turn:
 - a. NEAT will calculate the SIR of each, and will not recommend any options with $SIR < 1.0$.
 - b. If only one measure has an $SIR \geq 1.0$ then NEAT will recommend it.
 - c. If two or more of the measures have a $SIR \geq 1.0$ then NEAT will calculate the Net Present Value (NPV) of each (discounted savings minus cost, whereas SIR is discounted savings divided by cost) and recommend the measure with the highest NPV.
 - d. If at any time SIR drops below 1.0 for any treatment option, the measure is then dropped and not recommended.
 2. Since NEAT compares efficiency and costs two ways (Net Present Value and Saving to Investment Ratio) there is another option after auditors have exhausted **Evaluate All** (must be used first and placed in client file):
 - a. If after using **Evaluate All**, the agency is unsatisfied with the recommended window replacement option (on the specified window(s) to be replaced), the agency can try a different window replacement option if there appears to be a better fit for the satiation (weatherization housing stock varies so there are circumstances which could affect the windows treatment needed).
 - b. The agency should chose a specific window treatment in the Window Retrofit Field Option and check **Include in SIR** to assess the SIR value of the specified window treatment (The window specified must be included on the original audit when using Evaluate All).
 - c. The replacement will show up in the recommended measure column, so the agency must check to verify the SIR in the Energy Savings Measure Economics column is a $SIR \geq 1.0$.
 - d. If the window treatment selected does not have a $SIR \geq 1.0$ then the auditor must try a different option, or choose the option with the $SIR \geq 1.0$ in the original **Evaluate All** assessment.
 3. When selecting window replacement **Evaluate All**, subgrantee recipients must also check the **Include SIR Checkbox**. The agency must ensure the cost estimated by NEAT for the various window retrofit options (based on the values entered in the Setup Library) are correct; otherwise SIR calculations will be inaccurate.
 - a. Per 11-6 windows and doors are not allowable under H&S, so by not selecting the Include in SIR box it appears Subgrantee Recipients are using disallowable DOE WAP funds, and could result in a finding when monitored by ODOC or DOE, and could potentially result in repayment.

4. Labor and materials should be input in NEAT, because SIR calculation is based on labor plus materials.
5. The Weatherize (air sealing) window retrofit option should be considered part of the agency's air infiltration reduction scope of work (see #6 below), and not as an optional window replacement (turned off measure). All agencies should be sealing windows that are not replaced (even if the blower door has been achieved). Dependent on the housing stock many homes have drafty windows that do not need replacing, and this type of inexpensive measure can help the client significantly during the summer and winter, so it should be considered a best practice.
6. Doors and Windows may be installed under general air infiltration, as long as the measure SIR for air infiltration is at or above 1.5, and the cumulative SIR for the unit is at or above 1.0. If doors or windows are installed under air infiltration, photo documentation, as well as justification of the replacement, must be submitted to ODOC liaison prior to the installation, and documented in the client file.

***ODOC selected SIR 1.5 for air infiltration in order to better ensure the measure achieves SIR since air infiltration is based on an estimated final blower door reading, and not an exact number. In fact, if the air infiltration measure SIR is above 1.5-1.75 the Subgrantee Recipient should attempt to add more air infiltration work to achieve as close to SIR 1.5 as possible.**

H. Effectiveness of Weatherization Installations and Energy Savings:

1. ODOC will compile the energy savings of each Subgrantee at the end of the program year to determine if energy savings, and the effectiveness of weatherization installations, was consistent throughout the network.
2. By comparing Subgrantee total energy savings, ODOC will be able to determine if agencies are meeting the estimated energy savings, per the averaged goal of the State Plan.
3. This data will help ODOC Program Representatives in their upcoming monitoring's by pinpointing the agencies that seem to underperform in their energy savings annually, and identify possible oversights in weatherization installations.

III. RESOURCES

National Energy Audit Tool and Manufactured Home Energy Audit User's Manual (<http://www.waptac.org/Weatherization-Assistant/Weatherization-Assistant-Manuals.aspx>).

SECTION III
ADDITIONAL PROGRAM REQUIREMENTS
REQUIREMENT NO. 310
WEATHERIZATION MOLD PROCEDURES
EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

Energy-related health and safety concerns should be remedied before, or because of, the installation of weatherization materials. Subgrantee Recipients should ensure that regular weatherization work is performed in a manner that does not contribute to mold problems and when the work is performed properly, can alleviate many mold conditions.

The Weatherization Assistance Program is not a mold remediation program. The use of program funds for the removal of mold and other related biological substances is not an allowable expense. Generally, weatherization funds should not be used to test, abate, remediate, purchase insurance, or alleviate existing mold conditions identified during the audit, the work performance period, or the quality control inspection.

In homes where multiple sources of funds are used, any mold insurance or mold abatement costs must be charged to another funding source. If conditions are so severe that mold issues cannot be addressed, weatherization services must be deferred until the existing mold problem can be alleviated. This may include referring the client to other agencies for funding remedial action.

II. PROCEDURES

- A. During the assessment, the dwelling should be inspected for mold, in addition to other health & safety issues prior to performing any weatherization activities. **[Forms 32, Indoor Air Quality And Safety Checklist]**
- B. Weatherization funds may be used to correct energy-related conditions to allow or effective weatherization work and/or to assure the immediate or future health of workers and clients. Eligible activities include but are not limited to: (1) moisture control; (2) adding mechanical ventilation; (3) repair/replace deteriorated sheetrock or ceiling tile; (4) indoor air quality issues, etc. Costs shall be reasonable and within the scope of program incidental repair and health and safety maximums.
- C. Subgrantee Recipients must provide clients with a notification or disclaimer upon the discovery of moisture problems **[Form 32A – Weatherization Mold Inspection]**

and Release Form]. When it is determined that weatherization activities can be accomplished, the subgrantee recipient shall provide information to the client that specifically entails what was/will be done to the home that is expected to alleviate the mold condition and/or should not promote new mold growth. The notification/disclaimer shall be discussed with and signed by the client and/or property owner. In addition to the **Occupant Agreement**, both forms shall be maintained in the client's file.

- D. When weatherization services will be denied or deferred, clients must sign the **Weatherization Mold Inspection and Release Form (Form 32A)**. Within ten (10) days, a copy of the signed form, the Deferral Standard policy, and a copy of "**A Brief Guide to Mold, Moisture, and Your Home**" must be provided to the client. The original Weatherization Mold Inspection and Release Form must be maintained in the client file.
- E. Subgrantee Recipient shall take all reasonable precautions against performing work on homes that will subject workers or clients to health and safety risks. Before beginning work on the residence, the agency must take into consideration the health concerns of each occupant, the condition of the dwelling, and the possible effect of work to be performed on any particular health or medical condition of the occupants. When a person's health is fragile and/or the work activities would constitute a health or safety hazard, the occupants at risk will be required to leave the home during these work activities.
- F. Upon completion of the "Indoor Air Quality and Safety Checklist", the **Occupant Agreement** form should be used to obtain a client signature documenting the non-existence of medical problem(s) that would be exacerbated by weatherization activities.

Resource

Environmental Protection Agency, <http://www.epa.gov/mold/moldresources.html> "Ten Things You Should Know About Mold."

Deferral Standards

The decision to defer work in a dwelling 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 found. Not that Community Action Agencies, which includes 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.

It is suggested that Community Action Agencies develop guidelines and standardized form for such situations. The form should include the client's name, address, dates of the audit/assessment, and when the client was informed. It should also include a clear description of the problem, conditions under which weatherization could continue, the responsibility of all parties involved, and the client(s) signature(s), indicating that they understand and have been informed of their rights and options.

Deferral conditions may include:

1. The client has known health conditions that prohibit the installation of insulation and other weatherization materials.
2. 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.
3. The house has sewage or other sanitary problems that would further endanger the client and weatherization installers if weatherization work were performed.
4. The house has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by local or state building officials or utilities.
5. Moisture problems are so severe they cannot be resolved under existing health and safety measures and with minor repairs.
6. Dangerous conditions exist due to high carbon monoxide levels in combustion appliances, and cannot be resolved under existing health and safety measures.
7. The client is uncooperative, abusive, or threatening to the crew, subcontractors, auditors, inspectors, or others who must work on or visit the house.
8. The extent and condition of lead-based paint in the house would potentially create further health and safety hazards.

9. 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.

Section 4 – Head Start Program

Req. 401 – Head Start Program

**IV – HEAD START PROGRAM
REQUIREMENT NO. 401
HEAD START PROGRAM
EFFECTIVE SEPTEMBER 1, 2014**

I. CONTRACTUAL REQUIREMENT

Contractors shall establish procedures to comply with the requirements in the Head Start Performance Standards to provide Head Start Services to families and individuals.

II. PROCEDURES

A. The state Appropriated Funds for the Head Start Program shall be utilized for one or all of the following primary Head Start Activities:

1. Extended Services: Contractors must document extended services;
2. Expansion of Enrollment: Contractors must show a quantifiable increase in enrollment.
3. Early Intervention Strategies: Intervention services must be documented.

B. Contractors must participate in an on-site financial/technical review offered by the Oklahoma Department of Commerce (ODOC) through the Oklahoma Association of Community Action Agencies (OKACAA) in the months before they receive a Federal Head Start review and provide a copy of the written report to OKACAA, unless specifically exempted by OKACAA.

C. Contractors shall submit Head Start Enhancement Activity information at the time of annual application. Any revisions to the work summary shall be submitted to and approved in writing by ODOC.

D. Contractors shall adhere to all Head Start Performance Standards as dictated by the federal Head Start Program.

E. Contractors shall provide reports in the required outcome format either through required reporting.

III. FORMS

None.

Req. 402 – Head Start Collaboration

IV – HEAD START PROGRAM REQUIREMENT NO. 402 HEAD START COLLABORATION PROJECT EFFECTIVE SEPTEMBER 1, 2014

I. CONTRACTUAL REQUIREMENT

Contractor shall develop strategies for coordination and linkages between programs or to enhance existing partnerships in support of low-income families across the State.

A. FUNDS MAY NOT BE USED TO:

1. Supplant on-going collaboration between Head Start grantees and other programs in the State.
2. Provide direct services to Head Start families or other low-income families.
3. Provide training or technical assistance to Head Start grantees in carrying out their program responsibilities.

II. PROCEDURE

Contractor shall establish procedures to comply with the Head Start Act, as amended that supports the Head Start State Collaboration Project; Federal Register Volume 55, No. 117, Monday, June 18, 1990.

A. CONTRACTOR SHALL:

1. Appoint an individual to serve as a State liaison between the Administration for Children and Families and Agencies and individuals carrying out Head Start Programs in the State.
2. Involve the State Head Start Association in the selection of the individual and involve the association in determinations relating to the ongoing direction of the collaboration.
3. Ensure that the individual holds a position with sufficient authority and access to ensure that the collaboration is effective and in values a range of state agencies.
4. Ensures that the collaboration involves coordination of Head Start services with health care, welfare, child care, education, and community

service activities, family literacy services activities, relating to children with disabilities and services for homeless children.

III. FORMS

None.