



**Department of Energy**  
Washington, DC 20585

**WEATHERIZATION PROGRAM NOTICE 09-1B**  
**EFFECTIVE DATE: March 12, 2009**

**SUBJECT:** GRANT GUIDANCE TO ADMINISTER THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 FUNDING

**PURPOSE:** To issue grant guidance and management information for accessing funding under the American Recovery and Reinvestment Act of 2009 (Recovery Act). This guidance should be used in conjunction with **Weatherization Program Notice (WPN) 09-1A**, Grant Guidance for Program Years 2008 and 2009 to Access the \$250 Million Supplemental Funding, dated October 27, 2008, and **WPN 09-1**, Program Year 2009 Weatherization Grant Guidance, dated November 17, 2008. Both notices are provided as attachments to this Guidance.

**SCOPE:** The provisions of this guidance apply to States or other entities named in the Notification of Grant Award as the recipients of financial assistance under the Department of Energy (DOE) Weatherization Assistance Program (WAP), including the recently added Territories.

**LEGAL AUTHORITY:** Title IV, Energy Conservation and Production Act, as amended, authorizes the Department of Energy to administer the Weatherization Assistance Program. All grant awards made under this Program shall comply with applicable law including regulations contained in 10 CFR Part 440 (issued February 1, 2002), the Energy Policy Act of 2005, the Energy Independence and Security Act of 2007, the American Recovery and Reinvestment Act of 2009 and other procedures applicable to this regulation as DOE may, from time-to-time, prescribe for the administration of financial assistance.

**BACKGROUND:** The Weatherization Assistance Program has been assigned a significant role in the American Recovery and Reinvestment Act of 2009 (Recovery Act). The successful execution of this Program is an important part of achieving the goals in the Recovery Act set forth below. The Recovery Act will increase the DOE portion of funding for local weatherization efforts by more than twenty times over a two year period based on FY 08 funding levels.

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With the additional funds, it is expected that each Grantee will ramp up to meet the goals and expectations laid out for this Program. Project Management Center (PMC) Project Officers and other DOE staff and contractors will assist Grantees throughout the ramp up process. In recent years, several Grantees have received large funding increases for weatherization from non-DOE sources, and thus have gone through a major ramp-up process similar to what will be required of all Grantees with the Recovery Act funding. To assist the network with Recovery Act ramp-up efforts, a variety of resources provided by these Grantees, based on their experiences, will be posted on [www.waptac.org](http://www.waptac.org).

**AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009:** On February 17, 2009, the President signed into law the American Recovery and Reinvestment Act of 2009, Public Law 111-005. The purposes of the American Recovery and Reinvestment Act of 2009 are: "To preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and, to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases." The Act gives preference to activities that can be started and completed expeditiously, including a goal of using at least 50 percent of the funds made available for activities that can be initiated not later than June 17, 2009.

With respect to Weatherization, the Act provides \$5 billion in funding and includes the following amendments to the current statute:

**SEC. 407. WEATHERIZATION ASSISTANCE PROGRAM  
AMENDMENTS**

(a) **INCOME LEVEL** – Section 412(7) of the Energy Conservation and Production Act (42 U.S.C. 6862(7)) is amended by striking "150 percent" both places it appears and inserting "200 percent".

(b) **ASSISTANCE LEVEL PER DWELLING UNIT** – Section 415(c)(1) of the Energy Conservation and Production Act (42 U.S.C. 6865(c)(1)) is amended by striking "\$2,500" and inserting "\$6,500".

(c) **EFFECTIVE USE OF FUNDS** – In providing funds made available by this Act for the Weatherization Assistance Program, the Secretary may encourage States to give priority to using such funds for the most cost-effective efficiency activities, which may include insulation of attics, if, in the Secretary's view, such use of funds would increase the effectiveness of the program.

(d) **TRAINING AND TECHNICAL ASSISTANCE** – Section 416 of the Energy Conservation and Production Act (42 U.S.C. 6866) is amended by striking "10 percent" and inserting "up to 20 percent".

**(e) ASSISTANCE FOR PREVIOUSLY WEATHERIZED**

**DWELLING UNITS** – Section 415(c)(2) of the Energy Conservation and Production Act (42 U.S.C. 6865(c)(2)) is amended by striking "September 30, 1979" and inserting "September 30, 1994".

**GRANT APPLICATION:** Due to the extraordinary expansion of Grantee and subgrantee activities required by the Recovery Act, in developing the required application package all Grantees should use the State Plan process to identify the means by which the objectives of the Recovery Act can best be accomplished.

State Plans should explicitly recognize the challenges faced by Grantees in areas that include, but are not limited to, work-force training, monitoring and oversight, quality control, intake and qualification, management information systems, and equipment and supplies, and how these challenges can be met. In addition, State Plans should include provisions to ensure full compliance with the Recovery Act reporting requirements. These plan elements are critical not only to DOE's efforts to provide systematic support and assistance to the Weatherization Grantee and subgrantee network in accomplishing the goals of the Recovery Act, but to ensuring the transparency and accountability that are essential features of the Act.

**ADDING THE TERRITORIES:** The Energy Independence and Security Act of 2007, Section 411(c) adds Puerto Rico and the territories of the U.S. to the definition of "State" for the purpose of the Weatherization Assistance Program. On March 12, 2009 DOE issued a final rule adding Puerto Rico and the territories to the definition of "State".

**PRODUCTION:** There is a strong interest by both the Administration and Congress to track the performance of Grantees in the production of weatherized units. DOE will closely monitor Grantee performance through continual communications and monitoring. It is imperative that Grantees and local agencies submit necessary reports on time, in keeping with the intent of the Recovery Act.

**DOE APPROPRIATIONS:** On February 17, 2009, the President signed into law the American Recovery and Reinvestment Act of 2009, Public Law 111-005 which provides \$5 billion in funding for Weatherization. On September 30, 2008, the President signed into law H.R. 2638, the Consolidated Security, Disaster Assistance and Continuing Appropriations Act, 2009, Public Law 110-329, which currently goes through March 6, 2009. Results of the final appropriations bill for Fiscal Year (FY) 2009 will be transmitted in Weatherization Program Notice 09-2.

Grantees are to submit a separate plan for Recovery Act funds under Funding Opportunity Announcement No. DE-FOA-0000051.

**ALLOCATION FORMULA:** Grantees will notice a significant shift in funding from previous years. In part, this is because the level of funding for FY 2009, including the Recovery Act, triggers the 1995 revised allocation formula. These formula changes increase the overall equity of the allocation of funds among the Grantees by providing warm-weather States a greater share of the funding, while protecting existing program capacity in cold-weather States.

The formula also has been revised with the Recovery Act because it raised the income eligibility for the Program from 150% of poverty to 200% of poverty. The Department of Energy has modified the inputs to the allocation formula using the best available data to take this change in eligibility standards into account.

Initial estimates using 200% of poverty instead of the 150% of poverty show a national average of 54% more low-income households eligible for Weatherization. The increase of eligible households was not equally distributed across all States.

**PREVAILING WAGES:** All laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the Recovery Act shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor.

**WEBSITE INFORMATION:** For the purposes of transparency, the Recovery Act requires a website to be established and maintained to track how and where tax dollars are being spent. The url for this website is <http://www.recovery.gov/>. Grantees are required to provide information regarding the expenditure of Recovery funds through this website.

The transparency requirements of the Recovery Act are intended to ensure that the crucial accountability objectives are met:

- Funds are awarded and distributed in a prompt, fair, and reasonable manner;
- The recipients and uses of all funds are transparent to the public, and the public benefit of these funds are reported clearly, accurately, and in a timely manner;
- Funds are used for authorized purposes, and instances of fraud, waste, error, and abuse are mitigated;
- Projects funded under this Act avoid unnecessary delays and cost overruns; and
- Program goals are achieved, including specific program outcomes and improved results on broader economic indicators.

These stipulations may require additional information be collected from the Grantees and subgrantees. DOE will provide Grantees with guidance on any additional reporting requirements, once available.

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## **1.0 FUNDING**

**1.1 GENERAL FUNDING:** No changes were made to this section.

**1.2 FEDERALLY APPROPRIATED FUNDS:** The Recovery Act provided WAP with \$5 billion. Unless stated otherwise herein, this guidance, along with WPN 09-1 and WPN 09-1A will apply to all FY 2009 allocations.

In keeping with the intent of this funding, Congressional and Department goals are for all Recovery funds to be obligated by September 30, 2010. Allocations for the \$5 billion are attached to this guidance and Grantees should plan accordingly.

**1.3 ADJUSTED AVERAGE:** In accordance with the Recovery Act, the average expenditure limit per home has been increased to \$6,500 to achieve greater energy savings with WAP funds. The adjusted average expenditure limit per home for all funds appropriated and/or used for PY 2009 is now \$6,500. The Recovery Act did not specifically address the renewable energy measures average cost per home.

**1.4 FUNDS FOR ADMINISTRATIVE PURPOSES:** No changes were made to this section.

**1.5 PETROLEUM VIOLATION ESCROW (PVE) FUNDS:** No changes were made to this section.

**1.6 PROGRAM INCOME:** No changes were made to this section.

**1.7 LEVERAGING AND LEVERAGED RESOURCES:** Even with the increase in funding, Grantees are reminded that leveraging remains an important component of the Program. Otherwise, there are no changes to this section.

**1.8 TRAINING AND TECHNICAL ASSISTANCE FUNDS:** The Recovery Act adjusted the allowable percentage DOE may permit the Weatherization Assistance Program to use for T&TA. In the Recovery Act, allowance is made for the Program not to exceed 20 percent of the funds appropriated for T&TA activities. All other aspects of T&TA allowable expenditures remain the same. The percentage of funds for PY 09 reflects the full percentage of T&TA. To effectively address the Weatherization network's needs, DOE will retain 3 percent of the T&TA for national training and technical assistance initiatives and transmit 17 percent to the Grantees.

## **2.0 GRANT APPLICATION**

**2.1 GENERAL:** No changes were made to this section.

**2.2 INTERGOVERNMENTAL REVIEW:** Grantees are encouraged to seek priority

and expedited attention in all State processes for Recovery Act efforts, including Intergovernmental Review, if required.

### **2.3 APPLICATION PACKAGE:**

For Recovery Act funding, new grant awards will be issued. Grantees will need to submit an initial application package as specified in the Funding Opportunity Announcement issued by the National Energy Technology Laboratory for the initial disbursement of funds. New awards will direct Grantees to spend obligated funds in accordance with eligible activities allowed by law and in accordance with applicable guidance and regulations. The new awards will also incorporate specific requirements related to the tracking and reporting of Recovery Act funding.

A complete application package will be due within 60 days of issuance of the Funding Opportunity Announcement. The detailed application process will be set forth in the announcement.

**2.4 PUBLIC HEARING:** All grantees are required to hold a public hearing on funding received through the Recovery Act prior to the submission of their application package. There are no other changes to this section.

Grantees are encouraged to work closely with their subgrantee network to assure that work can be completed within the designated time schedule. Individual subgrantee plans for ramp up are strongly suggested. These plans should to the maximum extent possible identify the increased number of workers/contractors required to effectively utilize PY 2009 funds in the time required and how these workers/contractors will be identified and recruited. The plans also should identify how training of the current and expanded workforce (employees and contractors) will be conducted. Grantees should also build in some flexibility to add or change subgrantees, if necessary, to meet Recovery Act goals. Selection of subgrantees must still meet the requirements outlined in Section 440.14 of the Weatherization rule.

**2.5 BUDGET:** The intent of the Recovery Act is to put the funding into the economy as quickly as possible, while spending the funds efficiently and wisely. Expending the Recovery Act funding is the first priority; therefore, Grantees are directed to expend the Recovery Act funds first.

Grantees must segregate the obligations and expenditures related to funding under the Recovery Act. Financial and accounting systems should be revised as necessary to segregate, track and maintain these funds apart and separate from other revenue streams. No part of the funds from the Recovery Act shall be commingled with any other funds or used for a purpose other than that of making payments for costs allowable for Recovery Act projects. Recovery Act funds can be used in conjunction with other funding sources as necessary to complete projects, but tracking and reporting must be separate to meet the reporting requirements of the Recovery Act and OMB Guidance.

DOE intends to obligate the Recovery Act funds based on the following milestones:

- 10% of total allocation at time of initial award
- 40% of total allocation upon DOE approval of the State Plan (due within 60 days after FOA issuance)
- Balance of total allocation based on DOE review of progress in obligating the funds, complying with all reporting requirements, and creating jobs. If Progress Reviews reveal deficiencies, such as funds not disbursed, jobs not created, insufficient technical monitoring, or failure to meet reporting requirements, DOE reserves the right to place a hold on current balances, and withhold further funding until deficiencies are corrected.

DOE will revise the current monitoring procedure for WAP grants and advise Grantees accordingly. Grantees should expect more frequent and more detailed monitoring by DOE. DOE will conduct periodic progress reviews to assess Grantees compliance with Program requirements. These reviews will include monitoring of subgrantee performance as well. Technical assistance will be provided to assist Grantees and subgrantees in meeting performance requirements.

- **LIABILITY INSURANCE:** No changes were made to this section.
- **FINANCIAL AUDITS:** No changes were made to this section.  
However, Grantees

should be cognizant that many of the subgrantees that were previously below the OMB Circular A-133 threshold are now subject to these requirements.

### **3.0 TRAINING AND TECHNICAL ASSISTANCE (T&TA) PLAN**

**3.1 BASIC:** T&TA activities are intended to maintain or increase the efficiency, quality and effectiveness of the Weatherization Program at all levels. Such activities should be designed to maximize energy savings, minimize production costs, improve program management and crew/contractor “quality of work,” and/or reduce the potential for waste, fraud, abuse and mismanagement. The local service providers should be the primary recipients of T&TA activities.

The T&TA funds may also be used to train contractors at the local agency level participating in the Program. In making the determination to pay for contractor training, Grantees and subgrantees should secure a retention agreement in exchange for the training. The contract agreement should stipulate that contractors will work in the Program, at a minimum, for a specific amount of time and should align with the cost of the T&TA provided.

Section II.6 of the Annual File, which describes specific activities, and Section III.5.4 of the “On-file” Information, which describes the overall approach in the current Application and Forms Package, should be used to describe how Grantees will identify

and address the needs of the subgrantees in this area. At a minimum, such a description must include the following:

- A. How a Grantee assesses the training needs of its subgrantees and contractors in light of increased funding;
- B. What training the Grantee will provide for subgrantee staff and contractors and requirements for attendance;
- C. Whether the Grantee requires any certification or training of subgrantee staff and contractors prior to hire or by date certain of hire.

**3.2 CLIENT EDUCATION:** No changes were made to this section.

**3.3 PROGRAM EVALUATION:** No changes were made to this section.

#### **4.0 GRANTEE PROGRAM OVERSIGHT (Program Monitoring)**

The Grantee must conduct comprehensive monitoring of each subgrantee at least once a year. The Grantee's Plan must include a monitoring plan to provide adequate oversight of use of DOE funds by subgrantees. The comprehensive monitoring must include review of client files and subgrantees records, as well as inspection of *at least* 5 percent of the completed units or units in the process of being weatherized. DOE strongly encourages a higher percentage of units be inspected. If inspection reveals quality control or other problems, Grantee shall increase the number of units monitored and frequency of inspection until all issues are resolved. Detailed review of subgrantee records and inspections must be maintained by the Grantee and be available at the request of DOE monitors.

#### **5.0 POLICY, PROGRAM GUIDANCE, AND REGULATORY CHANGES**

**5.1 TEMPORARY DISQUALIFICATION OF CERTAIN NEWLY LEGALIZED ALIENS FROM RECEIPT OF WEATHERIZATION BENEFITS:** No changes were made to this section.

**5.2 MULTI-FAMILY ELIGIBILITY:** In light of the Recovery Act funding, DOE suggests Grantees review any policies that are beyond the DOE minimum requirement that may impede the ability of the Grantee to meet production expectations (e.g., landlord contributions, percentage set asides, etc.). Grantees should promptly notify DOE of any such policies or other obstacles that would prevent or restrict Grantee from achieving projected production levels.

**5.3 PROCUREMENT OF BUILDING INSULATION PRODUCTS AND**

**MATERIALS CONTAINING RECOVERED MATERIALS:** No changes were made to this section.

**5.4 RENTAL REQUIREMENTS:** No changes were made to this section.

**5.5 ENERGY AUDIT CRITERIA:** No changes were made to this section.

**5.6 USE OF WEATHERIZATION FUNDS FOR RENEWABLE ENERGY SYSTEMS:** No changes were made to this section.

**5.7 DISASTER RELIEF:** No changes were made to this section.

**5.8 ENERGY CRISIS RELIEF:** No changes were made to this section.

**5.9 DETERMINING ELIGIBILITY LEVELS AND DEFINING INCOME:** The Recovery Act amended the DOE Weatherization eligibility criterion by striking “150 percent” in both places it appears and inserting “200 percent.” This raises the eligibility criterion for DOE Weatherization from 150 percent of poverty to 200 percent of poverty.

This may also cause the Low-Income Home Energy Assistance Program eligibility no longer to be the upper ceiling on the definition of income in any given state. Beginning with issuance of this guidance, the income eligibility level for the DOE Weatherization Program is 200 percent of the Poverty Income Guidelines.

In determining the level of eligibility, the Grantee may use either the DOE criteria of up to 200 percent of poverty or the LIHEAP criteria. This determination, made by the Grantee, must be applied throughout the Grantee’s entire service territory. Grantees shall require all subgrantees to maintain records documenting weatherization assistance recipients’ eligibility. Grantees shall require subgrantees to reimburse DOE funds provided to pay the cost of weatherizing a unit if it is determined that the family unit occupying the residence was not eligible for weatherization assistance at the time such services were provided.

**5.10 DETERMINING PRIORITY SERVICE:** No changes were made to this section.

**5.11 FUEL SWITCHING:** No changes were made to this section.

**5.12 ENERGY-RELATED HEALTH AND SAFETY:** No changes were made to this section.

**5.13 LEAD PAINT HAZARD:** Not related to the Recovery Act, but since issuance of WPN 09-1, the Environmental Protection Agency (EPA) has recognized two currently available lead test kits for use in determining whether lead paint exists in a pre-1978 house. One of the kits is available for use in only one state—Massachusetts. The other test kit is available at hardware and home renovation stores in most areas and also available online.

EPA intends to release the names of additional EPA-recognized test kits in the near future, which will be posted at <http://www.epa.gov/lead>. DOE will notify Grantees of their availability. Further information on Lead Paint and Lead Safe Weatherization can be found in WPN 09-6 and further guidance on the use of these kits will be issued as WPN 09-6A.

**5.14 ENERGY-RELATED MOLD AND MOISTURE IMPACTS:** No changes were made to this section.

**5.15 REWEATHERIZATION:** The Recovery Act amended this provision by striking “September 30, 1979” and inserting “September 30, 1994”.

**5.16 VEHICLE AND EQUIPMENT OVER \$5000 PURCHASES:** The regulations and guidance that include the requirement for approval for purchase of vehicles and equipment greater than \$5,000 are as follows. (10 CFR Part 440.18 (c) (6) and Weatherization Program Notice 05-1, Program Year 2005 Weatherization Grant Guidance, dated November 12, 2004, explains why this requirement could not be eliminated.)

For approval of Vehicle & Capital Equipment Purchases, the minimum information needed by DOE is:

- Name of requesting Grantee and Local Agency
- Where the vehicle will be used and how it will be used – Specify, full or part time use in Weatherization Program
- A statement of whether this is a replacement or an expansion for ramp-up. If this is a replacement, how is the trade-in being addressed?
- Brief description of how the procurement will be done, and confirmation that Agency, State and Federal procurement guidelines will be met
  - 2 CFR 225 (former OMB Circular A-87) – Cost Principles for State, Local, and Indian Tribal Governments
  - 2 CFR 230 (former OMB Circular A-122) – Cost Principles for Non-Profit Organizations
- What the funding source(s) will be (e.g., DOE Weatherization Program Operations funds). Subgrantee T&TA funds are not an allowable option as noted in bold at the end of Section 2.5 in the annual guidance.
- Copies of bid specs (vehicle description with options requested) and bids received
- Statement that lowest bid will be selected, or a sufficient justification of the “best value selection” if lowest bid not recommended for DOE approval.

This information can be submitted via e-mail, fax, or mailed letter, but the Grantee recommendation for approval must be submitted in writing to the applicable DOE Weatherization PMC Project Officer.

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If a Grantee submits the above information via e-mail or fax, the DOE Project Officer should approve the request within three business days; pending all of the minimum information is adequately provided. If extenuating circumstances arise, the Project Officer will follow-up within three days, requesting additional details on the purchase.

Several Grantees have developed forms that help facilitate the process for subgrantees and make the process more consistent. Contact your PMC Project Officer for examples.

Grantees, as well as subgrantees, should consider and weigh the options on leasing versus purchasing. DOE would not need to approve a vehicle lease that does not include a "purchase option." But if a lease-purchase option is proposed and even if the purchase price is as small as one dollar, DOE would need to approve the purchase of the vehicle.

**5.17 POLICY ADVISORY COUNCIL:** No changes were made to this section.

**5.18 ELECTRIC BASE LOAD:** No changes were made to this section.

**5.19 PREVAILING WAGES:** All laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code. With respect to the labor standards specified in this section, the Secretary of Labor shall have the authority and functions set forth in Reorganization Plan numbered 14 of 1950 (64 Stat. 1267, 5 U.S.C. App.) and section 3145 of title 40 United States Code. See U.S. Department of Labor, Wage and Hour Division website at <http://www.dol.gov/esa/whd/contracts/dbra.htm>. Wage determinations can be found at <http://www.wdol.gov>.

**5.20 ADMINISTRATIVE COSTS:** No changes were made to this section. However, Grantees should be aware, with the increase in funding to the subgrantee network, many agencies will be above the \$350,000 threshold, which will no longer make these agencies eligible for the additional 5% of administrative funding.

**5.21 ADMINISTRATIVE:** To meet the intent of the Recovery Act funding, it may be necessary to add additional subgrantees to the Program. Grantees are reminded that both 10 CFR 440.14, State Plans, and 10 CFR 440.15, Subgrantees, apply. 10 CFR 440.15, Subgrantees, states:

a) The Grantee shall ensure that:

- (1) Each subgrantee is a CAA or other public or nonprofit entity;
- (2) Each subgrantee is selected on the basis of public comment received during a public hearing conducted pursuant to Section 440.14(a) and other appropriate findings regarding:

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- (i) The subgrantee's experience and performance in Weatherization or housing renovation activities;
- (ii) The subgrantee's experience in assisting low-income persons in the area to be served; and
- (iii) The subgrantee's capacity to undertake a timely and effective Weatherization Program.

(3) In selecting a subgrantee, preference is given to any CAA or other public or nonprofit entity which has, or is currently administering, an effective program under this part or under title II of the Economic Opportunity Act of 1964, with program effectiveness evaluated by consideration of factors including, but not necessarily limited to, the following:

- (i) The extent to which the past or current program achieved or is achieving weatherization goals in a timely fashion;
- (ii) The quality of work performed by the subgrantee;
- (iii) The number, qualifications, and experience of the staff members of the subgrantee; and
- (iv) The ability of the subgrantee to secure volunteers, training participants, public service employment workers, and other Federal or State training programs.

(b) The grantee shall ensure that the funds received under this part will be allocated to the entities selected in accordance with paragraph (a) of this section, such that funds will be allocated to areas on the basis of the relative need for a weatherization project by low-income persons.

(c) If DOE finds that a subgrantee selected to undertake Weatherization activities under this part has failed to comply substantially with the provisions of the Recovery Act or this part and should be replaced, such finding shall be treated as a finding under Section 440.30(i) for purposes of 440.30.

(d) Any new or additional subgrantee shall be selected at a hearing in accordance with Section 440.14(a) and upon the basis of the criteria in paragraph (a) of this section.

(e) A State may terminate financial assistance under a subgrant agreement for a grant period only in accordance with established State procedures that provide to the subgrantee appropriate notice of the State's reasons for termination and afford the subgrantee an adequate opportunity to be heard.

## **6.0 REPORTING**

**6.1 REPORTING REQUIREMENTS:** The reporting requirements are set forth in Attachment B of Funding Opportunity Announcement DE-FOA-0000051. Financial and progress reports will be used to adhere to the transparency and oversight requirements

detailed in the Recovery Act and posted on <http://www.recovery.gov>. Please note that the due date of certain reports may change.

DOE intends to modify the periodic Progress Report to include reporting on the following, at a minimum:

- Jobs created at the state agency level
- Jobs created using state contractors
- Jobs retained at the state agency level
- Jobs retained with state contractors
- Jobs created at the local agency level
- Jobs created using local agency contractors
- Jobs retained at the local agency level
- Jobs retained with local agency contractors
- State desk monitoring/oversight visits
- State on-site monitoring/oversight visits
- Hours trained at the state agency
- Hours trained at the local agency
- Equipment units purchased that are more than \$5,000.
- DOE may provide additional guidance regarding the calculation of jobs created
- DOE may provide additional guidance regarding the methodology for calculating energy savings.

Grantees also shall continue to report progress of subgrantees in meeting the Production Schedule included in the DOE approved State Plan.

**6.2 REPORTING DOE COMPLETED UNITS:** No changes were made to this section.

### **7.0 PROTECTION OF WHISTLEBLOWERS**

Prohibition on Reprisals: An employee of any non-Federal employer receiving covered funds under the Recovery Act may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing, including a disclosure made in the ordinary course of an employee's duties, to the Accountability and Transparency Board, an inspector general, the Comptroller General, a member of Congress, a State or Federal regulatory or law enforcement agency, a person with supervisory authority over the employee (or other person working for the employer who has the authority to investigate, discover or terminate misconduct, a court or grand jury, the head of a Federal agency, or their representatives information that the employee believes is evidence of:

- Gross management of an agency contract or grant relating to covered funds;
- Gross waste of covered funds

- Substantial and specific danger to public health or safety related to the implementation or use of covered funds;
- Abuse of authority related to the implementation or use of covered funds; or
- Violation of law, rule, or regulation related to an agency contract (including the competition for or negotiation of a contract) or grant, awarded or issued relating to covered funds.

Agency Action: Not later than 30 days after receiving an inspector general report of an alleged reprisal, the head of the agency shall determine whether there is sufficient basis to conclude that the non-Federal employer has subjected the employee to a prohibited reprisal. The agency shall either issue an order denying relief in whole or in part or shall take one or more of the following actions:

- Order the employer to take affirmative action to abate the reprisal.
- Order the employer to reinstate the person to the position that the person held before the reprisal, together with compensation including back pay, compensatory damages, employment benefits, and other terms and conditions of employment that would apply to the person in that position if the reprisal had not been taken.
- Order the employer to pay the employee an amount equal to the aggregate amount of all costs and expenses (including attorneys' fees and expert witnesses' fees) that were reasonably incurred by the employee for or in connection with, bringing the complaint regarding the reprisal, as determined by the head of a court of competent jurisdiction.

Nonenforceability of Certain Provisions Waiving Rights and remedies or Requiring Arbitration: Except as provided in a collective bargaining agreement, the rights and remedies provided to aggrieved employees by this section may not be waived by any agreement, policy, form, or condition of employment, including any predispute arbitration agreement. No predispute arbitration agreement shall be valid or enforceable if it requires arbitration of a dispute arising out of this section.

Requirement to Post Notice of Rights and Remedies: Any employer receiving covered funds under the Recovery Act shall post notice of the rights and remedies as required therein. See [www.Recovery.gov](http://www.Recovery.gov) for specific requirements of this section and prescribed language for the notices.

## **8.0 OTHER PROVISIONS**

**8.1 FALSE CLAIMS ACT:** Grantees and subgrantees shall promptly refer to the DOE or other appropriate Inspector General any credible evidence that a principal, employee, agent, contractor, subgrantee, subcontractor or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws

pertaining to fraud, conflict or interest, bribery, gratuity or similar misconduct involving those funds.

**8.2 INFORMATION IN SUPPORTING OF RECOVERY ACT REPORTING:**

Recipient may be required to submit backup documentation for expenditures of funds under the Recovery Act including such items as timecards and invoices. Recipient shall provide copies of backup documentation at the request of the Contracting Officer or designee.

**8.3 ACCESS TO RECORDS:** With respect to each financial assistance agreement awarded utilizing at least some of the funds appropriated or otherwise made available by the Recovery Act any representative of an appropriate inspector general appointed under section 3 or 8G of the Inspector General Act of 1988 (5 U.S.C. App.) or of the Comptroller General is authorized –

- (1) to examine any records of the Grantee, any of its contractors or subgrantees, or any State or local agency administering such contract that pertain to, and involve transactions relation to, the subcontract, subcontract, grant, or subgrant; and
- (2) to interview any officer or employee of the contractor, Grantee, subgrantee, or agency regarding such transactions.

**CONCLUSION:** The Weatherization Network is being asked to assist Congress, the Administration and the Nation in increasing the energy efficiency of low-income housing stock, creating and maintaining jobs, and thereby assisting in stimulating the American economy.

Since the Program's inception in 1976, WAP has weatherized over 6.2 million households. That number will grow dramatically in a very short period of time as a result of Recovery Act funds.

This is an extraordinary challenge put before an extraordinary network. At DOE, we pledge to work in partnership with the Grantees, subgrantees and their Associations, to ensure that these purposes are met. We ask that you keep the lines of communication open and that you continue to work collaboratively with us to achieve these objectives.

DOE recognizes the complexity of this challenge and recognizes there may be elements that will require still further clarification. DOE will continue to provide additional updates through PMC Project Officers and, as needed, through Program Notices in an effort to keep the Weatherization network well informed.

## Weatherization Program Notice 09-1B

17

It is a pleasure to work with you on this important challenge. I look forward to the growth of this Program and our continued partnership to ensure *Weatherization Works!*



Gilbert P. Sperling  
Program Manager  
Office of Weatherization and Intergovernmental Program  
Energy Efficiency and Renewable Energy

**Attachments:**

American Recovery and Reinvestment Act of 2009 Grantee Allocations at \$5 Billion  
WPN 08-1, Program Year 2008 Weatherization Grant Guidance  
WPN 09-1, Program Year 2009 Weatherization Grant Guidance  
WPN 09-1A, Grant Guidance for Program Years 2008 and 2009 to Access the \$250  
Million 2009 Supplemental Funding



Department of  
Development  
Office of Community Services

# Home Weatherization Assistance Program

## American Recovery and Reinvestment Act of 2009 **State Plan**

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May 2009

Prepared By:  
Ohio Department of Development  
Community Development Division  
Office of Community Services

Ted Strickland, Governor of Ohio  
Lee Fisher, Lt. Governor of Ohio  
Lisa Patt-McDaniel, Interim Director, Ohio Department of Development

<b>APPLICATION FOR FEDERAL ASSISTANCE SF-424</b>		Version 02
<b>1. Type of Submission:</b> <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	<b>2. Type of Application:</b> If Revision, select appropriate letter(s) <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation      Other (specify): <input type="checkbox"/> Revision	
3. Date Received	4. Applicant Identifier:	
5a. Fed Entity Identifier:	5b. Federal Award Identifier: EE00099	
<b>State Use Only:</b>		
6. Date Received by State:	7. State Application Identifier:	
<b>8. APPLICANT INFORMATION:</b>		
a. Legal Name:      State of Ohio		
b. Employer/Taxpayer Identification Number (EIN/TIN): 311334820	c. Organizational DUNS: 808847743	
<b>d. Address:</b>		
Street 1:      Post Office Box 1001		
Street 2:		
City:      Columbus		
County:      Franklin		
State:      OH		
Province:		
Country:      U.S.A.		
Zip / Postal Code:      43216-1001		
<b>e. Organizational Unit:</b>		
Department Name: Department of Development	Division Name: Office of Community Services	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
Prefix:      Mr.      First Name:      Donald		
Middle Name:		
Last Name:      Skaggs		
Suffix:		
Title:      Assistant Office Chief		
Organizational Affiliation:		
Telephone Number:      (614)466-6289      Fax Number:      (614) 728-6832		
Email:      Donald.Skaggs@development.ohio.gov		

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

**9. Type of Applicant:**

A State Government (State)

**10. Name of Federal Agency:**

U. S. Department of Energy

**11. Catalog of Federal Domestic Assistance Number:**

81.042

CFDA Title:

Weatherization Assistance For Low Income Persons

**12. Funding Opportunity Number:**

DE-FOA-0000051

Title:

DE-FOA-0000051 Weatherization Formula Grants - American Recovery and Reinvestment Act (ARRA)

**13. Competition Identification Number:**

Title:

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

Statewide

**15. Descriptive Title of Applicant's Project:**

Low-Income Weatherization Program for the American Recovery and Reinvestment Act of 2009 State Plan.

<b>APPLICATION FOR FEDERAL ASSISTANCE SF-424</b>		Version 02
<b>16. Congressional District Of:</b>		
a. Applicant: 15	b. Program/Project: Statewide	
Attach an additional list of Program/Project Congressional Districts if needed:		
<b>17. Proposed Project:</b>		
a. Start Date: 04/01/2009	b. End Date: 03/31/2012	
<b>18. Estimated Funding (\$):</b>		
a. Federal	266,781,409.00	
b. Applicant	0.00	
c. State	0.00	
d. Local	0.00	
e. Other	0.00	
f. Program Income	0.00	
g. TOTAL	266,781,409.00	
<b>19. Is Application subject to Review By State Under Executive Order 12372 Process?:</b>		
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on: <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. <input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372		
<b>20. Is the applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation)</b>		
No		
<b>21. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code Title 218, Section 1001)</b>		
<input checked="" type="checkbox"/> I AGREE		
<small>** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</small>		
<b>Authorized Representative:</b>		
Prefix: MS.	First Name: Candace	
Middle Name:		
Last Name: Jones		
Suffix:		
Title: Chief Legal Counsel and Ethics Officer		
Telephone Number: (614) 728-3000	Fax Number: (614) 728-4920	
Email: candace.jones@development.ohio.gov		
Signature of Authorized Representative:		Date Signed:
		5/11/2009



Department of  
Development  
Office of Community Services

# ARRA Budget

DOE F 4600.4  
(04-94)  
Replaces EIA-459C  
All Other Editions Are Obsolete

**U.S. Department of Energy**  
**Federal Assistance Budget Information**

OMB Control No.  
1910-0400

**OMB Burden Disclosure Statement**

Public reporting burden for this collection of information is estimated to average 1.87 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-0400), Washington, DC 20503.

1. Program/Project Identification No. Amendment number:	EE00099 A000	2. Program/Project Title Weatherization Assistance For Low Income Persons
3. Name and Address	State of Ohio Post Office Box 1001 Columbus OH 43216-1001	4. Program/Project Start Date 04/01/2009
		5. Completion Date 03/31/2012

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DOE	81.042	\$ 0.00		\$ 266,781,409.00		\$ 266,781,409.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTALS		\$ 0.00	\$ 0.00	\$ 266,781,409.00	\$ 0.00	\$ 266,781,409.00

SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity					Total (5)
	(1) GRANTEE ADMINISTR ATION	(2) SUBGRANT EE ADMINISTR	(3) GRANTEE T&TA	(4) SUBGRANT EE T&TA		
a. Personnel	\$ 891,139.00	\$ 0.00	\$ 727,424.00	\$ 0.00	\$ 1,618,563.00	
b. Fringe Benefits	\$ 311,899.00	\$ 0.00	\$ 254,599.00	\$ 0.00	\$ 566,498.00	
c. Travel	\$ 0.00	\$ 0.00	\$ 152,900.00	\$ 0.00	\$ 152,900.00	
d. Equipment	\$ 0.00	\$ 0.00	\$ 30,000.00	\$ 0.00	\$ 30,000.00	
e. Supplies	\$ 59,031.00	\$ 0.00	\$ 8,976.00	\$ 0.00	\$ 68,007.00	
f. Contractual	\$ 1,025,000.00	\$ 18,486,638.00	\$ 0.00	\$ 3,000,000.00	\$ 260,275,531.00	
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 3,150,000.00	\$ 3,150,000.00	
i. Total Direct Charges	\$ 2,287,069.00	\$ 18,486,638.00	\$ 1,173,899.00	\$ 6,150,000.00	\$ 265,861,499.00	
j. Indirect Charges	\$ 506,479.00	\$ 0.00	\$ 413,431.00	\$ 0.00	\$ 919,910.00	
k. Totals	\$ 2,793,548.00	\$ 18,486,638.00	\$ 1,587,330.00	\$ 6,150,000.00	\$ 266,781,409.00	
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	

DOE F 4600.4  
(04-94)  
Replaces EIA-459C  
All Other Editions Are Obsolete

**U.S. Department of Energy**  
**Federal Assistance Budget Information**

OMB Control No.  
1910-0400

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1. Program/Project Identification No. Amendment number:	EE00099 A000	2. Program/Project Title Weatherization Assistance For Low Income Persons
3. Name and Address	State of Ohio Post Office Box 1001 Columbus OH 43216-1001	4. Program/Project Start Date 04/01/2009
		5. Completion Date 03/31/2012

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTALS		\$ 0.00	\$ 0.00	\$ 266,781,409.00	\$ 0.00	\$ 266,781,409.00

SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity				Total (5)	
	(1) PROGRAM OPERATION S	(2) HEALTH AND SAFETY	(3) LIABILITY INSURANCE	(4) LEVERAGIN G		
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,618,563.00	
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 566,498.00	
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 152,900.00	
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 30,000.00	
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 68,007.00	
f. Contractual	\$ 209,167,751.00	\$ 27,496,142.00	\$ 700,000.00	\$ 250,000.00	\$ 260,275,531.00	
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 3,150,000.00	
i. Total Direct Charges	\$ 209,167,751.00	\$ 27,496,142.00	\$ 700,000.00	\$ 250,000.00	\$ 265,861,499.00	
j. Indirect Charges	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 919,910.00	
k. Totals	\$ 209,167,751.00	\$ 27,496,142.00	\$ 700,000.00	\$ 250,000.00	\$ 266,781,409.00	
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	

DOE F 4600.4  
(04-94)  
Replaces EIA-459C  
All Other Editions Are Obsolete

**U.S. Department of Energy**  
**Federal Assistance Budget Information**

OMB Control No.  
1910-0400

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1. Program/Project Identification No. Amendment number:	EE00099 A000	2. Program/Project Title Weatherization Assistance For Low Income Persons
3. Name and Address	State of Ohio Post Office Box 1001 Columbus OH 43216-1001	4. Program/Project Start Date 04/01/2009
		5. Completion Date 03/31/2012

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTALS		\$ 0.00	\$ 0.00	\$ 266,781,409.00	\$ 0.00	\$ 266,781,409.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) FINANCIAL AUDITS	(2)	(3)	(4)	
a. Personnel	\$ 0.00				\$ 1,618,563.00
b. Fringe Benefits	\$ 0.00				\$ 566,498.00
c. Travel	\$ 0.00				\$ 152,900.00
d. Equipment	\$ 0.00				\$ 30,000.00
e. Supplies	\$ 0.00				\$ 68,007.00
f. Contractual	\$ 150,000.00				\$ 260,275,531.00
g. Construction	\$ 0.00				\$ 0.00
h. Other	\$ 0.00				\$ 3,150,000.00
i. Total Direct Charges	\$ 150,000.00				\$ 265,861,499.00
j. Indirect Charges	\$ 0.00				\$ 919,910.00
k. Totals	\$ 150,000.00				\$ 266,781,409.00
7. Program Income	\$ 0.00				\$ 0.00

DOE F 4600.4

(04-94)

Replaces EIA-459C

All Other Editions Are Obsolete

U.S. Department of Energy

Federal Assistance Budget Information

OMB Control No.

1910-0400

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1. Program/Project Identification No. Amendment number:	EE00099 A000	2. Program/Project Title Weatherization Assistance For Low Income Persons
3. Name and Address	State of Ohio Post Office Box 1001 Columbus OH 43216-1001	4. Program/Project Start Date 04/01/2009
		5. Completion Date 03/31/2012

**Comments:**

Ohio's HWAP ARRA State Plan is a three-year plan corresponding with the ARRA grant period. The funds are allocated in an initial two-year budget (April 1, 2009 to March 31, 2011), and a new budget will be submitted for the third year (April 1, 2011 to March 31, 2012). Remaining funds from the initial budget and any unspent Base Allocation funds will be reallocated per the funding formula in the new budget. In this manner, Ohio optimizes sustainability of the ARRA program ramp-up while maintaining quality weatherization standards.

The two-year initial budget is based on allocating eighty percent (80%) of the ARRA award. The remaining twenty percent (20%), referenced herein as the Reserve Allocation, will be (1) awarded to current grantee providers that are exceeding production goals or (2) awarded to new providers so that production shortages can be prevented. [For more information regarding Ohio's implementation of the ARRA HWAP, please see Ohio ARRA Guiding Principles, Annual File Section II.10 of this State Plan.]

In order to promote separate accountability of the ARRA funds from the DOE Base Allocation funds, and to comply with the DOE directive that ARRA production cannot commence without an approved comprehensive state plan, Ohio will implement the two sources of funding in sequence. Ohio's 2009 HWAP program year began April 1st. Our target date for ARRA production is June 1, 2009 when Base Allocation production will be suspended and each grantee will submit an interim close-out financial report of the Base Allocation funds. HWAP Production can resume with the Base Allocation funds, if 100% of the grantee's total allocation based on the ARRA award, including any ARRA funds from the Reserve Allocation, is spent within the initial two-year budget period. Since April and May HWAP production will be funded with Base Allocation dollars, this initial budget for ARRA funds will contain twenty-two months of production costs and administrative support expenses. ARRA ramp-up costs may be incurred after April 1, 2009.

GO-PF20a  
(10/01)

U.S. DEPARTMENT OF ENERGY  
GOLDEN FIELD OFFICE



**BUDGET EXPLANATION FOR FORMULA GRANTS**

Applicant: State of Ohio

Budget period: 04/01/2009 - 03/31/2012

Award number: EE00099

Amendment number: A000

**1. PERSONNEL** - Prime Applicant only (all other participant costs are listed in 6 below and form DOE F 4600.4, Section B. Line 6.f. Contracts and Sub-Grants).

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

<b>Position</b>	<b>Description of Duties of Professionals</b>
Office Chief	Oversees the Office of Community Services
Assistant Office Chief	Oversees the Residential Unit and the Office of Community Services
Administrative Unit Manager	Oversees the Financial Unit within the Office of Community Services
Database Analyst Supervisor	Oversees the IT operations of the Office of Community Services
Administrative Staff Supervisor	Oversees the administrative support staff
Development Specialist Supervisor	Residential Unit manager oversees programs including the Home Weatherization Assistance Program
Consumer Energy Specialist	Oversees the energy education component of the Home Weatherization Assistance Program
Fiscal Specialist 2	Handles the financial reporting from the local providers
Energy Research Analyst 2	Monitors providers, offers TA, supports RU manager
Fiscal Specialist 2	Monitors administrative component, offers TA, supports CEE
Development Specialist Supervisor	Assistant HWAP Manager, Low Income HWAP / EPP Specialist, Prepares State Plans and Reports.
Training Officer	Develops consumer energy education materials, supports CEE
Energy Research Analyst 2	Monitors providers, offers TA, supports RU manager
Database Analyst	Supports WAP with computer support, general program support
Energy Research Analyst 2	Monitors providers, offers TA, supports RU manager
Energy Research Analyst 2	Monitors providers, offers TA, supports RU manager
Energy Research Analyst 2	Monitors providers, offers TA, supports RU manager
Database Analyst	Inputs production reports from local providers
Energy Research Analyst 2	Monitors providers, offers TA, supports RU manager
Administrative Assistant	Assists WAP program in many areas, supports fiscal & administrative
Energy Research Analyst 2	Monitors providers, offers TA, supports RU manager
Energy Research Analyst 2	Monitors providers, offers TA, supports RU manager
Fiscal Specialist 2	Administrative monitoring, Quality Assurance follow-up
Training Officer	Coordination of provider training, liaison with training hubs
Administrative Assistant	Assists WAP program in administrative tasks

Direct Personnel Compensation:

<b>Position</b>	<b>Salary/Rate</b>	<b>Time</b>	<b>Direct Pay</b>
Office Chief	\$154,640.68	30 % FT	\$46,392.20
Assistant Office Chief	\$137,483.80	30 % FT	\$41,245.14
Administrative Unit Manager	\$135,158.09	30 % FT	\$40,547.43

05/11/2009

Database Analyst Supervisor	\$128,333.46	30 % FT	\$38,500.04
Administrative Staff Supervisor	\$82,505.53	30 % FT	\$24,751.66
Development Specialist Supervisor	\$132,336.73	70 % FT	\$92,635.71
Consumer Energy Specialist	\$108,126.47	20 % FT	\$21,625.29
Fiscal Specialist 2	\$129,782.27	80 % FT	\$103,825.82
Energy Research Analyst 2	\$125,207.10	100 % FT	\$125,207.10
Fiscal Specialist 2	\$124,025.18	75 % FT	\$93,018.88
Development Specialist Supervisor	\$117,353.06	80 % FT	\$93,882.45
Training Officer	\$82,734.29	20 % FT	\$16,546.86
Energy Research Analyst 2	\$117,772.45	100 % FT	\$117,772.45
Database Analyst	\$110,147.17	30 % FT	\$33,044.15
Energy Research Analyst 2	\$105,038.23	25 % FT	\$26,259.56
Energy Research Analyst 2	\$86,585.05	100 % FT	\$86,585.05
Energy Research Analyst 2	\$86,585.05	100 % FT	\$86,585.05
Database Analyst	\$47,524.56	80 % FT	\$38,019.65
Energy Research Analyst 2	\$86,585.05	100 % FT	\$86,585.05
Administrative Assistant	\$82,048.01	50 % FT	\$41,024.00
Energy Research Analyst 2	\$86,585.05	100 % FT	\$86,585.05
Energy Research Analyst 2	\$86,585.05	100 % FT	\$86,585.05
Fiscal Specialist 2	\$82,485.00	75 % FT	\$61,863.75
Training Officer	\$82,734.29	100 % FT	\$82,734.29
Administrative Assistant	\$62,322.00	75 % FT	\$46,741.50
Direct Pay Total			\$1,618,563.18

**2. FRINGE BENEFITS**

- a. Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and include a copy of the rate agreement.
- b. If a above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations as an attachment.
- Fringe benefits for the State of Ohio employees includes medical, dental, and vision; contributions to the Public Employees Retirement Systems; Worker's Compensation coverage; and disability coverage. Individual rates vary depending upon the type of insurance coverage chosen by the employee during the 2009 program year. Fringe, during the 2009 program year, will average about 35% of the total salary. This percentage was used in preparing the budget.

Fringe Benefits Calculations

<b>Position</b>	<b>Direct Pay</b>	<b>Rate</b>	<b>Benefits</b>
Office Chief	\$46,392.20	35.00 %	\$16,237.27
Assistant Office Chief	\$41,245.14	35.00 %	\$14,435.80
Administrative Unit Manager	\$40,547.43	35.00 %	\$14,191.60
Database Analyst Supervisor	\$38,500.04	35.00 %	\$13,475.01
Administrative Staff Supervisor	\$24,751.66	35.00 %	\$8,663.08
Development Specialist Supervisor	\$92,635.71	35.00 %	\$32,422.50
Consumer Energy Specialist	\$21,625.29	35.00 %	\$7,568.85
Fiscal Specialist 2	\$103,825.82	35.00 %	\$36,339.04
Energy Research Analyst 2	\$125,207.10	35.00 %	\$43,822.49

Fiscal Specialist 2	\$93,018.88	35.00 %	\$32,556.61
Development Specialist Supervisor	\$93,882.45	35.00 %	\$32,858.86
Training Officer	\$16,546.86	35.00 %	\$5,791.40
Energy Research Analyst 2	\$117,772.45	35.00 %	\$41,220.36
Database Analyst	\$33,044.15	35.00 %	\$11,565.45
Energy Research Analyst 2	\$26,259.56	35.00 %	\$9,190.85
Energy Research Analyst 2	\$86,585.05	35.00 %	\$30,304.77
Energy Research Analyst 2	\$86,585.05	35.00 %	\$30,304.77
Database Analyst	\$38,019.65	35.00 %	\$13,306.88
Energy Research Analyst 2	\$86,585.05	35.00 %	\$30,304.77
Administrative Assistant	\$41,024.00	35.00 %	\$14,358.40
Energy Research Analyst 2	\$86,585.05	35.00 %	\$30,304.77
Energy Research Analyst 2	\$86,585.05	35.00 %	\$30,304.77
Fiscal Specialist 2	\$61,863.75	35.00 %	\$21,652.31
Training Officer	\$82,734.29	35.00 %	\$28,957.00
Administrative Assistant	\$46,741.50	35.00 %	\$16,359.53
Fringe Benefits Total			\$566,497.14

3. **TRAVEL** - Identify total foreign and domestic travel as separate items.

a. Proposed travel:

<u>Purpose of Trip</u>	<u>Number of Trips</u>	<u>Cost Per Trip</u>	<u>Total</u>
Compliance monitoring visits throughout the State	180	\$499.00	\$89,820.00
Training and Technical Assistance to local grantees	115	\$499.00	\$57,385.00
Training at Ohio Weatherization Training Center	18	\$316.40	\$5,695.20
		Travel Total	\$152,900.20

4. **EQUIPMENT** - As defined in 10 CFR 660.202. Definitions are at [http://www.access.gpo.gov/nara/cfr/waisidx\\_00/10cfr](http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr)

a. Basis of cost estimates (e.g., vendor quotes, prior purchases of similar or like items, etc.):

Based upon vendor quotes

b. Equipment to be purchased and justification of need:

<u>Equipment</u>	<u>Unit Cost</u>	<u>Number</u>	<u>Total Cost</u>	<u>Justification of Need</u>
Infrared Thermography Camera	\$7,500.00	4	\$30,000.00	Used during monitoring visits to local providers (determine adequate coverage of insulation and located air leakage sites)
		Equipment Total	\$30,000.00	

5. **MATERIALS AND SUPPLIES** - As defined in 10 CFR 660.202.

a. Basis cost estimates (e.g., vendor quotes, prior purchases of like items, etc.):

Based upon vendor quotes

b. Supplies to be purchased and justification of need:

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<u>General Category</u>	<u>Cost</u>	<u>Justification of Need</u>
Office Supplies	\$42,085.00	Prior year experience for office activities (paper for copier, printer) meetings, activities, events (includes annual state meeting)
Consumer Education materials	\$18,220.00	Prior year experience for ordering materials for local provider consumer education
Personnel Protective Equipment	\$7,702.00	State monitor usage, also as part of T&TA
Materials and Supplies Total	\$68,007.00	

6. **CONTRACTS AND SUBGRANTS** - All other participant costs including subcontractor sub-grants, and consultants  
For ongoing subcontractors and sub recipients described elsewhere in the application, document and item number is listed.

<u>Name of Proposed Sub</u>	<u>Total Cost</u>	<u>Basis of Cost*</u>
Local Weatherization Agency Providers	\$205,644,252.00	A two-year amount for each local agency is determined by the state allocation formula process. A table of the local agencies and the amounts received can be found in Section II.3 of the Annual File for this application.
Ohio WAP network entities	\$250,000.00	As specified within the DOE Grant Guidance, program regulations allow the use for leveraging funds to be made available for entities. The objective of these funds is to develop partnerships with local utilities and other non-federal resources to increase resources for the provider network. Ohio expects that leveraged funds will promote sustainability of the ARRA production ramp-up and to support energy efficiency measures not directly fundable by DOE.
OCEAN project	\$1,000,000.00	Ohio will be developing Phase II of the OCEAN project, that will include the HWAP program. OCEAN is a client-centric program that will be available to all providers, where they may enter all programmatic information (client application, budget, material & equipment inventory, activities on work being done through the HWAP, tracking of other funds, etc.)
State Conference	\$25,000.00	Funds planned in anticipation of a statewide T/TA conference
Reserve Allocation	\$53,356,279.00	80% of the award was allocated to providers for the first 24 month period. The reserve will be used to increase allocations for providers who meet targets or fund new providers in service areas where the current provider does not meet targets. Any unobligated ARRA funds will be allocated to providers for the third year of the ARRA grant period per formula.
Contracts and Subgrants Total	\$260,275,531.00	

\*For example, Competitive, Historical, Quote, Catalog

7. **OTHER DIRECT COSTS** - All direct costs not included in above categories
- Basis for cost estimates (e.g., vendor quotes, prior purchase of similar items, etc.):  
Negotiated agreement between the Office of Community Services and the Corporation for Ohio Appalachian Development.
  - Other direct costs and justification of need:

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<u>General Description</u>	<u>Cost</u>	<u>Justification of Need</u>
Ohio Weatherization Training Center	\$3,150,000.00	Amount of T&TA used to pay for operations of State Training facility and to institutionalize training hubs in four locations.
Other Direct Costs Total	\$3,150,000.00	

8. **INDIRECT COSTS**

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

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

The Office of Community Services is part of the Community Development Division. This is the basis for Rates.

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

Name: Lynda Sudderberg

Phone Number: (614)644-6058

Indirect costs calculations:

<u>Indirect Cost Account</u>	<u>Direct Total</u>	<u>Indirect Rate</u>	<u>Total Indirect</u>
Administrative Cost Pool	\$1,203,037.00	42.10 %	\$506,478.58
Training and Technical Assistance Cost Pool	\$982,023.00	42.10 %	\$413,431.68
		Indirect Costs Total	\$919,910.26



Department of  
Development  
Office of Community Services

# Annual File

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## U.S. Department of Energy

OMB Control No. 1910-5127

(08/05)

## WEATHERIZATION ANNUAL FILE WORKSHEET

Expiration Date: 6-30-08

Grant: EE00099

Amendment: 000

State: OH

Program year: 2009

Budget period: 04/01/2009 - 03/31/2012

## II.3 Subgrantees

Grantee	City	Tentative	
		Funding	Units
Ashtabula County Community Action Agency	Ashtabula	5,254,374.00	628
Board of Van Wert County Commissioners	Van Wert	1,071,907.00	128
CAO of Delaware, Madison, and Union Counties, Inc.	Marysville	2,292,626.00	274
CAP Commission of the Lancaster-Fairfield County Area	Lancaster	1,535,759.00	183
CAP of Greater Dayton	Dayton	16,657,369.00	1,982
Cincinnati-Hamilton County Community Action Agency	Cincinnati	11,157,846.00	1,328
City of Cleveland	Cleveland	705,011.00	0
Clermont County Community Services	Batavia	2,069,502.00	247
Clinton County Community Action Program, Inc.	Wilmington	3,595,063.00	428
Community Action Commission of Fayette County	Washington C H	1,118,125.00	134
Community Action Council of Portage County Inc	Ravenna	2,346,242.00	280
Community Action Wayne/Medina	Wooster	2,553,435.00	304
Corporation for Ohio Appalachian Development	Athens	853,548.00	0
Cuyahoga County Dept of Development	Cleveland	9,410,315.00	1,120
Delegate - Adams-Brown Counties Economic Opportunities	Georgetown	2,666,828.00	351
Delegate - CAP Corporation of Washington-Morgan Counties	Marietta	2,344,193.00	270
Delegate - Cleveland Housing Network	Cleveland	5,561,058.00	704
Delegate - Community Action Agency of Columbiana County	Lisbon	2,258,432.00	291
Delegate - Community Action Commission of Belmont County	St. Clairsville	2,315,607.00	277
Delegate - Community Action Committee of Pike County	Piketon	1,380,380.00	161
Delegate - Community Action Organization of Scioto County	Portsmouth	2,658,660.00	309
Delegate - Community Housing Solutions	Cleveland	3,997,141.00	480
Delegate - Cudell Improvement	Cleveland	3,778,775.00	453
Delegate - Detroit Shoreway Community Development	Cleveland	2,564,243.00	223
Delegate - Fairfax Renaissance Development	Cleveland	1,859,232.00	288
Delegate - Gallia Meigs Community Action Agency	Cheshire	1,894,959.00	221
Delegate - GMN Tri-County Community Action Committee	Caldwell	2,327,859.00	270
Delegate - Harcatus Tri-County Community Action Committee	Dennison	2,985,377.00	347
Delegate - Highland County Community Action Organization	Hillsboro	1,384,464.00	161
Delegate - Ironton-Lawrence County Area CAO	Ironton	2,372,783.00	291
Delegate - Jackson-Vinton County Community Action	Wellston	2,070,569.00	256
Delegate - Jefferson County Community Action Council	Steubenville	1,939,883.00	256
Delegate - KNO-HO-CO Ashland Community Action Commission	Coshocton	3,565,300.00	425
Delegate - Mt. Pleasant NOW Development Corp	Cleveland	2,331,319.00	329
Delegate - Muskingum Economic Opportunity Action Group	Zanesville	2,376,867.00	305

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Delegate - Ross County Community Action Commission	Chillicothe	1,739,768.00	221
Delegate - Tri-County (HAP) Community Action	Athens	3,704,155.00	459
Delegate - Warren County Community Services	Lebanon	1,462,253.00	174
East Akron Neighborhood Development Corp	Akron	1,786,390.00	213
Ground Level Solutions (R-Morrow)	Columbus	2,836,611.00	338
Ground Level Solutions, Inc.	Columbus	3,745,057.00	446
Hancock-Hardin-Wyandot-Putnam CAC, Inc.	Findlay	5,253,620.00	625
IMPACT Community Action	Columbus	9,813,020.00	1,168
LEADS	Newark	2,253,476.00	269
Lorain County Community Action Agency, Inc.	Lorain	2,940,583.00	350
Mahoning Youngstown Community Action Partnership	Youngstown	7,421,544.00	885
Miami County Community Action Council	Troy	1,817,134.00	216
Mid-Ohio Regional Planning Commission #140	Columbus	4,452,581.00	538
Neighborhood Housing Services of Toledo, Inc	Toledo	8,479,475.00	1,016
Northwestern Ohio Community Action Commission	Defiance	2,830,799.00	338
Ohio Heartland Community Action Commission	Marion	2,772,099.00	330
Pickaway County Community Action Organization, Inc.	Circleville	1,247,411.00	149
Reserve Alloaction	Statewide	53,356,279.00	7,662
SOURCES Community Network Services	Celina	1,369,707.00	163
Stark County Community Action Agency	Canton	4,807,413.00	572
Summit Cty Dept of Planning & Economic Development	Akron	6,958,429.00	829
Tri-County CAC of Champaign, Logan, and Shelby Counties	Bellefontaine	2,255,370.00	270
Trumbull Community Action Program	Warren	3,684,570.00	439
Wood Sandusky Ottawa Seneca CAC Inc	Green Springs	6,757,736.00	805
<b>TOTALS</b>		<b>259,000,531.00</b>	<b>32,179</b>

II.4 WAP Production Schedule

<b>Total Units (excluding reweatherized)</b>	<b>31,979</b>
-----	
Units by type (excluding reweatherized):	
Owner-occupied single-family site-built	
Single-family rental site-built	
Multi-family	
Owner-occupied mobile home	
Renter-occupied mobile home	
Shelter	
Units by occupancy:	
Elderly	
Persons with disabilities	
Native American	
Children	
High residential energy user	
Household with a high energy burden	
Other unit types:	
<b>Rewatherized Units</b>	<b>200</b>
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Average Unit Costs, including Reweathering, Subject to DOE Program Rules		
VEHICLES & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	
B	Total Units Weatherized	31,979
C	Total Units Reweatherized	200
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	32,179
E	Average Vehicle & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)		
F	Total Funds for Program Operations	\$209,167,751.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	32,179
H	Average Program Operations Cost per Unit (F divided by G)	\$6,500.13
I	Average Vehicle & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$6,500.13

II.5 Energy Savings

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

Using the information developed from the impact evaluation of the Ohio WAP (PY 2003), Ohio estimates that it will save 634,243 MBtus for DOE funding (average cost \$6500) with estimated production of 31,633. Ohio estimates that it will save 645,182 MBtus for all funding sources using the estimated production of 32,179 units.

Based upon production so far in PY 2008, it is expected that 6,892 units will be completed, therefore, prior year energy savings is based upon this number of units.

Estimated energy savings: 645,182 (MBtu)

Estimated prior year savings: Actual: 138,185

If variance is large, explain:

II.6 Training, Technical Assistance, and Monitoring Activities

The OCS will use \$1,587,300 of DOE funding for the purpose of monitoring and training and technical assistance. Five additional state staff will contribute to the ARRA HWAP training and technical assistant effort. These include two additional field monitors, a training officer dedicated to grantee provider training, an administrative monitor, and an administrative support position.

The OCS will designate \$3,150,000 of DOE funding for the operation of the state training center (Ohio Weatherization Training Center). Two-thirds of the OWTC allocation will provide training and technical assistance costs for the existing grantee provider network and those hired by the grantees due to ARRA production ramp-up. Training is provided for both grantee in-house weatherization staff and grantee contractors. About one-third of the OWTC allocation is for costs, such as equipment and heating labs, to institutionalize four decentralized training sites or hubs. The sum of \$3,000,000 of DOE funding will be used for subgrantee T&TA.

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In order to prepare for the increased training need from ARRA ramp-up, the OWTC has opened four regional training hubs in addition to the main site in Athens, Ohio. They are located in Newark, Fremont, Dayton, and Cleveland. Streamlined, module-based training is offered for Basic Weatherization Tactics and Inspection. Four additional professional trainers have been hired, and one trainer will be dedicated to HVAC contractors to insure compliance with Ohio Weatherization Standards. The hiring of two more full-time trainers is planned.

The OWTC will continue to focus training on (1) completing all field staff trainings on Pollution Safe Weatherization Work Standards (which includes Mold / Moisture, Lead, Vermiculite), (2) re-evaluating the Lead training component to ensure that competency of performing Lead Safe work is tested, (3) refining the Mobile Home Weatherization training, (4) implementing the Infrared Cameras and its technology, and (5) providing increased in-field training and technical assistance.

Ohio will continue to work with the Building Performance Institute (BPI) to provide a "testing out" alternative for weatherization personnel who are experienced and have successfully completed a recognized and qualified inspector series training. This testing will encompass the Inspector testing requirement. Successful completion of this testing will provide the student with national certification through the BPI organization and will allow the student to obtain the state requirement for their job description.

## II.7 DOE-Funded Leveraging Activities

Funds are being budgeted into this line item to allow entities in the network to pay for consultants or legal fees to leverage additional program dollars. The ability to access the \$250,000 budgeted within this line item will be based upon an ability to leverage new funds from utilities or other non-federal resources to supplement the weatherization program. The leveraging focus will concern resources to sustain Ohio's grantee provider network after the ARRA HWAP grant period and/or to fund ancillary energy efficiency measures not fundable with current funding sources.

## II.8 Policy Advisory Council Members (names, groups, agencies)

PUCO	Tonja Stewart
Ohio Weatherization Training Center	Keith Pitts
Ohio Association of CAA Energy Committee	Andrew (Joe) Devany
Central Ohio Area Agency on Aging	Rodney Pritchard
Ohio Partners for Affordable Energy Director	David C. Rinebolt
Neighborhood Housing Services of Toledo Inc	Dora Tharp
Ohio Heartland Community Action Commission	John Wildman
Ground Level Solutions, Inc.	John Johnson
Aviles Construction	Alex Aviles
Columbia Gas / NiSource	Jack Laverty
Jackson - Vinton County Community Action, Inc.	John Peoples
Summit County Dept of Community & Economic Dev	Ken Knodel
Community Action Partnership of Greater Dayton	Leonard Florence
Public Benefits Advisory Board	Jock Pitts

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WEATHERIZATION ANNUAL FILE WORKSHEET (continued)

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**II.9 State Plan Hearings (send notes, minutes, or transcript to the DOE office)**

Hearing Date
05/06/2009

Newspapers that publicized the hearings and the dates that the notice ran.

Athens Messenger (dates to be provided)

Akron Beacon Journal

Call & Post

Cincinnati Enquirer

Columbus Dispatch

Dayton Daily News

Toledo Blade

Youngstown Vindicator

**II.10 Adjustments to On-File Information**

The state of Ohio will receive approximately \$266 million in additional funding for the Home Weatherization Assistance Program (HWAP). Currently, the state receives approximately \$51 million (a 38% increase from the previous year) in HWAP funding. Due to the large increase in funds, certain guiding principles will be necessary to ensure that the funds are used effectively, timely and with maximum accountability and transparency.

**Guiding Principles**

- HWAP dollars will be allocated to the existing HWAP provider network (see attached list) via the existing formula methodology; however the following processes will be utilized:
  - HWAP recipients will receive an initial funding allocation and production goals based on 80% of the HWAP ARRA dollars (approximately \$213,425,000 of Ohio's total of \$266,781,409) and an average per unit cost of \$6,500 including up to \$600 that may be spent for home repairs to facilitate the installation of weatherization measures.
  - HWAP recipients will receive a 10 percent advance of the ARRA funding allocation and monthly reimbursements thereafter.
  - In order to increase capacity, HWAP recipients must hire agency staff, select non-profit delegates and/or contract with local contractors/sub-contractors that possess weatherization program experience or a skill set consistent with weatherization practices. OCS staff will be active participants in providing training and technical assistance to sub-grantees and contractors. Training and technical assistance activities will include, among other items, curriculum development and refinement, classroom instruction, demonstration of optimal weatherization methods and on-the-job mentoring.
- **The Office of Community Services (OCS) will review the HWAP recipient's productivity in relation to established production goals and/or the quality of the recipient's work on a monthly basis.** At the twelfth month or sooner in certain instances related to agency monthly production and based on the HWAP recipient's

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Expiration Date: 6-30-08

**Grant: EE00099**

**Amendment: 000**

**State: OH**

**Program year: 2009**

**Budget period: 04/01/2009 - 03/31/2012**

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specific operating and performance circumstances, OCS will take the following actions:

- If a recipient is not meeting production goals and/or work quality standards OCS may:
  - Allow the recipient to continue operations at the existing funding level and thereafter conduct weekly performance reviews;
  - Reduce the funding level for the recipient and provide unexpended dollars to another HWAP provider;
  - Require the recipient to select a non-profit delegate in cooperation and with assistance from OCS to meet production goals in a specified time frame; or
  - Reduce the funding to the recipient and provide the dollars on a competitive basis to a qualified non-profit to serve the defined geographic territory.
- Recipients exceeding production and/or meeting quality of work standards may receive additional funding at a level that can be expended within the grant period. Nevertheless, the monthly review process and other contingencies will continue to apply.
- Based on production levels and/or quality of work at the end of the 20th month, OCS will take one or more of the following actions:
  - Provide additional funding to agencies meeting or exceeding production;
  - Allow agencies to retain existing grant dollars if the funds can be expended and production met within a specified timeframe; or
  - Offer grant dollars on a competitive basis to qualified non-profits willing to serve those geographic areas where production is not being timely met or work quality is not up to standards.
- Onsite monitoring of a selected number of completed units will be performed by OCS on an ongoing basis to ensure that weatherization program standards are met. In addition, OCS will conduct telephone satisfaction surveys to recipient households to ensure that local programs are effective and customer friendly.
- OCS will reserve the right to reduce or add HWAP recipient funding and/or add providers to ensure that HWAP dollars received by the state of Ohio are effectively expended within the time frame as required by the U.S. Department of Energy.
- HWAP training must target, to the greatest extent possible, Ohio Works First and/or food stamp recipients to ensure that job training is available to and jobs are provided for Ohio's most vulnerable population. Job openings in HWAP must be posted with local One-Stops to ensure that vulnerable populations will have access and opportunity for training and employment. In addition, job postings must be listed on the Ohio Means Jobs web site at [www.ohiomeansjobs.com](http://www.ohiomeansjobs.com).
- HWAP recipients must provide OCS with an implementation plan for training and hiring minority and

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**WEATHERIZATION ANNUAL FILE WORKSHEET (continued)**

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 disadvantaged workers.

- HWAP recipients must demonstrate, when contractors are being hired, that disadvantaged business enterprises are offered opportunities to bid on and receive contracted weatherization work.
- HWAP recipients must exercise a buy local preference to ensure that weatherization materials utilized for the program are produced in Ohio to the greatest extent that cost considerations and product availability will allow.
- HWAP recipients should explore incorporating green technologies into weatherization activities such as Leadership in Energy and Environmental Design (LEED) and/or other innovative approaches including renewable technologies.
- To the greatest extent practicable HWAP recipients are encouraged to leverage weatherization activities with other housing rehabilitation and/or neighborhood revitalization efforts such as the Neighborhood Stabilization Program (NSP).
- HWAP recipients are encouraged to weatherize existing affordable rental housing especially rental housing that has rent subsidies, such as Section 8 or Rural Development rental assistance or an existing Ohio Housing Credit property.
- In all matters, OCS will endeavor to preserve and enhance the long-term weatherization program capacity in Ohio.

**II.11 Miscellaneous****PREVAILING WAGE REQUIREMENTS**

The State of Ohio acknowledges that for Recovery Act programs or activities that may involve construction, alteration, maintenance, or repair, Section 1606 of the Recovery Act requires that all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the Recovery Act shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code, and that the Department of Energy will include in its award agreement for the standard Davis-Bacon contract clauses found in 29 CFR 5.5(a) to be incorporated in any resultant covered contracts that are in excess of \$2,000 for construction, alteration or repair (including painting and decorating). The State of Ohio further understands pursuant to the Interim Final Guidance issued by the Office of Management and Budget on April 23, 2009, 74 Fed. Reg. 18449, 18,643, that additional guidance on the wage rate requirements of Section 1606 of the Recovery Act will be provided by the Department of Energy for the Home Weatherization Assistance Program.

**RENEWABLE ENERGY SYSTEMS**

As described in Weatherization Program Notice 08-1 and 07-1, the Energy Policy Act of 2005 (EPACT 2005) amends the Energy Conservation and Production Act to allow the WAP to provide assistance for renewable energy systems. The funding for this assistance is not in addition to the DOE specified average unit cost, but is an incremental increase (currently \$178) above the DOE specified average unit cost. Due to the small incremental increase above the DOE specified average unit cost, Ohio will not be implementing the renewable energy systems assistance in the WAP program.



Department of  
Development  
Office of Community Services

# Master File

**U.S. Department of Energy**  
**STATE PLAN/MASTER FILE WORKSHEET**  
**Grant Number: EE00099, State: OH, Program Year: 2009**

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

**III.1 Eligible Population**

**III.1.1 General Description**

**Definition of income used to determine eligibility:**

All dwelling units to be weatherized shall be determined eligible in such a manner to insure that each weatherized unit is the dwelling unit of a family unit:

A. That is eligible for the Home Energy Assistance Program (HEAP), the Percentage of Income Payment Plan (PIPP), or contains a member who has received cash assistance payments under Title IV (TANF). The State of Ohio will be using the Energy Assistance Programs Application (a joint application) to integrate the HEAP and the PIPP with the WAP. The WAP will be using the eligibility criteria which allows households at or below 200% of the federal poverty level to qualify for services; or

B. Which contains a member who has received cash assistance payments under Title XVI (SSI) of the Social Security Act or applicable State or Local law during the 12-month period preceding the determination of eligibility for weatherization assistance.

**Procedures to determine that units weatherized have eligibility documentation:**

All income eligibility shall be documented by the Providers and/or the Office of Community Services and will be subject to examination by officials of the Ohio Department of Development (ODOD), DOE, HHS and the Comptroller General of the United States or their designated representatives, as well as by an appropriate Inspector General as provided in ARRA.

**Definition of children: Below age**   6  

**Recommend tribal organization(s) be treated as local applicant?**   No  

**If YES, Recommendation: If NO, statement that assistance to low-income tribe members and other low-income persons is equal:**

Eligible applicants are served without regard for race, color, national origin, sex, or religion. Low-income members of an Indian tribe will receive benefits equivalent to the assistance provided to other low-income persons within the state.

**III.1.2 Selection of Areas to Be Served**

All 88 counties will be served in the State of Ohio.

**III.1.3 Priorities**

Providers shall use an application prioritization system which, to the maximum extent practical, prioritizes weatherization assistance to program eligible persons who are elderly, disabled, a high residential energy user, or resides in a household with a high energy burden. As may be seen in section III.3.2 (Energy Audit Procedures), Ohio has adopted the re-weatherization date of September 30, 1994. However, priority will remain to serve dwelling units that have not received prior weatherization services.

**III.2 Climatic Conditions**

Ohio's climate indicates that its housing stock requires weatherization. The climate of Ohio is classified as humid-continental warm summer type according to the most widely used system of climate classification in the United States (Koppen climate classification Dfa). The general characteristics of Ohio's climate are: (1) pronounced seasonal shifts of temperature; (2) alternation of high and low-pressure air masses that produce irregularly-spaced changes of weather; (3) a winter season which is dominated by polar continental air masses that produce dry, cold weather, but which is broken intermittently by brief interjections of tropical maritime air bringing wet warmer weather; (4) a summer season dominated alternately by tropical

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maritime and continental tropical air masses producing high temperatures and frequently high humidity; (5) somewhat higher rainfall in the summer half of the year than in the winter; (6) considerable annual range of temperature; (7) small diurnal range of temperature, especially in summer; (8) prevailing winds from the west, northwest, or southwest; (9) moderate cloud cover in summer and a much higher percentage of cloudiness in winter; (10) occasional tornadoes, especially in the early spring. (Source: The Ohio Department of Natural Resources).

Ohio Providers use the following weather stations when using their computer audits.

Akron, Ohio  
Cincinnati, Ohio  
Cleveland, Ohio  
Columbus, Ohio  
Dayton, Ohio  
Toledo, Ohio  
Youngstown, Ohio  
Fort Wayne, Indiana

**III.3 Weatherization Work**

**III.3.1 Type of Work to Be Done**

**TABLE 1**  
**OHIO BUILDING CLASSIFICATION AND DESCRIPTION**

TYPE A Wood Frame Home with Full Basement and Open Joist Attic  
TYPE B Wood Frame Home with Crawl Space and Open Joist Attic  
TYPE C Wood Frame Home with Combination Crawl Space/Basement and Open Joist Attic  
TYPE D Wood Frame Home with Slab Foundation and Open Joist Attic  
TYPE E Wood Frame Home with Full Basement and Kneewall Attic  
TYPE F Wood Frame Home with Post Foundation and Open Joist Attic  
TYPE G Block, Concrete, or Log Home (Solid Wall) with Slab Foundation and Open Joist Attic  
TYPE H Mobile Home with Post Foundation  
TYPE I Block, Concrete, or Log Home (Solid Wall) with Basement and/or Crawl Space and Open Joist Attic

**TABLE 2**  
**REQUIRED MEASURES LIST FOR 1 - 4 UNIT BUILDINGS**

Uniform Measures [1]  
Uninsulated Ceilings with existing less than an effective R-19, insulate to R-38 [2]  
Uninsulated Walls to R-15  
Uninsulated Floors to R-19 [3] or perimeter insulation to R-11 in crawl spaces, basements [4]

[1] Includes measures presumed cost effective as identified in Ohio's waiver audit approval request:  
-Air Leakage (as determined by required blower door testing)  
-Water Heater Insulation (always installed unless a technical or safety problem exists which is beyond the scope of WAP to correct)  
-Furnace Tune-up (as determined by diagnostic equipment and required inspection procedures)  
-Duct Insulation in non-conditioned areas  
-Duct Sealing  
-Low-flow Showerhead (as determined by inspector and client)

[2] R-value to be installed may vary due to attic configuration and results of NEAT calculations.

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[3] R-value to be installed may vary due to floor and results of NEAT calculations. Floors are only insulated if basement, crawl space, or combination basement/crawl space separates a conditioned space from an unconditioned space. If area is conditioned or unintentionally conditioned, this priority is not applicable.

[4] Perimeters are insulated in conditioned basements, crawl space, or combinations if:  
A. Inhabitant activity suggests the insulation will remain in place undamaged;  
B. Moisture can be controlled.

[5] Electrical Baseload measures that are determined to be cost-effective based upon the results of a computerized audit or by using section 1506-6 of the Weatherization Program Standards.

[6] Incidental energy - related repairs that do not exceed \$600.00.

[7] Energy - related Health and Safety measures as described within Section III.4 of this plan.

**OPTIONAL MEASURES LIST FOR 1 - 4 UNIT BUILDINGS**

Partially Insulated Attics with existing insulation equal to or greater than an effective R-19  
Storm Windows over single pane windows  
Thermal Vent Damper  
Electric Vent Damper  
Intermittent Ignition Device (IID)  
Electric Vent Damper plus IID  
Flame Retention Burner  
Replacement Heating System (for efficiency improvements)  
High Efficiency Furnace (for efficiency improvements)

Optional measures are measures that are to be selected by NEAT, but cannot be installed unless achieving a SIR of 1 or greater, as described in Ohio's waiver audit approval request.

**TABLE 3**  
**REQUIRED MEASURES LIST FOR MANUFACTURED UNITS (Mobile Homes)**

Shell Measures (Based upon DOE's approval of Ohio's priority list from MHEA)

Type- Bowstring Roof with Longitudinal Floor Joists

Natural Gas Heating Fuel

Add more insulation if:

>the existing ceiling insulation is less than an effective R-9  
>the existing wall insulation is less than an effective R-5  
>the existing floor insulation is less than an effective R-5

All Other Heating Fuel Types

Add more insulation if:

>the existing ceiling insulation is less than an effective R-11  
>the existing wall insulation is less than an effective R-5  
>the existing floor insulation is less than an effective R-7

Type- Factory-Built Pitched Roof with Transverse Floor Joists and 2" x 6" walls

Natural Gas Heating Fuel

Add more insulation if:

>the existing ceiling insulation is less than an effective R-19  
>the existing wall insulation is less than an effective R-16  
>the existing floor insulation is less than an effective R-11

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All Other Heating Fuel Types

Add more insulation if:

- >the existing ceiling insulation is less than an effective R-19
- >the existing wall insulation is less than an effective R-16
- >the existing floor insulation is less than an effective R-16

A MHEA audit must be run for structures outside of these construction details.

The following are mandatory on all units:

- Air Leakage (as determined by required blower door testing)
- Water Heater and hot water pipe insulation (always installed unless a technical or safety problem exists which is beyond the scope of WAP to correct)
- Furnace Tune-Up (as determined by diagnostic equipment and required inspection procedures)
- Duct Sealing (as determined by visual inspection and duct testing procedures as outlined in the Weatherization Program Standards)
- Low flow Showerhead (as determined by inspector and client)
- Electrical Baseload (as determined by metering of appliances or audit-gathered data on usage using section 1506-6 of the Weatherization Program Standards)

Incidental energy - related repairs that do not exceed \$600.00, including labor and materials.

Energy - related Health and Safety measures as described within Section III.4 of this plan.

**TABLE 4**  
**PRIORITY LIST FOR INDIVIDUALLY-HEATED MULTI-FAMILY BUILDINGS WITH 5 OR MORE UNITS, BUT WITH 3 OR LESS STORIES ABOVE GRADE (LOW RISE).**

Subject to Priority Rating by Housing Type applicable to 1-4 unit buildings

Building Classification Types	A	B	C	D	E	F	G	I
Uniform Measures	3	4	3	3	3	3	2	3
Uninsulated Ceilings with existing insulation less than R-19, insulate to R-38	1	1	1	1	1	1	1	1
Uninsulated Walls to R-15	2	2	2	2	4	-	-	-
Uninsulated Floors to R-19 [1]	4	3	4	-	4	2	-	2
Uninsulated Perimeters to R-11 [2]	4	3	4	-	4	2	-	2

[1] Floors are only insulated if basement, crawl space, or combination basement/crawl space separates a conditioned space from an unconditioned space. If area is conditioned or unintentionally conditioned, this priority is not applicable.

[2] Perimeters are insulated in conditioned basements, crawl spaces or combinations if:

- A. Inhabitant activity suggests the insulation will remain in place undamaged;
- B. Moisture can be controlled.

Other Measures

Electrical Baseload measures that are determined to be cost-effective based upon the results of a computerized audit or using section 1506-6 of the Weatherization Program Standards.

Incidental energy - related repairs that do not exceed \$600 including labor and materials.

Energy - related Health and Safety measures as described within Section III.4 of this plan. However, an investment on the part of the building owner is required.

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**TABLE 5**  
**CENTRALLY HEATED MULTI-FAMILY BUILDINGS**

Centrally heated multi-family buildings with 5 or more units or buildings with 4 stories or more (High Rise), will be treated based on EA-QUIP audit results and will still require the Office of Community Service's prior written authorization.

Typical Measures:

- >Tune up and repair of the central heating system, distribution system
- >Tune up and repair of the central domestic hot water system
- >Attic insulation
- >Wall insulation
- >Basement/Crawlspace insulation
- >Air sealing
- >Electric Baseload

**III.3.2 Energy Audit Procedures**

Ohio has adopted the re-weatherization date of September 30, 1994. The priority will remain to serve dwelling units that have not received prior services. All dwelling units completed prior to September 30, 1994, must have a DOE energy audit (such as NEAT) performed to cost justify measures being installed.

**ADVANCED ENERGY AUDIT PROCEDURES**

Ohio uses the National Energy Audit Tool (NEAT) energy audit (or other DOE approved audits) to assess buildings that fall outside of the typical housing types defined above. The audit must be used when existing insulation at or above R-19 is found in the attic, repair costs needed to install a measure will be added to the installation cost of that measure, optional measures are to be installed, or mechanical systems will need to be replaced for efficiency reasons. This audit may also be employed when electrical Baseload measures (i.e... lighting or refrigerator appliance replacements) are being considered.

For manufactured units (mobile homes) and centrally heated multi-unit (more than 4 unit) buildings, (neither of which comprise more than one third of the units completed in Ohio) the following approaches shall be used:

1. Manufactured units. Work shall be done according to the required measures list. See TABLE 3 (page 3 of 21) for the measures list for manufactured units. The allowable measures (wall and attic insulation) can be installed if a Project Retro-tech, MHEA (or other approved DOE audit) indicates a benefit-cost ratio of six or greater or a savings-to-investment ratio of one or greater. The appropriate air leakage work will be determined based on the use of a blower door. With DOE's release of the approved audit for manufactured housing units (MHEA); ODOD will allow its use on a limited basis to check for allowable measures. Training has begun on the MHEA audit tool within the state.

2. All high-rise (four stories or higher) or centrally-heated multifamily buildings with five or more units will be individually audited using EA-QUIP or another approved audit. Providers can hire an outside engineering firm to perform an audit on this type of building. Any audit performed by an outside engineering firm must evaluate the interactive effects of the various energy efficiency measures, as per the WPS section 905. All work on this type of building must receive prior Office of Community Services written approval.

3. Individually heated multi-family units in buildings with 5 or more units, but with 3 or less stories above grade, will be subject to the required measures list applicable to 1 - 4 unit buildings (TABLE 2 see page 2 of 21). This information is listed in Table 4. In all cases, the ODOD reserves the right to limit expenditures per unit or to limit specific retrofits if ODOD determines that a local provider is not appropriately approaching the work being performed on units.

**BASIC ENERGY AUDIT PROCEDURES**

**CONDUCTION**

In 1980, Ohio identified a set of nine standard dwelling types categorized on details of attic, wall, and foundation construction. See TABLE 1 (see page 2 of 21) for Ohio's Basic Housing Types. Ohio's waiver request was based on standard measures lists for 1 - 4 unit buildings which meet one of the 8 standard dwelling types for site-built homes (the ninth

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type is a manufactured unit to which the National Energy Audit Tool [NEAT] does not apply). Required conduction retrofits are based on a Savings-to-Investment Ratio (SIR) of 1 or greater based on the NEAT measures selection process. The list of required measures includes Uniform Measures (based on a list of DOE approved presumptively cost-effective measures, and the use of diagnostic equipment) and attic, wall, and floor or perimeter insulation. See TABLE 2 (see page 2 of 21) for the list of required measures for 1 - 4 unit buildings. Other measures may still be installed if NEAT calculations indicate a SIR of 1 or greater.

The net result of the required measures list is that units receive all possible conductive envelope measures. Our past research (DOE's most recent waiver approval dated September 28, 2006) has shown that for our climate, average job costs, and average fuel costs, it would be highly unlikely that an audit would prove any part of the envelope insulation not to be highly cost-effective. This approach of doing all envelope measures is also strongly supported by previous evaluations. Results of fuel savings studies performed by Quantec LLC for units completed in PY'03, by Proctor Engineering Group on units completed in PY'94, and a study by Cleveland State University (CSU) on PY'88 units shows continued energy savings in completed homes where weatherization activities occurred and continues to support the development of this approach.

It is unlikely that an individual audit of a unit would alter this approach to envelope retrofits except in very rare instances. The time and resource savings due to the required measures approach, as well as the opportunity it provides to concentrate training on these known measures, are considered important elements of our overall program design. It should also be noted that an individual audit - which is, after all, only an estimate of potential savings - may not in the long run prove any better at predicting savings for "marginal" retrofits (i.e. those close to NEAT's cutoff SIR of 1) than using a required measures list and continuing to incorporate consumption study results into program design.

#### CONVECTION

The NEAT can only predict the savings based on stemming losses due to direct or indirect air movement in a structure based on estimated costs and CFM50 reductions. This weakness is generally shared by most residential audits. Those that attempt to assign a value to this area based on visual inspection are, at best, suspect. With the advent of blower door technology, however, Ohio's approach in this area finally solidified. Since PY'88 we have encouraged blower door use in various ways, but in PY'96 the revised Weatherization Program Standards (WPS) fully incorporated the use of blower doors as the primary tool for diagnosing air leakage problems and prescribing effective types and levels of air leakage work. Ohio's inspection procedures and blower door protocol are as rigorous as any we have examined, and are designed to quickly and effectively arrive at unit-specific solutions to problems involving leakage, bypass, air quality, moisture, and pressure balancing. The WPS also deal extensively with the prioritization of individual air leakage measures in order of cost-effectiveness. A set of guidelines were developed to aid in determining cost effective air sealing. The guidelines are based on Degree Days, fuel type and cost, seasonal efficiency and the Lawrence Berkeley Labs climate correction factors. The guidelines are based on a five year payback, with a 10 year life of measure used by NEAT. This conservative approach will assure that jobs completed using the guidelines will always pass the NEAT audit, which can only predict savings post-retrofit.

Also, Ohio's program has been tracking and actively assesses the quality of work being done in addressing air leakage reductions. The Ohio Variables End Results Air Leakage Level Scale (OVERALLS) was developed in the late 1980's and in conjunction with the Building Tightness Limits (BTLs), these diagnostic tests have been used to assist local providers' staff with addressing and targeting air leakage within individual dwelling units.

#### HEATING APPLIANCES

Our general approach in this area is to ensure that all heating units are safe, operate at a combustion efficiency reasonably close to design specifications, and properly deliver heat as required. All units, where applicable, receive an electronic combustion efficiency test to determine that oxygen, carbon monoxide, stack temperature, and smoke are within acceptable tolerances. Correction is required where this is not the case. The distribution system - often the part of a heating unit with the greatest savings potential - is addressed as necessary by sealing ducts, insulating ducts (in unheated areas) and adjusting anticipator and limit settings, among other procedures. The WPS inspection standards for heating system safety and efficiency are necessarily much more comprehensive than can be conveyed here. Heating appliances which pose an occupant health and safety hazard may be replaced as described under the health and safety section of this plan.

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CONSUMER EDUCATION

Studies have shown that consumer education is a valuable adjunct to the weatherization work described above, both by creating additional initial savings and by extending the persistence of savings achieved by other measures.

Ohio's consumer education program has proven to be an effective way of maximizing the impact of the energy efficiency measures installed by the WAP by providing information concerning energy efficiency practices to WAP recipients.

WAP providers are required to provide comprehensive consumer education to each eligible occupied unit. The following describes the consumer education approach.

- Providers are required to provide energy education counseling to all WAP recipients/partners and complete a home energy checklist. The purpose of the checklist is to obtain information about the WAP recipient's energy use practices so that the energy education can focus on the recipient's needs and situation.

- Providers are also required to complete an energy savers partnership plan for all WAP recipients. The purpose of the energy savers partnership plan is to identify the specific energy efficiency actions that WAP is responsible for completing and those actions that the WAP recipient is responsible for implementing. The recipient's actions will be formulated with input from the consumer and individualized to his/her needs and situation. This partnership plan must be completed at the consumer's home.

- Providers are required to install a Plate Pal into all homes that receive an initial inspection. The Plate Pal is a single pole light switch that shows the temperature and the humidity levels within the room. This allows the consumer to identify situations where there may be high or low humidity levels. As part of the education process, the auditors instruct and leave information with the consumer on ways to adjust the humidity levels and what the optimum range of temperature and humidity should be to feel comfortable.

- Providers are required to provide appropriate energy efficiency written materials. The "Do-Your-Part" brochure was developed to visually mesh the WAP work with the actions that the consumer can implement.

- Providers are required to complete a follow-up contact on a minimum of 25% of completed units, three to twelve months after the initial home visit to reinforce the actions agreed upon in the partnership plan. Follow-up visits will be targeted to households with a high potential for consumption reductions based on the initial consumer education visit.

The Office of Community Services will focus its consumer education efforts on ways to improve the impact of the partnership plan on non-heating utility costs, on ways to improve the follow-up contact process, and on updating the written materials.

Finally, Ohio's hybrid approach allows for continued improvement and modification based on evaluation study results and changes in the state of the art. As described above, the protocol approach to conduction, convection, heating appliances, and consumer education has all the advantages of an audit in terms of output for the vast majority of units weatherized in Ohio. We intend to continue to strengthen this approach through a better focus on training and the incorporation of recommended results from future and previous evaluation studies.

<u>Unit Types</u>	<u>Audit Procedures and Dates Most Recently Approved by DOE</u>
Single-family	NEAT based priority list (or other DOE approved audits) with exceptions. Date of DOE approval 09/28/06 for NEAT audit waiver.
Multi-family	EA-QUIP or other DOE approved audit for buildings that are centrally heated with 5 units or more, or are 4 or more stories above grade. Priority list or other DOE approved audits for individually heated buildings which are 3 story or less.
Mobile Home	Manufactured Home Energy Audit (MHEA) or other DOE approved audit. *** Based upon approval, Ohio will use a priority list that was developed using the latest MHEA software. Exceptions to the standard mobile home types will require the use of MHEA.

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#### III.3.3 Final Inspection

As specified in 10 CFR 440.16(g), no dwelling unit will be reported to ODOD as completed until the Subgrantee, or its authorized representative, has performed a final inspection and certified that applicable work has been completed in compliance with the **Weatherization Program Standards** (WPS) and in accordance with the priorities as determined by the **Building Classification** Housing type priority list or **as determined by** a DOE approved energy audit.

#### III.3.4 Assessment of Effectiveness

Ohio has a history of large-scale evaluations of the effectiveness of the WAP. The last evaluation done of the PY'03 program indicated the net savings achieved by the weatherization program is on average, 21% of the pre-consumption. This is a little lower than the PY'94 evaluation indicated, but it is believed that this is attributable to actions made by non-participants of the program due to increasing fuel costs (in other words, non-participants were taking actions to reduce usage on their own). The participants of the weatherization program showed savings of 25.3% compared to their pre-consumption for gas used in space heating. This is a dramatic increase over the results of the PY'88 program evaluation when an average savings of 19% for gas used in space heating was attained. Since the households that heat with gas are the greatest majority (85%) of units in Ohio, this average savings has widespread economic benefits. The full evaluation of the PY'03 program encompassed the impact of the program, the process of administering the program, along with the training activities that are obtainable by WAP providers through the state training center and at national and regional training conferences (DOE National, Midwest Regional, Affordable Comfort). Many recommendations were made by Quantec LLC (for the Office of Community Services, for the OWTC, and for Local Providers) as a result of this full evaluation, some of which are listed below. The Ohio program has already begun taking steps to address these recommendations and will continue to take steps to improve the delivery of the weatherization program.

##### IMPACT Evaluation

- >Obtain applicant's energy usage histories and base the installation of measures on this pre-consumption information
- >Implement tools to track jobs completed with funding from leveraged sources (i.e., utility weatherization)
- >Improve tracking of labor costs with regard to specific retrofits on completed units

##### PROCESS Evaluation

- >Improve communications between the Office of Community Services, the local providers, utilities, the training center and enhance the communication role of the Policy Advisory Committee
- >Streamline the Weatherization Program Standards (WPS) and utilize the Field Guide more frequently
- >Update and revise the Policy and Procedures Manual and move towards a searchable, electronic version
- >Explore opportunities for joint funding of weatherization training
- >Review customer education "best practices" for the Ohio program and emphasize client follow-up

##### TRAINING Evaluation

- >Conduct a comprehensive needs assessment of the knowledge and skills needed for specific weatherization duties
- >Develop a standard metric to measure and track training efficiency
- >Improvement in tracking and analysis of student records, evaluations, and other information
- >Update the training curricula more frequently
- >Give training and continuing education the importance it deserves
- >Development of individual learning plans should assist students in tracking and achieving continuing education goals
- >Determination of the education needed by contractors working within the program

Ohio's technically innovative approach to weatherization has not only reduced the energy consumption (along with the corresponding utility bills) of our customers, but has had an effect on improving consumer payment behavior (frequency, payment amounts) and their health and safety within their homes. Also, Ohio has seen positive impacts upon the environment and the State's overall economy.

#### III.4 Health and Safety

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In accordance with the Final Rule and Weatherization Program Notice 02-5 and 02-6, the Office of Community Services shall adopt the following approach to implementing health & safety measures. Local providers shall comply with all applicable State and Local building codes and regulations.

**A. Crew and Contractor Health & Safety**

Providers shall comply with Occupational Health & Safety Administration (OSHA) requirements for all weatherization activities which involve staff personnel. This includes the requirement that staff personnel working on the homes (crews and inspectors) will utilize the appropriate personal safety equipment when necessary and receive training on the use / location of material safety data sheets (MSDS), first aid equipment, fire extinguishers, and other safety equipment. Related costs to train personnel in order to comply with OSHA requirements shall be charged to the Administration or the Training and Technical Assistance budget category. Related costs to purchase equipment in order to comply with OSHA requirements shall be charged to the Administration or Support budget category.

When contractors are employed by providers, those contractors are expected to comply with OSHA requirements as well. Costs related to OSHA compliance for HVAC, weatherization, or other contractors hired to address health and safety issues shall be part of the bid price or job cost.

Auditors must be aware of the structural condition of the dwellings being worked on. The rehabilitation of dwellings is beyond the scope of the weatherization assistance program. If it is determined that the dwelling unit is not safe for the crews/contractors and the occupants and planned weatherization activities must be postponed, a referral must be made to a local rehabilitation program.

Auditors shall also identify of potential fire hazards within the dwellings. This is in conjunction with the combustion appliance clearance issues as described later in this section. If possible, the auditor should address any potential fire hazards within the scope of the weatherization program. If a potential hazard can not be properly addressed, the agency should notify the customer and by virtue of its advocacy role should make an effort to secure other resources to address the hazard.

**B. Client Health & Safety**

The Office of Community Services has developed and implemented the Weatherization Program Standards (WPS) to outline the uniform technical weatherization procedures and policies that follow. The WPS was designed to be included in Ohio's HWAP Policy and Procedures Manual, Volume II, Chapter E, Quality Control, however, due to the size of the document, has become a stand-alone document. The WPS contains sections which detail inspection and diagnostic protocols, along with corrective actions and policies regarding several areas of concern for client health and safety, including: combustion appliances, fire hazards in regards to venting of combustion gases, general heating system safety, air ventilation rates, moisture control, electrical hazards, adherence to local and state codes, and work site safety.

The local provider's initial inspection staff should discuss with the customer, the activities that will be occurring within and to the home when the weatherization work begins, and how that work may impact the living space (for example: dust from blowing cellulose, dispersion of dust from ductwork after a new furnace has been installed, etc.). Local provider staff should make every effort possible (including altering work) to perform the weatherization work in a manner that will not aggravate existing health conditions.

Weatherization measures that could potentially affect the health and safety of clients or crew members shall be undertaken only after steps are taken to minimize or eliminate risks associated with the retrofit. Those risks include absorption, inhalation or ingestion of hazardous materials. Source control shall be the first approach.

**C. Policy Regarding Allowable Types of Health & Safety Abatement Costs and Activities**

The types of allowable health and safety costs and activities that are necessary to abate health and safety hazards before, or

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because of, the installation of weatherization materials shall include:

- The cost to eliminate the presence of hazardous levels of combustion by-products in the living space from a home heating or a water heating appliance that cannot otherwise be eliminated through routine tune-up or repairs.
- The cost to repair a non-operational or replace a non-repairable home heating or water heating appliance.
- The cost to provide a home heating or water heating appliance where one is nonexistent.
- The cost to repair a gas cookstove to eliminate or reduce the production of carbon monoxide (CO). The maximum allowable carbon monoxide level (in ppm) is defined in the State of Ohio's Weatherization Program Standards Section 201.
- All unvented, fuel-fired primary heating units, unvented fuel-fired water heaters, or unvented gas clothes dryers present in a dwelling which cannot be vented, must be removed and replaced with properly-vented units before proceeding with any weatherization work. Where an unvented, secondary heating unit is present, the local provider must notify the client/owner/authorized agent verbally and in writing of the potential health hazards of operating an unvented appliance in the post-weatherized dwelling and provide information on safe alternatives. The local provider shall install a carbon monoxide detector in this situation.
- The cost to correct the presence of electrical system hazards, such as inadequately sized service, improperly grounded service, hazardously located service, inadequately sized or insufficient number of circuits, circuits in poor condition (e.g. live bare wires, etc.), and wiring inappropriate to its location. A licensed electrical contractor (if required) shall be used to perform any electrical work needed to correct the hazard.
- The installation of exhaust fans, ducting, controls, and passive air intakes that are designed to remove moisture and/or introduce fresh air to assure a safe and healthy level of air exchange.
- The installation of smoke alarms or carbon monoxide detectors under allowable DOE guidelines.
- All provider staff performing inspections of homes shall observe clearance issues with regard to combustion equipment (i.e., venting, chimneys, combustion appliances) based upon the applicable National Fuel Gas Code handbook. For further information, please refer to the State of Ohio's Weatherization Program Standards Section 201.
- Minor repairs to sewage lines that will allow weatherization to take place.

The Office of Community Services' policy regarding the costs and activities to abate other hazards identified in the Weatherization Program Standards is as follows:

°Asbestos. The cost of generally removing and/or abating asbestos is prohibited. Where providers work on large heating and distribution systems, including related piping, the cost of asbestos removal or other less costly approaches such as encapsulation is allowed to the extent that documented energy savings resulting from the measure (to include the cost of the work plus the cost for the removal or encapsulation) will demonstrate a cost-effective savings-to-investment ratio. However, in all cases, compliance with all codes and EPA regulations is required. The cost of permanently removing asbestos-containing siding materials remains prohibited, however, it is allowable to remove and re-install such type of siding material to insulate the sidewalls of eligible units.

° Biologicals. The cost of removal or mitigation of odors, viruses, bacteria, unsanitary conditions and rotting wood is allowable to the extent that removal or mitigation is necessary to allow effective weatherization work and/or to assure the immediate or future health of workers and clients. A more in depth discussion of mold and mildew is located later in this section. Whole house extermination will not be allowable.

°Formaldehyde and volatile organic compounds (VOCs). The cost of correcting existing indoor air quality problems due to these chemicals is prohibited. However, care should be taken (by the inspector, the crew or the contractors) to not exacerbate a known existing condition.

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°Existing occupant health problems. The cost of treating an existing occupant health problem is prohibited. However, care should be taken to assess if such health problems exist and, consequently, to avoid weatherization work/materials that will exacerbate the problem. As mentioned previously, a discussion between local provider staff and the customer on work methods should take place. Alternative work protocols should be implemented, if necessary, to avoid aggravating any existing health condition. If it is necessary for the customer to leave the home during the work process, the customer should contact a neighbor / friend / relative to stay at the home while the work is being performed.

\*Refrigerants. When replacement refrigeration appliances are being installed, the old inefficient appliances (refrigerators, freezers, and A/C units) shall be removed and be properly destroyed. Contractors will properly dispose of these existing appliances and provide documentation of disposal. Appliances shall be recycled in accordance with the environmental standards in the Clean Air Act (1990), Section 608, as amended by the Final Rule, 40 CFR 82, May 14, 1993. Local provider staff, Appliance vendor, Demanufacturing facility, or other entity that is used to recover the refrigerant from the old appliances must possess an EPA-approved section 608 Type I license or an approved universal certification.

°Lead paint. The cost of lead paint abatement is prohibited. However, the cost to test building materials for the presence of lead paint and the cost of precautions needed to prevent causing a lead paint contamination problem while installing weatherization materials is allowable. Lead-based paint (LBP) was used on the majority of houses built before 1978. It is probable that LBP is present on houses weatherized by the HWAP that were built before 1978. If lead-based paint may be disturbed (cut, scraped, sawn, drilled, etc.) during the weatherization work, that work shall be done in a "lead-safe" manner. Ohio will transition from the Department of Energy approach to the new approach that has been defined by the Environmental Protection Agency under their EPA Lead Renovation, Repair, and Painting Rule.

All providers are required to provide a copy of "Renovate Right: Important Lead Hazard Information for Families, Child Care Providers and Schools" prior to the start of work. This brochure will be given to an adult resident of each pre-1978 residential building to be weatherized and a written acknowledgement that the adult resident has received the brochure, or certify in writing that a brochure had been delivered to an adult resident and the provider has been unsuccessful in obtaining a written acknowledgement, as directed in the publication. Confirmation of receipt of this brochure by the client will be maintained in the client file.

Ohio will develop training that uses the Montana State University Lead Safe Weatherization curriculum as the minimum requirement. All field staff will be required to complete this training, which will include a hands-on component. New staff will be required to attend the training within 180 days of their start of employment in the weatherization program. As part of this training, field staff will be instructed on the proper disposal of all construction waste.

Ohio's Deferral Policy (described later in section D) will be used in instances where the homeowner or landlord has notified the Subgrantee of lead paint issues existing or where lead poisoning has occurred to a member of the household. This policy requires referral to other programs designed to address the concerns.

\* Mold and Moisture. The cost of mold and mildew abatement is prohibited. All providers are required to complete a Home Weatherization Assistance Program Mold Assessment and Release Form after the energy audit and prior to the work being started if mold or mildew is found within the consumer's home. It is expected that local agency staff document with photos the existing mold and mildew problem. The local providers should (if possible) refer the home to another program designed to address the concern.

Ohio's deferral policy (section D) will be used in instances where the remediation of the problem is beyond the scope of the weatherization program.

Ohio has developed a mold and mildew awareness / safe work practice training based upon the existing EPA course, the Healthy House trainings, and the curriculum developed by Montana State University. During Program Year 2007, the training was expanded to include other pollutants (including lead and vermiculite) and was entitled Pollution Safe Weatherization. All field staff have completed this training (or an equivalent training session). New staff must complete this training within 180 days of their start of employment in the weatherization program.

°Radon. The cost of generally abating radon is prohibited. However, the cost to test a building for the presence of radon gas is allowable if the potential for its presence is believed to be high. Some weatherization measures that help abate

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and/or mitigate the presence of radon (such as installing ground/vapor barrier) are, of course, allowable as weatherization measures. Other measures (such as the installation of exhaust fans to depressurize a crawl space area with reference to the living area) to mitigate an existing radon problem is not allowable.

\* Vermiculite. Based upon concerns over the possible presence of vermiculite insulation in homes, the Office of Community Services distributed a memo in April, 2006 outlining protocols if this type of insulation is found in homes. (This protocol was not completed prior to finalization of the most recent changes to the WPS, but will be included in the 11th edition.) The protocols include, but are not limited to the following:

- Limit exposure
- Document the location
- Ensure that dust can not be blown into the living area
  - = no sidewall insulation due to pressurizing the cavities
  - = seal off attic hatch and enter from the outside
  - = Perform blower door pressurization test
- Follow all health and safety instructions from inspector
- Wear adequate Personal Protective Equipment

During Program Year 2007, trainings on Pollution Safe Work Practices began to be offered. This included trainings on working with different pollutants that may be found within the home (lead, vermiculite, mold, and mildew) and is a comprehensive approach to dealing with hazards found in the home by weatherization workers.

**D. Deferral Policy**

If the local providers' staff determine that conditions exist which make safe, effective and meaningful weatherization services impossible to perform, the local provider may deny services to the household until such time that the conditions are remedied. The following steps must be followed:

- Make a written determination of exactly what repairs or changes must be made to allow weatherization to continue.
- Provide the customer with the list of repairs or changes along with copies of the local provider's Denial of Services Form and Appeals Procedure.
- Ensure that the customer is aware that when the repairs or changes are completed, the customer may request that weatherization resume under the original application. Income update procedures could, however, be necessary if the date of the original application and the date of reapplication are separated by more than 1 year.
- By virtue of its advocacy role for low-income persons, the local provider shall make and be able to document a good faith effort to secure other resources on the customer's behalf to complete any repairs.

**E. Health and Safety Materials**

The types of materials that may be charged to the health and safety category in order to address the hazards listed above shall include, but not be limited to the following:

- Home heating appliances for all fuel and heat distribution types.
- Water heating appliances for all fuel types.
- Materials necessary for increasing, upgrading, grounding, or replacing residential electrical wiring circuits or systems.
- Materials necessary to identify, correct or mitigate other hazards (i.e. asbestos, biologicals, formaldehyde, volatile organic chemicals (VOCs), existing occupant health, lead paint) as mentioned previously with listed restrictions.

°Exhaust fans, passive air intakes and associated hardware for moisture removal and/or to introduce fresh air.

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°Smoke detectors and Carbon Monoxide detectors.

°Piping needed to repair waste disposal lines.

Material standards and installation specifications for these materials are included in the Weatherization Program Standards.

**F. Allowable Costs**

Health and safety funds are used to address conditions hazardous to a client's health and safety that exist before (and therefore is preventing weatherization work to be done) or as a result of, the installation of weatherization materials. These measures shall not be included in the calculations determining the DOE maximum average cost per dwelling. Health and Safety costs shall only consist of the cost of materials and the cost of the crew member / contractor to install those materials.

All staff working on homes of customers must receive training on health and safety issues that may affect them or the inhabitants of the dwelling unit while in the home. This training may be from courses taught at the Ohio Weatherization Training Center, from in-house personnel, from Ohio Office of Community Services monitoring staff, or from other recognized training providers. Training costs for health and safety issues can be charged to either the Administrative or Training and Technical Assistance budget category. Costs to equip staff with necessary test equipment to determine health and safety issues, can be charged to either Administrative or Support. Please refer to the State of Ohio's Weatherization Program Standards Section 114 for additional information regarding compliance to OSHA Requirements.

**G. Reporting Requirements**

As indicated above and consistent with Weatherization Program Notice 93-13, the Office of Community Services intends no artificial split between weatherization work and health and safety work carried out by the same crew member staff or contractors. The Office of Community Services will report separately to DOE the expenditures for health and safety materials and labor performed by provider staff or contractors, not otherwise installing and performing weatherization measures.

When grantees are replacing inefficient refrigerators with new energy efficient models, vendors will properly dispose of existing (removed) appliances and provide documentation of disposal to the local grantee. Appliances shall be recycled in accordance to the environmental standards in the Clean Air Act (1990), Section 608, as amended by Final Rule, 40 CFR 82, May 14, 1993.

**III.5 Rental Procedures**

As per 10 CFR 440.22(b)(3), 440.22(c), 440.22(d), and 440.22(e), Ohio's subgrantees are required to establish procedures ensuring that:

- 1) the benefits of weatherization accrue primarily to the low-income tenant,
- 2) low-income tenants will not be subject to rent increases unless those increases are demonstrably unrelated to the weatherization,
- 3) no undue or excessive enhancement occurs to the value of the dwelling,
- 4) the federal investment is secured so that the issues of eviction and the sale of property are addressed,
- 5) owners of multi-family buildings financially participate in the assistance, and
- 6) alternative dispute resolution procedures (including arbitration) **are** part of the process for enforcing complaints regarding rent increases.

These are accomplished through the HWAP Policy and Procedures Manual, Volume II, Chapter C. 4, Renters and Landlords, in particular the narrative section (#5) that discusses the OWNER/AUTHORIZED AGENT/TENANT/AGENCY AGREEMENT (OTAA) along with the form specific for the Owner/Authorized Agent/Tenant/Agency Agreement (OTAA). ODOD provides local agencies with the OTAA adapted from agreements developed by other states and the National Consumer Law Center, **but should be reviewed by local provider legal representatives**. The OTAA contains required clauses addressing limitations on rent increases, assuring benefits to tenants whose heat is included in their rent, eviction and sale of premises, and clauses offering local agencies options for further addressing rent increases and enforcing the agreement. ODOD also provides local agencies with a standard procedure to follow for resolving tenant/landlord rent increase disputes. ODOD will not require liens on property as a means of securing the Federal investment.

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As specified in 10 CFR 440.22(f), Subgrantees have the option to weatherize shelters in accordance with the final rule.

**III.6 Program Management**

**III.6.1 Overview**

The Weatherization Program will be administered by the Ohio Department of Development, Community Development Division, Office of Community Services, who will be considered the Grantee. The Office of Community Services' HWAP Manager and staff oversee the weatherization program and an accompanying program targeted specifically for electric Baseload for the four (4) Investor Owned Utilities (IOU) within Ohio. This program is entitled the Electric Partnership Program (EPP). The office also administers the Low Income Home Energy Assistance Program (LIHEAP) and the Community Services Block Grant (CSBG) programs.

The ODOD will have direct contracts with at least thirty-five different subgrantees to implement the WAP. These subgrantees will ensure that WAP services are available in all 88 of Ohio's counties. Most of the subgrantees will directly operate a single WAP program in one geographic area, which may comprise one or more counties. One Subgrantee, the Community Action Partnership of Greater Dayton will directly operate a separate program as well as use a single delegate. Community Action Partnership of Greater Dayton provides WAP services to 6 counties within the state of Ohio. Two other subgrantees, the Corporation for Ohio Appalachian Development (COAD) and the City of Cleveland, will oversee separate local programs using delegate agencies, but will not directly provide weatherization services. COAD is the umbrella organization for 17 community based organizations covering 30 counties within Ohio. The City of Cleveland Department of Neighborhood Services oversees 6 community based organizations that provide weatherization services. The total number of local service providers (subgrantees and delegates) is expected to be fifty-eight.

**III.6.2 Administrative Expenditure Limits**

Subgrantees and delegates with tentative allocations of less than \$350,000 of DOE funds shall be eligible to leverage up to 5% more in administrative funds. These additional administrative funds shall be available to the subgrantees and delegates to be used for administrative purposes. It is the Office of Community Services' current position that any Subgrantee and delegate engaging in WAP activities (with DOE funding less than \$350,000) is in need of these additional funds for general allowable administrative purposes.

The Office of Community Services will also be budgeting \$1,000,000 from the state's portion of the administrative funding, for Phase II development of the OCEAN program. The OCEAN program is a client-centric program that may be used by local providers to track clients, track programmatic expenditures, inventories, in-process and completed units, etc.

**III.6.3 Monitoring Approach**

CDD's Office of Community Services, as the Grantee of the DOE Weatherization Program, has an established monitoring system for evaluating Subgrantee program performance regardless of funding source. Monitoring functions will be the state's principal method for determining Subgrantee compliance, evaluating actual accomplishments against planned activities, and determining the effectiveness of WAP policy. Monitoring provides objective reporting to and from subgrantees and, when appropriate, makes recommendations to address program and administrative deficiencies and needs. The administrative field staff will review fiscal controls, staffing and organization, procurement, and client services. The technical field staff will review property management, inventory, materials quality, and field work. Each Subgrantee will be visited by a technical field representative at least once per program year to review 5% of the completed units. Each Subgrantee will be visited by an administrative field representative at least once every two years to review 10% of the completed units' files. Delegate agencies of subgrantees will be visited and reviewed at least every other year by the State staff, however, the Subgrantee is required to visit the delegate organizations annually and to review the appropriate percentage of completed units. Ohio's monitoring approach will include the following components:

- In house review by field staff of documents and reports related to the organization, operation and performance of local WAP Provider programs. This includes review of annual Grantee/Provider Management Plans (GPMP), reports based on monthly financial and production information, analysis of materials/tools/equipment inventories and required written procedures. Problems noted through this review are communicated to the Providers for their subsequent explanation and/or resolution.

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- On-site monitoring visits by field staff to local WAP Provider programs will primarily focus on:
  - a) reviewing evidence of effective weatherization work and compliance with Ohio's Weatherization Program Standards;
  - b) determining compliance and accountability in the areas of client files, procurement, finance, and materials tracking; and
  - c) following up on the status of previously identified issues. Visits to provide technical assistance designed to help local WAP agencies improve operational efficiency will occur as needed (or as requested).
- Monitoring reviews and on-site visits by subgrantees to their delegate agencies. Subgrantees with delegates are required to make at least one formal visit per year to monitor the delegates and provide technical assistance consistent with the Office of Community Services' approach and with the requirements contained in their approved GPMP.

Office of Community Services staff will conduct an annual comprehensive review of each of Ohio's 35 subgrantees' programs. This will include, at a minimum, one on-site monitoring visit to each Subgrantee by each assigned field representative. After attending the Midwest Regional Office Training for Local Agency Performance and Quality Control in May of 2006, the Office of Community Services designed an Agency Assessment Tool. This tool brought together all aspects of an organization (section headings are Financial, Customers, Innovation and Learning, Internal Process) and will allow a comprehensive review to assess the organization. Subsequent visits or T&TA visits will be made as necessary or as required per the Assessment Tool. Monitoring visits to delegate agencies will occur as needed to determine Subgrantee and delegate compliance and accountability. The Office of Community Services expects to conduct at least one visit to 12 of the 24 delegate agencies per year.

Reports of monitoring visits are to be completed within 30 days of the visit to the provider. These reports will summarize the findings and, when necessary, direct the Providers to take specific actions to correct issues of noncompliance and/or to develop a plan of action to improve performance. Reports are sent to Provider Board Chairpersons and Executive Directors who must respond within 30 days and provide evidence or assurance, as appropriate, of all actions taken. The steps outlined in the Office of Community Services' Progressive Corrective Action Plan will be followed regarding the reports and any possible follow-up actions. Monitoring reports include a reminder that suspension of funding is possible if a Subgrantee fails to respond within 30 days.

Through the use of the Agency Assessment Tool, Office of Community Services will assure adequate financial management practices among providers by accomplishing the following:

- Review Provider financial management documents and focus attention on those subgrantees and delegates whose documents indicate significant problems. When applicable, the Office of Community Services review will be coordinated with the ODOD audit office (located in the ODOD Operations Division) and the CDD's Office of Community Services (which administers the CSBG and the LIHEAP).
- Review Subgrantee A-133 audit and focus attention on those subgrantees and delegates whose single agency audit reports indicate significant problems. Actual review will be accomplished by ODOD audit staff.
- Arrange on-site full compliance audits of Subgrantee and delegates that exhibit significant problems. ODOD Auditors perform their examination in accordance with generally accepted auditing standards; the "Standards for Audit of Governmental Organizations, Programs, Activities and Functions", issued by the Comptroller General which pertain to financial and compliance elements; and OMB Circular A-133 as applicable.
- Arrange on-site limited-scope audit reviews of Subgrantee and delegates that exhibit problems in specific areas and/or that (based on in-house document review or on-site monitoring) exhibit indications of potential problems. ODOD auditors will perform their examination in accordance with generally accepted auditing standards, but may limit the scope to determine the extent of the specific problems or issues, or to provide technical assistance. Limited-scope audits may be conducted in conjunction with on-site monitoring as appropriate.

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Reports of financial audit visits also require a 30-day response from the Subgrantee and state that failure to respond may result in the disallowance of all questioned costs and suspension of funding.

**Due to the need and importance of programmatic ramp-up to utilize ARRA funds, the Office of Community Services will assess each Sub-grantee's performance on a quarterly basis to determine the strengths and weaknesses. The Office of Community Services will use all available data and resources (e.g. audits, monitoring reports, statistical information) throughout the ARRA grant period, to assess the work quality and to determine whether corrective actions or new policies are needed. The Office of Community Services will have the option of determining (1) if there is a need to increase the number of service providers throughout the state and within territories being served by existing agencies and (2) if there is a need to decrease or re-allocate funding to existing local service providers to more timely meet the demand for services. A re-distribution of funding to local providers may be necessary due to lack of production, deficiencies in work quality, or poor performance by the provider. Special Conditions may also be included on the Sub-grantee's contract for the next program year based on the assessment.**

During PY 2005, the ODOD/Office of Community Services allowed the WSOS CAC to provide weatherization service to the Erie & Huron Counties area. This provider was determined through a Request For Proposal (RFP). Beginning with the 2009 program year, the ODOD/Office of Community Services will combine the two grants (#126 and #142) so that WSOS will provide services to the Erie and Huron counties area as part of their original grant (#126).

The Ohio Office of Community Services will implement an annual re-allocation process that reviews the performance of individual local providers. The performance issues being targeted are (1) the number of units completed by a local provider, on a three year average, and (2) the percentage of funding "unspent" by the local provider, on a three year average. This process of re-allocation of funding based upon performance issues is an attempt to increase the number of units being completed and a method to reduce the amount of funding carried over from one program year to the next. The proposal was voted on and approved by the PAC at their November 10, 2005 meeting. Additional language has been developed by a sub-committee of the PAC to allow the Ohio Office of Community Services flexibility in administering the process due to extenuating circumstances (i.e., management changes at local provider, etc.)

### **III.6.4 Training and Technical Assistance Approach**

#### **A. ASSESSMENT OF TRAINING AND TECHNICAL ASSISTANCE NEEDS**

1. Office of Community Services (OCS) staff will analyze data on a variety of financial, production, and weatherization retrofit information. Trends indicating extremes in production and/or completed weatherization measures will be noted and tracked for appropriate follow-up. The OCS technical field representative's monitoring reports are shared with the Ohio Weatherization Training Center (OWTC), so that trainings can be modified or "customized" for staff of a specific Subgrantee.
2. On-site visits provide firsthand, observable evidence for T&TA.
3. Subgrantees and delegates will have the opportunity to identify and address their own T&TA needs through local initiatives as described in B 3 below.
4. State-funded weatherization skills training and technical assistance will be matched closely to techniques and program policies to ensure consistent and effective implementation. A Training Needs database with a master list of all WAP staff and their associated training records has been developed to highlight the needs of the individuals working within the program and to send notices when continuing education training is required.

#### **B. PROVISION OF TRAINING AND TECHNICAL ASSISTANCE**

1. On-site Visits - Technical assistance visits will be conducted by Office of Community Services field staff, as needed, to providers experiencing management, production, operational, or compliance problems. Maximum effort will be directed towards a timely response to identified problem areas to facilitate effective technical assistance and corrective action. Subgrantees with delegates will do the same. Verbal recommendations will be given to the Executive Director prior to the end of the visit. A letter reiterating those recommendations will be sent within 30 days of the visit, and a follow-up visit will be made to evaluate progress.
2. Weatherization Skills Training - Office of Community Services provides funds to the Corporation for Ohio Appalachian Development (COAD) to operate the Ohio Weatherization Training Center (OWTC), which provides hands-on weatherization skills training to workers employed in the WAP (including Office of Community Services staff) and to support and participate in the

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technical development of WAP-related projects. Instruction from the OWTC is provided at no cost to the worker and at a minimal cost to the WAP employing agency (travel and per diem costs are necessary costs). Funding for training activities provided through the OWTC is part of the Training and Technical Assistance allocation to the State of Ohio, with additional funding provided by administrative funding from the LIHEAP allocation. Funding of the OWTC is at an annual level of \$3,150,000 from DOE and \$350,000 from HHS funds. The OWTC will be establishing remote training facilities at locations around Ohio to better serve the agencies and their contractors. On-site presentation of topics and individualized demonstration of weatherization techniques are available.

The OCS and OWTC are working to revise the current training approach to better handle the significant increase in network staff needed because of the increase in funding for the program. A survey of the agencies indicates new inspectors, crews and contractors will need to be hired and trained. The current approach to training inspectors is too time consuming, taking up to six months for an individual to complete the series. The new training approach will have to meet the following requirements. The actual courses and curriculums will be posted at <http://www.coadinc.org/Main.php?page=programs-cdds>

- a) A Weatherization Skills Series for inspectors, crews and contractors that will cover the following competencies.
  - Weatherization Skills and Theory
  - Mobile Home Weatherization
  - Sidewall Tubing and Siding Removal
  - Duct Testing and Sealing
  - House (Zone) Diagnostics
  - Blower Door Usage
  - Pollution Safe Weatherization
  
- b) A Weatherization Support Series developed for inspectors or auditors will cover the following competencies.
  - Initial Inspection
  - Final Inspection
  - Residential Ventilation
  - Consumer Energy Education
  - WPS Orientation/Review
  - Electrical Baseload Measurement
  - NEAT Audit
  - MHEA Audit
  - EA-QUIP Multi-family Audit
  
- c) A Heating System Series developed for inspectors, auditors, or individuals repairing or replacing heating systems.
  - Heating Unit Inspection
  - Heating Unit Maintenance and Repair
  - Short Form Manual J
  - Introduction to Air Conditioners and Heat Pumps
  - House and Heating System Electricity
  - Combustion for Contractors
  
- d) A continuing education series will be in place to keep current skills sharp and to update individuals on new techniques and requirements.
  - Inspector Refresher
  - Heating Technician Refresher
  
- e) Employee Development
  - Production Considerations for Energy Coordinators / Decision-Makers
  - Math Skills
  - Train the Trainer

3. Local T&TA Programs - T&TA funds are available to support locally-initiated training and to make effective use of the training center. To assure coordination of training activities, all T&TA funds shall be itemized and budgeted into the following categories:

- a) Costs for travel and per diem for attendance at the OWTC for T&TA workshops, seminars, meetings, or classes.
- b) Cost associated with required Subgrantee monitoring of delegates. (This required only of those Subgrantees with delegate

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agencies, such as COAD, City of Cleveland, and Community Action Partnership of Greater Dayton.)

- c) Supplemental training not offered by the OWTC for WAP staff. Training must relate directly to the attendee's WAP job duties.
- d) Purchase of training materials, including training and testing costs, necessary to meet OSHA safety standards.
- e) Percentage of salary for a staff person responsible for ensuring that training, safety requirements and needs are met and to oversee in-house weatherization training.
- f) Travel for HWAP staff to attend conferences, meetings, and seminars.

4. Other T&TA Initiatives - In conjunction with the training and technical assistance provided by Office of Community Services staff, the OWTC, and local T&TA programs, the Ohio Office of Community Services shall continue to assure an effective exchange of program information through:

- a) Active involvement with the WAP Policy Advisory Committee.
- b) Promotion of regional meetings initiated by Regional Representatives of the PAC at which management, technical and general informational topics will be discussed according to current need.
- c) Scheduling statewide weatherization meetings.
- d) Updates to program management guidance, including Operations Memos and revisions in the Policy and Procedures Manual, when necessary.
- e) Monthly meetings between OCS and OWTC staff to develop new training approaches and refine the existing courses to best meet the needs of the network.
- f) Updates to the delivery of program service guidance, including revisions to Ohio's Weatherization Program Standards and Policy and Procedures Manuals, when necessary.
- g) Encouragement of information exchange and skills transfer among Subgrantees on an informal basis.
- h) Providing Inspector Orientation courses and an annual Energy Coordinator / Manager Orientation course. The Inspector Orientation is required of all individuals prior to attending the Inspection Series of courses through the OWTC.
- i) Additionally, Ohio plans to send appropriate representation to U.S. DOE-sponsored events such as national conferences like ACI, the National Weatherization Conference, and other regional meetings, as these meetings are provided in support of our administrative duties. Ohio was a sponsor of the 2009 ACI Home Performance Conference being held in Kansas City, MO on April 27 through May 1, 2009.
- j) Publishing the Office of Community Services Update on a quarterly basis with general information about program activities. The OCS Update will enter its 10th year with the March 2009 issue.

**C. ATTENDANCE / TRAINING REQUIREMENTS**

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

To help ensure an adequate level of understanding among individuals who perform certain duties, the following minimum training requirements will be required:

Agency Crews or Weatherization Contractor Staff

- Weatherization Skills and Theory
- Insulation techniques

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- Blower Door
- Mobile Home Weatherization (if applicable)
- Pollution Safe Weatherization Work Practices

Inspectors or auditors providing building assessments and quality assurance

- Inspector Orientation
- Heating Unit Inspection
- Initial Inspection
- Short Form Manual J
- Blower Door
- Final Inspection
- Consumer Energy Education
- Electrical Baseload Measurements
- Pressure Training
- Refresher (every three years)
- Mobile Home Weatherization (if applicable)
- Pollution Safe Weatherization Work Practices

Agency or Contractor staff repairing or replacing heating systems

- Heating Unit Inspection
- Heating Unit Maintenance and Repair
- Refresher (every three years)
- Pollution Safe Weatherization Work Practices
- Combustion for Contractors

Energy Coordinators

- Energy Coordinator / Manager Orientation

**D. ASSESSMENT OF STATE T&TA ACTIVITIES**

Assessment of activities will be accomplished by review of:

- 1) Local training activities and local T&TA expenditure reports,
- 2) OWTC monthly attendance and activity reports,
- 3) Quarterly review of the OWTC to measure and track training efficiency,
- 4) On-site monitoring of local programs,
- 5) Review of local T&TA curriculum and activities.

**III.6.5 Energy Crisis Plan**

Ohio's ability to leverage additional funds has allowed most providers to meet the emergency demands of their clients without significant changes to the yearly plans. In the event of a declared natural or man-made disaster, Ohio will allow providers to assist their customers with weatherization funds. The President or the Governor of the State of Ohio must declare a Federal or State Emergency before providers within these affected areas will be allowed to use existing resources to address the needs of the people in the area. Activities will be limited to households eligible under the current income eligibility criteria. The regulations, 10 CFR 440.18(e)(2)(ii) allow for re-weatherization if a "dwelling unit has been damaged by fire, flood, or act of God and repair of the damage to weatherization materials is not paid for by insurance." In these cases, the damage is limited to a small area and can be addressed without prior approval or any special reporting.

Agencies will be required to coordinate their efforts with other disaster assistance programs and must assure that activities funded with Weatherization funds would not otherwise be covered by FEMA, insurance or other forms of compensation.

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Weatherization agencies can also provide technical assistance.

Because the response to a disaster can be time sensitive, the State will allow local weatherization agencies to initiate the activities without prior approval from the Office of Community Services. The agencies must notify the OCS as soon as possible of the disaster and the types of actions that will be taken. The OCS will notify its PMC Project Officer of the specific nature of the disaster. The OCS will also determine if additional approval is needed and will submit an "Event-Specific Disaster Response Plan" to the PMC Project Officer if needed.

All work completed during disaster recovery repairs must conform to the Ohio Weatherization Program Standards and other referenced codes and standards including NFPA, ICC conservation code, and other building codes. The focus of weatherization work must be energy efficiency so coordination with other programs may be needed to address structural repairs. The existing priority lists must be followed when deciding on what measures will be installed in units. Units impacted that had received services in the past will be treated as re-weatherized units regardless of the original date of weatherization. Units that have not received services in the past will be reported as new completions. Units will be reported as completed when the weatherization is completed, even though other repairs may be needed. That said, the unit must be in a sufficient state of repair to protect the integrity of the installed weatherization measures before weatherization work is done.

**Floods**

Major flooding has become common in Ohio in recent years and has triggered Federal or State Emergencies. Activities related to flooding are as follows:

In some cases, the flood develops over a period of time that allows defensive activities to occur. In these cases, weatherization staff may be used to preserve the local agency's weatherization files, records, materials and equipment if they are at risk. Weatherization staff can also be used to help sandbag or take other preventative actions to protect areas of the communities, with emphasis if possible on low-income areas. Movement of homeowner possessions to minimize losses can only be done for income eligible customers.

After the flood recedes, the initial efforts will be related to clean-up. Agencies may help with emergency clean-up and distribution of essential items such as food and clothing in eligible homes or in low-income neighborhoods.

Weatherization of homes must be limited to income eligible households only. Weatherization should occur only after a determination has been done that the building is safe, deemed salvageable and habitable and will not be condemned. Homes failing to pass these criteria must not be treated and the deferral policy will be in effect. Activities paid for with weatherization funds must be focused on energy conservation measures and can include health and safety measures as defined by this plan, replacement of damaged insulation and air sealing materials including removal of damaged materials, and limited general repairs to allow the installation of the aforementioned measures.

Agencies will be required to report these activities to the Office of Community Services. The recovery efforts are limited to a 3 month timeframe. The agency must request approval from the OCS to exceed this time and must submit a plan of action detailing why the time must be extended, the types of activities that will occur, and the impact this effort will have on other eligible customers not in the disaster area.

**Tornados**

Tornados strike without warning and activities will be limited to clean-up and rebuilding.

Agencies may help with emergency clean-up and distribution of essential items such as food and clothing in eligible homes or in low-income neighborhoods.

Weatherization of homes must be limited to income eligible households only. Weatherization should occur only after a determination has been done that the building is safe, deemed salvageable and habitable and will not be condemned. Homes failing to pass these criteria must not be treated and the deferral policy will be in effect. Activities paid for with weatherization funds must be focused on energy conservation measures and can include health and safety measures as

**U.S. Department of Energy**  
**STATE PLAN/MASTER FILE WORKSHEET (continued)**

**Grant Number: EE00099, State: OH, Program Year: 2009**

defined by this plan, replacement of damaged insulation and air sealing materials including removal of damaged materials, and limited general repairs to allow the installation of the aforementioned measures.

Agencies will be required to report these activities to the Office of Community Services.

**Other Disasters**

Although less common in Ohio, other disasters may occur that will require agencies to assist with recovery and clean-up efforts. In these cases the agencies can take initial steps to help with crisis management and recovery efforts, but must notify the Office of Community Services as soon as possible. The agency must submit a plan of action that outlines activities, timeframes and any special considerations to go beyond the initial recovery efforts. Again, the focus of the weatherization program is energy efficiency measures and can include health and safety measures as defined by this plan, replacement of damaged insulation and air sealing materials including removal of damaged materials, and limited general repairs to allow the installation of the aforementioned measures.

Agencies will be required to report these activities to the Office of Community Services.

**Other Issues Requiring Prior Approval**

Agencies must submit a request to the Office of Community Services to receive approval of the following:

- Adjustment to contracted unit goals / average cost per unit
- Extension of timeframe of recovery efforts beyond 3 months



Department of  
Development  
Office of Community Services

# Subgrantee Information

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(08/05)

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 6-30-08

State: OH Grant Number: EE00099 Program Year: 2009

<b>Name: Ashtabula County Community Action Agency</b>		<b>Contact:</b> Fred Eagan
<b>Address:</b> 2009 W. Prospect Street PO Box 2610 Ashtabula, OH 44005-2160		<b>Phone:</b> (440)998-4996 <b>Fax:</b> (440)492-3319 <b>Email:</b> feagan@accaa.org
<b>Counties served:</b> Ashtabula Geauga Lake	<b>Tentative allocation:</b> \$ 5,254,374.00 <b>Planned units:</b> 628	<b>Congressional districts served:</b> <u>CD</u> 14
<b>Type of organization:</b> Non-profit organization		
<b>Name: Board of Van Wert County Commissioners</b>		<b>Contact:</b> Jeff Allen Owens
<b>Address:</b> 114 East Main St Lower Level Van Wert, OH 45891-1725		<b>Phone:</b> (419)238-4544 <b>Fax:</b> (419)238-4162 <b>Email:</b> jowens89@hotmail.com
<b>Counties served:</b> Van Wert	<b>Tentative allocation:</b> \$ 1,071,907.00 <b>Planned units:</b> 128	<b>Congressional districts served:</b> <u>CD</u> 05
<b>Type of organization:</b> Unit of local government		
<b>Name: CAO of Delaware, Madison, and Union Counties, Inc.</b>		<b>Contact:</b> Vanessa Garner
<b>Address:</b> 169 Grove Street Marysville, OH 43040		<b>Phone:</b> (937)642-4986 <b>Fax:</b> (937)642-1925 <b>Email:</b> vgarner@caodmu.org
<b>Counties served:</b> Delaware Madison Union	<b>Tentative allocation:</b> \$ 2,292,626.00 <b>Planned units:</b> 274	<b>Congressional districts served:</b> <u>CD</u> 12 15
<b>Type of organization:</b> Non-profit organization		
<b>Name: CAP Commission of the Lancaster-Fairfield County Area</b>		<b>Contact:</b> Scott Porter
<b>Address:</b> 1743 East Main St P.O. Box 768 Lancaster, OH 43130-0768		<b>Phone:</b> (740)653-4146 <b>Fax:</b> (740)653-4462 <b>Email:</b> sporter@faircaa.org
<b>Counties served:</b> Fairfield	<b>Tentative allocation:</b> \$ 1,535,759.00 <b>Planned units:</b> 183	<b>Congressional districts served:</b> <u>CD</u> 07
<b>Type of organization:</b> Non-profit organization		
<b>Name: CAP of Greater Dayton</b>		<b>Contact:</b> Leonard Florence
<b>Address:</b> 719 S. Main Street Dayton, OH 45402-2709		<b>Phone:</b> (937)341-5000 <b>Fax:</b> (937)341-5002 <b>Email:</b>
<b>Counties served:</b> Butler Darke Greene Montgomery Preble Warren	<b>Tentative allocation:</b> \$ 16,657,369.00 <b>Planned units:</b> 1,982	<b>Congressional districts served:</b> <u>CD</u> 01 02 03 07 08
<b>Type of organization:</b> Non-profit organization		

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SUBGRANTEE INFORMATION**

Expiration Date: 6-30-08

State: OH Grant Number: EE00099 Program Year: 2009

Name:	<b>Cincinnati-Hamilton County Community Action Agency</b>	Contact:	Doug Misenheimer
Address:	1740 Langdon Farm Road Cincinnati, OH 45237	Phone:	(513)569-1840
		Fax:	(513)569-125
		Email:	
Counties served:	Hamilton	Tentative allocation:	\$ 11,157,846.00
		Planned units:	1,328
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 01
			02
Name:	<b>City of Cleveland</b>	Contact:	Norman Tidmore
Address:	601 Lakeside Ave Rm 320 Cleveland, OH 44114-1015	Phone:	(216)664-4052
		Fax:	(216)420-4006
		Email:	ntidmore@city.cleveland.oh.us
Counties served:	Cuyahoga	Tentative allocation:	\$ 705,011.00
		Planned units:	0
		Type of organization:	Unit of local government
		Congressional districts served:	<u>CD</u> 10
			11
Name:	<b>Clermont County Community Services</b>	Contact:	Tami Obermeyer
Address:	303 Hospital Drive Batavia, OH 45103	Phone:	(513)732-2277
		Fax:	(513)735-8839
		Email:	tamio@cccsi.org
Counties served:	Clermont	Tentative allocation:	\$ 2,069,502.00
		Planned units:	247
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 02
Name:	<b>Clinton County Community Action Program, Inc.</b>	Contact:	Greg Smith
Address:	789 N. Nelson Avenue PO Box 32 Wilmington, OH 45177-0032	Phone:	(937)322-2146
		Fax:	(937)322-2145
		Email:	clarkweb1@woh.rr.com
Counties served:	Clark Clinton	Tentative allocation:	\$ 3,595,063.00
		Planned units:	428
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 03
			07
Name:	<b>Community Action Commission of Fayette County</b>	Contact:	Vickie Brust
Address:	324 E. Court St Washington C H, OH 43160	Phone:	(740)335-8764
		Fax:	(740)335-6802
		Email:	vickiebrust@ameritech.net
Counties served:	Fayette	Tentative allocation:	\$ 1,118,125.00
		Planned units:	134
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 07
Name:	<b>Community Action Council of Portage County Inc</b>	Contact:	Gloria Haven
Address:	1036 West Main Street P.O. Box 917 Ravenna, OH 44260	Phone:	(330)297-1456
		Fax:	(330)297-1463
		Email:	ghaven@cacportage.net

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**WEATHERIZATION ASSISTANCE PROGRAM  
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Expiration Date: 6-30-08

State: OH Grant Number: EE00099 Program Year: 2009

Counties served: Portage	Tentative allocation: \$ 2,346,242.00	Congressional districts served: <u>CD</u>
	Planned units: 280	14
	Type of organization: Non-profit organization	17

Name: <b>Community Action Wayne/Medina</b>	Contact: Donna Holmes	
Address: 2375-B Benden Drive	Phone: (330)264-8677	
Wooster, OH 44691	Fax: (330)264-5170	
	Email: dholmes@cawm.org	
Counties served: Medina	Tentative allocation: \$ 2,553,435.00	Congressional districts <u>CD</u>
Wayne	Planned units: 304	served: 13
	Type of organization: Non-profit organization	16

Name: <b>Corporation for Ohio Appalachian Development</b>	Contact: Keith Pitts	
Address: 1 Pinchot Lane	Phone: (740)594-8499	
PO Box 787	Fax: (740)592-5994	
Athens, OH 45701-0787	Email: kpitts@coadinc.org	
Counties served: Adams	Tentative allocation: \$ 853,548.00	Congressional districts <u>CD</u>
Ashland	Planned units: 0	served: 02
Athens	Type of organization: Non-profit organization	03
Belmont		05
Brown		06
Carroll		07
Columbiana		16
Coshocton		18
Gallia		
Guernsey		
Harrison		
Highland		
Hocking		
Holmes		
Jackson		
Jefferson		
Knox		
Lawrence		
Meigs		
Monroe		
Morgan		
Muskingum		
Noble		
Perry		
Pike		
Ross		
Scioto		
Tuscarawas		
Vinton		
Washington		

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Expiration Date: 6-30-08

State: OH Grant Number: EE00099 Program Year: 2009

<b>Name:</b>	<b>Cuyahoga County Dept of Development</b>	<b>Contact:</b>	Robert Given
<b>Address:</b>	112 Hamilton Ave 4th Fl Cleveland, OH 44114	<b>Phone:</b>	(216)443-6877
		<b>Fax:</b>	(216)443-7258
		<b>Email:</b>	cdrjg@www.cuyahogacounty.us
<b>Counties served:</b>	Cuyahoga	<b>Tentative allocation:</b>	\$ 9,410,315.00
		<b>Planned units:</b>	1,120
		<b>Type of organization:</b>	Unit of local government
		<b>Congressional districts served:</b>	<u>CD</u> 10
			11
			14
<b>Name:</b>	<b>Delegate - Adams-Brown Counties Economic Opportunities</b>	<b>Contact:</b>	James Collins
<b>Address:</b>	200 South Green Street Georgetown, OH 45121-1261	<b>Phone:</b>	(937)695-0316
		<b>Fax:</b>	(937)695-1459
		<b>Email:</b>	jcollins@abcap.net
<b>Counties served:</b>	Adams Brown	<b>Tentative allocation:</b>	\$ 2,666,828.00
		<b>Planned units:</b>	351
		<b>Type of organization:</b>	Non-profit organization
		<b>Congressional districts served:</b>	<u>CD</u> 02
<b>Name:</b>	<b>Delegate - CAP Corporation of Washington-Morgan Counties</b>	<b>Contact:</b>	Darla Johnson
<b>Address:</b>	218 Putnam Street P.O. Box 144 Marietta, OH 45750-2909	<b>Phone:</b>	(740)373-7671
		<b>Fax:</b>	(740)373-7398
		<b>Email:</b>	djohnson@wmcap.org
<b>Counties served:</b>	Morgan Washington	<b>Tentative allocation:</b>	\$ 2,344,193.00
		<b>Planned units:</b>	270
		<b>Type of organization:</b>	Non-profit organization
		<b>Congressional districts served:</b>	<u>CD</u> 06
			18
<b>Name:</b>	<b>Delegate - Cleveland Housing Network</b>	<b>Contact:</b>	Liz Hernandez
<b>Address:</b>	2999 Payne Avenue, #306 Cleveland, OH 44114	<b>Phone:</b>	(216)574-7100
		<b>Fax:</b>	(216)574-7130
		<b>Email:</b>	lhernand@chnnet.com
<b>Counties served:</b>	Cuyahoga	<b>Tentative allocation:</b>	\$ 5,561,058.00
		<b>Planned units:</b>	704
		<b>Type of organization:</b>	Non-profit organization
		<b>Congressional districts served:</b>	<u>CD</u> 10
			11
<b>Name:</b>	<b>Delegate - Community Action Agency of Columbiana County</b>	<b>Contact:</b>	Ruth Allison
<b>Address:</b>	7880 Lincole Place Lisbon, OH 44432	<b>Phone:</b>	(330)424-4013
		<b>Fax:</b>	(330)424-4186
		<b>Email:</b>	allison@caaofcc.org
<b>Counties served:</b>	Columbiana	<b>Tentative allocation:</b>	\$ 2,258,432.00
		<b>Planned units:</b>	291
		<b>Type of organization:</b>	Non-profit organization
		<b>Congressional districts served:</b>	<u>CD</u> 06

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Expiration Date: 6-30-08

State: OH Grant Number: EE00099 Program Year: 2009

Name:	<b>Delegate - Community Action Commission of Belmont County</b>	Contact:	Dean Redinger
Address:	153 1/2 West Main Street St. Clairsville, OH 43950-0410	Phone:	(740)633-6340
		Fax:	(740)699-2578
		Email:	weatherization@1st.net
Counties served:	Belmont	Tentative allocation:	\$ 2,315,607.00
		Planned units:	277
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 06 18
Name:	<b>Delegate - Community Action Committee of Pike County</b>	Contact:	Lowell Hablitzel
Address:	941 Market Street P.O. Box 799 Piketon, OH 45661-0799	Phone:	(740)289-2371
		Fax:	(740)289-4291
		Email:	hablitzel@pikecac.org
Counties served:	Pike	Tentative allocation:	\$ 1,380,380.00
		Planned units:	161
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 02 06
Name:	<b>Delegate - Community Action Organization of Scioto County</b>	Contact:	Phil McKinney
Address:	433 Third Street P.O. Box 1525 Portsmouth, OH 45662-1525	Phone:	(740)354-7541
		Fax:	(740)354-3933
		Email:	mckinney@zoomnet.net
Counties served:	Scioto	Tentative allocation:	\$ 2,658,660.00
		Planned units:	309
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 02 06
Name:	<b>Delegate - Community Housing Solutions</b>	Contact:	Naomi Brookins
Address:	12114 Larchmere Boulevard Cleveland, OH 44120	Phone:	(216)651-0077
		Fax:	(216)651-0072
		Email:	naomib@commhousingsolutions.org
Counties served:	Cuyahoga	Tentative allocation:	\$ 3,997,141.00
		Planned units:	480
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 10 11
Name:	<b>Delegate - Cudell Improvement</b>	Contact:	Anita Brindza
Address:	11650 Detroit Avenue Cleveland, OH 44102	Phone:	(216)228-4383
		Fax:	(216)228-3328
		Email:	cudell@multiverse.com
Counties served:	Cuyahoga	Tentative allocation:	\$ 3,778,775.00
		Planned units:	453
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 10 11
Name:	<b>Delegate - Detroit Shoreway Community Development</b>	Contact:	Rick O'Connor
Address:	6516 Detroit Avenue Cleveland, OH 44102	Phone:	(216)961-4242
		Fax:	(216)961-8830
		Email:	roconnor@dscdo.org

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**WEATHERIZATION ASSISTANCE PROGRAM  
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Expiration Date: 6-30-08

State: OH Grant Number: EE00099 Program Year: 2009

Counties served: Cuyahoga	Tentative allocation: \$ 2,564,243.00	Congressional districts served: <u>CD</u> 10
	Planned units: 223	11
	Type of organization: Non-profit organization	
<hr/>		
Name: <b>Delegate - Fairfax Renaissance Development</b>	Contact: Monica Martello	
Address: 8111 Quincy Avenue, Suite 100 Cleveland, OH 44104	Phone: (216)361-8594 Fax: (216)361-8407 Email: mpandi@fairfaxdev.org	
Counties served: Cuyahoga	Tentative allocation: \$ 1,859,232.00	Congressional districts served: <u>CD</u> 10
	Planned units: 288	11
	Type of organization: Non-profit organization	
<hr/>		
Name: <b>Delegate - Gallia Meigs Community Action Agency</b>	Contact: Sandra Edwards	
Address: 8010 North State Route 7 Cheshire, OH 45620-0272	Phone: (740)367-7341 Fax: (740)367-7343 Email: segmcaa@hotmail.com	
Counties served: Gallia Meigs	Tentative allocation: \$ 1,894,959.00	Congressional districts served: <u>CD</u> 06
	Planned units: 221	
	Type of organization: Non-profit organization	
<hr/>		
Name: <b>Delegate - GMN Tri-County Community Action Committee</b>	Contact: Carolyn Burris	
Address: 615 North Street P.O. Box 285 Caldwell, OH 43724-0285	Phone: (740)732-2388 Fax: (740)732-2389 Email: cb@gmncac.org	
Counties served: Guernsey Monroe Noble	Tentative allocation: \$ 2,327,859.00	Congressional districts served: <u>CD</u> 06
	Planned units: 270	18
	Type of organization: Non-profit organization	
<hr/>		
Name: <b>Delegate - Harcatus Tri-County Community Action Committee</b>	Contact: Carol Penix	
Address: 220 Grant Street Dennison, OH 44621-1216	Phone: (740)922-6692 Fax: (740)922-1394 Email: hct_housing@yahoo.com	
Counties served: Carroll Harrison Tuscarawas	Tentative allocation: \$ 2,985,377.00	Congressional districts served: <u>CD</u> 18
	Planned units: 347	
	Type of organization: Non-profit organization	
<hr/>		
Name: <b>Delegate - Highland County Community Action Organization</b>	Contact: Amanda Fraley	
Address: 1487 North High Street P.O. Box 838 Hillsboro, OH 45133	Phone: (937)393-3458 Fax: (937)393-7707 Email: becrafty_02@hotmail.com	
Counties served: Highland	Tentative allocation: \$ 1,384,464.00	Congressional districts served: <u>CD</u> 03
	Planned units: 161	
	Type of organization: Non-profit organization	

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**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 6-30-08

State: OH Grant Number: EE00099 Program Year: 2009

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Name: **Delegate - Ironton-Lawrence County Area CAO** Contact: John Easterling  
 Address: 305 North Fifth Street Phone: (740)533-0854  
 Ironton, OH 45638-0517 Fax: (740)533-1852  
 Email: johneasterling@adelphia.net

Counties served: Lawrence Tentative allocation: \$ 2,372,783.00 Congressional districts CD  
 Planned units: 291 served: 06  
 Type of organization: Non-profit organization

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Name: **Delegate - Jackson-Vinton County Community Action** Contact: John Peoples  
 Address: 14333 State Route 327 North Phone: (740)384-3722  
 Wellston, OH 45692-0071 Fax: (740)384-5815  
 Email: hwap@bright.net

Counties served: Jackson Tentative allocation: \$ 2,070,569.00 Congressional districts CD  
 Vinton Planned units: 256 served: 18  
 Type of organization: Non-profit organization

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Name: **Delegate - Jefferson County Community Action Council** Contact: Lewis Thompson  
 Address: 114 North 4th Street Phone: (740)282-3626  
 P.O. Box 130 Fax: (740)282-8361  
 Steubenville, OH 43952-5130 Email: weatherization00@hotmail.com

Counties served: Jefferson Tentative allocation: \$ 1,939,883.00 Congressional districts CD  
 Planned units: 256 served: 06  
 Type of organization: Non-profit organization

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Name: **Delegate - KNO-HO-CO Ashland Community Action Commission** Contact: Larry Vickers  
 Address: 120 North Fourth Street Phone: (740)622-9801  
 Coshocton, OH 43812 Fax: (740)623-0182  
 Email: lvickers@knohoco.org

Counties served: Ashland Tentative allocation: \$ 3,565,300.00 Congressional districts CD  
 Coshocton Planned units: 425 served: 05  
 Holmes Type of organization: Non-profit organization 16  
 Knox 18

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Name: **Delegate - Mt. Pleasant NOW Development Corp** Contact: Margaret Hamilton  
 Address: 13815 Kinsman Road Phone: (216)751-0023  
 Cleveland, OH 44120-4417 Fax: (216)751-1141  
 Email: mhamilton@mtpleasantnow.org

Counties served: Cuyahoga Tentative allocation: \$ 2,331,319.00 Congressional districts CD  
 Planned units: 329 served: 10  
 Type of organization: Non-profit organization 11

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**WEATHERIZATION ASSISTANCE PROGRAM  
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Expiration Date: 6-30-08

State: OH Grant Number: EE00099 Program Year: 2009

Name:	<b>Delegate - Muskingum Economic Opportunity Action Group</b>	Contact:	Bobbie Jo Williams
Address:	421 Putnam Avenue Zanesville, OH 43701-4930	Phone:	(740)454-1310
		Fax:	(740)454-3717
		Email:	bobbiejo_meoag@midohio.twcbc.com
Counties served:	Muskingum	Tentative allocation:	\$ 2,376,867.00
		Planned units:	305
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 18
Name:	<b>Delegate - Ross County Community Action Commission</b>	Contact:	Robert Hardesty
Address:	603 Central Center Chillicothe, OH 45601	Phone:	(740)702-7222
		Fax:	(740)702-7220
		Email:	bobhard@bright.net
Counties served:	Ross	Tentative allocation:	\$ 1,739,768.00
		Planned units:	221
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 07 18
Name:	<b>Delegate - Tri-County (HAP) Community Action</b>	Contact:	Gregg Andrews
Address:	11100 State Route 550 P.O. Box 340 Athens, OH 45701-9719	Phone:	(740)753-3062
		Fax:	(740)753-2600
		Email:	gregg@hapcap.org
Counties served:	Athens Hocking Perry	Tentative allocation:	\$ 3,704,155.00
		Planned units:	459
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 06 07 18
Name:	<b>Delegate - Warren County Community Services</b>	Contact:	Mike Osborne
Address:	570 North State Route 741 Lebanon, OH 45036	Phone:	(513)695-2264
		Fax:	(513)695-2277
		Email:	mikeo@wccsinc.org
Counties served:	Warren	Tentative allocation:	\$ 1,462,253.00
		Planned units:	174
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 02 03
Name:	<b>East Akron Neighborhood Development Corp</b>	Contact:	Anna Deger
Address:	1035 Rosemary Blvd. Suite J Akron, OH 44306	Phone:	(330)773-2095
		Fax:	(330)773-2108
		Email:	adeger@eandcorp.org
Counties served:	Summit	Tentative allocation:	\$ 1,786,390.00
		Planned units:	213
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 13 17

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U.S. Department of Energy

OMB Control No. 1910-5127

(08/05)

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 6-30-08

State: OH Grant Number: EE00099 Program Year: 2009

Name: <b>Ground Level Solutions (R-Morrow)</b>	Contact: Dave Davenport
Address: 4236 East Broad Street Columbus, OH 43213	Phone: (614)861-7992 Fax: (614)861-7789 Email: davenportd@groundlevelsolutions.org
Counties served: Morrow Richland	Tentative allocation: \$ 2,836,611.00 Planned units: 338 Type of organization: Non-profit organization
	Congressional districts served: <u>CD</u> 04

Name: <b>Ground Level Solutions, Inc.</b>	Contact: John Johnson
Address: 4236 East Broad Street Columbus, OH 43213	Phone: (614)861-7992 Fax: (614)861-7789 Email: johnsonj@groundlevelsolutions.org
Counties served: Franklin	Tentative allocation: \$ 3,745,057.00 Planned units: 446 Type of organization: Non-profit organization
	Congressional districts served: <u>CD</u> 07 12 15

Name: <b>Hancock-Hardin-Wyandot-Putnam CAC, Inc.</b>	Contact: Bob Peeple
Address: 122 Jefferson Street P.O. Box 179 Findlay, OH 45839	Phone: (419)423-3755 Fax: (419)423-4115 Email: rpepplecac@thewavz.com
Counties served: Allen Hancock Hardin Putnam Wyandot	Tentative allocation: \$ 5,253,620.00 Planned units: 625 Type of organization: Non-profit organization
	Congressional districts served: <u>CD</u> 04 05

Name: <b>IMPACT Community Action</b>	Contact: Pat Williams
Address: 700 Bryden Rd. Columbus, OH 43215	Phone: (614)258-8202 Fax: (614)258-8703 Email: pwilliams@impactca.org
Counties served: Franklin	Tentative allocation: \$ 9,813,020.00 Planned units: 1,168 Type of organization: Non-profit organization
	Congressional districts served: <u>CD</u>

Name: <b>LEADS</b>	Contact: Terry Boehm
Address: 160 Wilson Street Newark, OH 43055	Phone: (740)345-4566 Fax: (740)349-8087 Email: tboehm@leadscaa.org
Counties served: Licking	Tentative allocation: \$ 2,253,476.00 Planned units: 269 Type of organization: Non-profit organization
	Congressional districts served: <u>CD</u> 12 18

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U.S. Department of Energy

OMB Control No. 1910-5127

(08/05)

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 6-30-08

State: OH Grant Number: EE00099 Program Year: 2009

Name:	<b>Lorain County Community Action Agency, Inc.</b>	Contact:	Sam Hitchens
Address:	506 Broadway PO Box 245 Lorain, OH 44052-0245	Phone:	(440)245-2009
		Fax:	(216)245-3506
		Email:	shitchens@lccaa.net
Counties served:	Lorain	Tentative allocation:	\$ 2,940,583.00
		Planned units:	350
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 09
			13
Name:	<b>Mahoning Youngstown Community Action Partnership</b>	Contact:	Vesna Vukasinovich
Address:	Broadway Professional Building 100 Broadway Avenue Youngstown, OH 44505	Phone:	(330)747-9261
		Fax:	(330)747-9266
		Email:	vvukasinovich@my-cap.org
Counties served:	Mahoning	Tentative allocation:	\$ 7,421,544.00
		Planned units:	885
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 06
			17
Name:	<b>Miami County Community Action Council</b>	Contact:	James Pearce
Address:	1695 Troy-Sidney Rd Troy, OH 45373-9743	Phone:	(937)339-2111
		Fax:	(937)339-8905
		Email:	cac@miamiacac.org
Counties served:	Miami	Tentative allocation:	\$ 1,817,134.00
		Planned units:	216
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 08
Name:	<b>Mid-Ohio Regional Planning Commission #140</b>	Contact:	Erin Miller
Address:	111 Liberty Street Suite 100 Columbus, OH 43215	Phone:	(614)233-4190
		Fax:	(614)228-5705
		Email:	emiller@morpc.org
Counties served:	Franklin	Tentative allocation:	\$ 4,452,581.00
		Planned units:	538
		Type of organization:	Unit of local government
		Congressional districts served:	<u>CD</u> 07
			12
			15
Name:	<b>Neighborhood Housing Services of Toledo, Inc</b>	Contact:	Dora Tharp
Address:	704 Second St PO Box 8125 Toledo, OH 43605	Phone:	(419)691-2900
		Fax:	(419)691-2999
		Email:	dtharp@nhstoledo.org
Counties served:	Lucas	Tentative allocation:	\$ 8,479,475.00
		Planned units:	1,016
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 05
			09

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U.S. Department of Energy

OMB Control No. 1910-5127

(08/05)

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 6-30-08

State: OH Grant Number: EE00099 Program Year: 2009

Name:	<b>Northwestern Ohio Community Action Commission</b>	Contact:	Kelly Feeney
Address:	Plaza Center 1933 East Second Street Defiance, OH 43512-2592	Phone:	(419)784-5393
		Fax:	(419)784-5394
		Email:	kfeeney@nocac.org
Counties served:	Defiance Fulton Henry Paulding Williams	Tentative allocation:	\$ 2,830,799.00
		Planned units:	338
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 05
Name:	<b>Ohio Heartland Community Action Commission</b>	Contact:	John Wildman
Address:	125 Fairview Marion, OH 43302-1812	Phone:	(740)387-9703
		Fax:	(740)387-1652
		Email:	johnw@ohcac.org
Counties served:	Crawford Marion	Tentative allocation:	\$ 2,772,099.00
		Planned units:	330
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 04 05
Name:	<b>Pickaway County Community Action Organization, Inc.</b>	Contact:	Andrew Binegar
Address:	469 E. Ohio Street P.O. Box 67 Circleville, OH 43113-0067	Phone:	(740)477-1655
		Fax:	(740)477-5735
		Email:	abinegar@picca.info
Counties served:	Pickaway	Tentative allocation:	\$ 1,247,411.00
		Planned units:	149
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 07
Name:	<b>Reserve Alloaction</b>	Contact:	
Address:	77 S. High Street Statewide, OH 45216	Phone:	( ) -
		Fax:	( ) -
		Email:	
Counties served:		Tentative allocation:	\$ 53,356,279.00
		Planned units:	7,662
		Type of organization:	
		Congressional districts served:	<u>CD</u>
Name:	<b>SOURCES Community Network Services</b>	Contact:	Alvie Louth
Address:	903 E. Wayne Street, suite 110 P.O. Box 381 Celina, OH 45822	Phone:	(419)584-1550
		Fax:	(419)584-1575
		Email:	alvie@bright.net
Counties served:	Auglaize Mercer	Tentative allocation:	\$ 1,369,707.00
		Planned units:	163
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> 04 05 08

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U.S. Department of Energy

OMB Control No. 1910-5127

(08/05)

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 6-30-08

State: OH Grant Number: EE00099 Program Year: 2009

Name: <b>Stark County Community Action Agency</b>	Contact: Kim Parker
Address: 3013 Mahoning Road, N.E., Rear Canton, OH 44705	Phone: (330)452-9823 Fax: (330)452-8172 Email: sccaahwap@sbcglobal.net
Counties served: Stark	Tentative allocation: \$ 4,807,413.00 Planned units: 572 Type of organization: Non-profit organization
	Congressional districts served: <u>CD</u> 16

Name: <b>Summit Cty Dept of Planning &amp; Economic Development</b>	Contact: Ken Knodel
Address: 175 S. Main St., Room 207 Akron, OH 44308-1308	Phone: (330)643-8760 Fax: (330)643-8249 Email: kknodel@summitoh.net
Counties served: Summit	Tentative allocation: \$ 6,958,429.00 Planned units: 829 Type of organization: Unit of local government
	Congressional districts served: <u>CD</u> 13 14 17

Name: <b>Tri-County CAC of Champaign, Logan, and Shelby Counties</b>	Contact: Michael Hyder
Address: 3023 County Road 91 Bellefontaine, OH 43311	Phone: (937)593-0034 Fax: (937)593-0038 Email: mhyder@tricountycls.com
Counties served: Champaign Logan Shelby	Tentative allocation: \$ 2,255,370.00 Planned units: 270 Type of organization: Non-profit organization
	Congressional districts served: <u>CD</u> 04

Name: <b>Trumbull Community Action Program</b>	Contact: Robert Kren
Address: 1230 Palmyra Rd. SW Warren, OH 44485	Phone: (330)393-2507 Fax: (330)393-4197 Email: rkren@tcaphelps.org
Counties served: Trumbull	Tentative allocation: \$ 3,684,570.00 Planned units: 439 Type of organization: Non-profit organization
	Congressional districts served: <u>CD</u> 14 17

Name: <b>Wood Sandusky Ottawa Seneca CAC Inc</b>	Contact: Terry Jacobs
Address: 1518 East County Road 113 Green Springs, OH 44836	Phone: (419)639-2802 Fax: (419)639-2255 Email: tjjacobs@wsos.org
Counties served: Erie Huron Ottawa Sandusky Seneca Wood	Tentative allocation: \$ 6,757,736.00 Planned units: 805 Type of organization: Non-profit organization
	Congressional districts served: <u>CD</u> 05 09



Department of  
Development  
Office of Community Services

# Allocation Tables

\$6,500 Average cost per unit

OHIO HOME WEATHERIZATION ASSISTANCE PROGRAM ALLOCATIONS PY'2009-2010  
 TOTAL DEPARTMENT OF ENERGY ARRA STIMULUS ALLOCATION = \$266,781,409  
 \*\*THE FOLLOWING INFORMATION IS BASED UPON 80% OF THE ARRA ALLOCATION  
 ARRA Stimulus Funding Amount used in allocation (\$213,425,128)

	GRANTEE	DOE	HHS	EPP	UNIT GOALS	PROJECTED SUPPORT AND MATERIAL FUNDING	TOTAL FUNDING PY'2009
102	ASHTABULA	\$5,254,374	\$102,109	\$6,388	628	\$4,081,927	\$5,362,871
103	SOURCES	\$1,369,707	\$21,554	\$1,665	163	\$1,059,481	\$1,392,926
105	CHAMPAIGN-LOGAN-SHELBY	\$2,255,370	\$45,357	\$2,742	270	\$1,754,968	\$2,303,469
107	CINCINNATI	\$11,157,846	\$173,593	\$13,564	1328	\$8,631,845	\$11,345,003
108	CLINTON	\$3,595,063	\$59,887	\$4,371	428	\$2,781,950	\$3,659,321
109	CUYAHOGA	\$9,410,315	\$144,145	\$11,440	1120	\$7,279,869	\$9,565,900
110	OHIO HEARTLAND	\$2,772,099	\$45,309	\$3,370	330	\$2,144,961	\$2,820,778
111	CLEVELAND	\$20,796,778	\$350,871	\$25,283	2478	\$16,106,711	\$21,172,932
112	CAP OF GREATER DAYTON	\$18,119,622	\$280,399	\$22,028	2156	\$14,013,748	\$18,422,049
113	NORTHWESTERN	\$2,830,799	\$51,581	\$3,441	338	\$2,196,961	\$2,885,821
114	DELAWARE-MADISON-UNION	\$2,292,626	\$42,315	\$2,787	274	\$1,780,968	\$2,337,728
116	LANCASTER-FAIRFIELD	\$1,535,759	\$25,783	\$1,867	183	\$1,189,479	\$1,563,409
117	FAYETTE	\$1,118,125	\$24,365	\$1,359	134	\$870,984	\$1,143,849
119	HHWP	\$5,253,620	\$81,022	\$6,387	625	\$4,062,427	\$5,341,029
120	LEADS	\$2,253,476	\$41,623	\$2,740	269	\$1,748,469	\$2,297,839
121	LORAIN	\$2,940,583	\$45,883	\$3,575	350	\$2,274,959	\$2,990,041
122	LUCAS	\$8,479,475	\$186,722	\$10,309	1016	\$6,603,881	\$8,676,506
123	MAHONING	\$7,421,544	\$129,257	\$9,022	885	\$5,752,397	\$7,559,823
126	WSOS	\$6,757,736	\$108,513	\$8,215	805	\$5,232,406	\$6,874,464
127	PICKAWAY	\$1,247,411	\$24,166	\$1,516	149	\$968,483	\$1,273,093
128	PORTAGE	\$2,346,242	\$44,872	\$2,852	280	\$1,819,967	\$2,393,966
129	STARK	\$4,807,413	\$73,639	\$5,844	572	\$3,717,933	\$4,886,896
130	SUMMIT	\$6,958,429	\$116,326	\$8,459	829	\$5,388,403	\$7,083,214
131	TRUMBULL	\$3,684,570	\$58,752	\$4,479	439	\$2,853,449	\$3,747,801
132	WAYNE	\$2,553,435	\$39,113	\$3,104	304	\$1,975,965	\$2,595,652
133	COAD	\$40,839,633	\$709,478	\$49,648	4870	\$31,654,432	\$41,598,759
134	MIAMI	\$1,817,134	\$27,834	\$2,209	216	\$1,403,975	\$1,847,177
136	VAN WERT	\$1,071,907	\$16,419	\$1,303	128	\$831,985	\$1,089,629
137	CLERMONT	\$2,069,502	\$41,398	\$2,516	247	\$1,605,471	\$2,113,416
138	GROUND LEVEL SOLUTIONS	\$3,745,057	\$58,362	\$4,553	446	\$2,898,948	\$3,807,972
139	EANDC	\$1,786,390	\$34,105	\$2,172	213	\$1,384,475	\$1,822,667
140	MORPC	\$4,452,581	\$138,605	\$5,413	538	\$3,496,937	\$4,596,599
144	GROUND LEVEL SOLUTIONS R-M	\$2,836,611	\$51,421	\$3,449	338	\$2,196,961	\$2,891,481
145	IMPACT CAA	\$9,813,020	\$151,386	\$11,930	1168	\$7,591,864	\$9,976,336
	Reserve Allocation	\$53,356,279	\$0	\$0	7662	\$0	\$53,356,279
	<b>TOTAL</b>	<b>\$259,000,531</b>	<b>\$3,546,167</b>	<b>\$250,000</b>	<b>32,179</b>	<b>\$159,357,639</b>	<b>\$262,796,698</b>

\*\*\*\* Difference between Total Funding and Projected Support and Material Funding is due to local provider allocations for Administration, Liability, Single Agency Audit, Training and Technical Assistance, and Health and Safety retrofits

08-May-09	GRANTEE	DOE		DOE 5%	DOE	DOE T/T/A	DOE TOTAL	HHS ADMIN	HHS INCENT	HHS TOTAL	EPP 8. TOTAL	GRAND TOTAL PY'2009
		1. ADMIN	2. ADD									
102	ASHTABULA	\$473,364	\$0	\$0	\$76,817	\$5,254,374	\$0	\$21,624	\$102,109	\$6,388	\$5,362,871	
103	SOURCES	\$122,949	\$0	\$0	\$19,952	\$1,369,707	\$0	\$573	\$21,554	\$1,665	\$1,392,926	
105	CHAMPAIGN-LOGAN-SHELBY	\$203,320	\$0	\$0	\$32,995	\$2,255,370	\$0	\$10,810	\$45,357	\$2,742	\$2,303,469	
107	CINCINNATI	\$1,001,387	\$0	\$0	\$162,504	\$11,157,846	\$0	\$2,680	\$173,593	\$13,564	\$11,345,003	
108	CLINTON	\$322,997	\$0	\$0	\$52,416	\$3,595,063	\$0	\$4,819	\$59,887	\$4,371	\$3,659,321	
109	CUYAHOGA	\$844,351	\$0	\$0	\$137,023	\$9,410,315	\$0	\$0	\$144,145	\$11,440	\$9,565,900	
110	OHIO HEARTLAND	\$248,981	\$0	\$0	\$40,404	\$2,772,099	\$0	\$2,847	\$45,309	\$3,370	\$2,820,778	
111	CLEVELAND	\$1,868,867	\$0	\$0	\$303,279	\$20,796,778	\$0	\$32,312	\$350,871	\$25,283	\$21,172,932	
B	Cleveland Housing Network	\$0	\$0	\$0	\$0	\$5,561,058.00	\$0					
C	Cudell	\$0	\$0	\$0	\$0	\$3,778,775.00	\$0					
D	Community Housing Solutions	\$0	\$0	\$0	\$0	\$3,997,141.00	\$0					
G	Mt. Pleasant NOW	\$0	\$0	\$0	\$0	\$2,331,319.00	\$0					
J	Fairfax Renaissance	\$0	\$0	\$0	\$0	\$1,859,232.00	\$0					
K	Detroit Shoreway	\$0	\$0	\$0	\$0	\$2,564,243.00	\$0					
112	CAP of Greater Dayton	\$1,626,056	\$0	\$0	\$263,875	\$18,119,622	\$0	\$2,848	\$280,399	\$22,028	\$18,422,049	
D	Warren	\$0	\$0	\$0	\$0	\$1,462,253.00	\$0					
113	NORTHWESTERN	\$254,722	\$0	\$0	\$41,336	\$2,830,799	\$0	\$8,220	\$51,581	\$3,441	\$2,885,821	
114	DELAWARE-MADISON-UNION	\$206,344	\$0	\$0	\$33,485	\$2,292,626	\$0	\$7,197	\$42,315	\$2,787	\$2,337,728	
116	LANCASTER-FAIRFIELD	\$137,997	\$0	\$0	\$22,394	\$1,535,759	\$0	\$2,259	\$25,783	\$1,867	\$1,563,409	
117	FAYETTE	\$100,964	\$0	\$0	\$16,384	\$1,118,125	\$0	\$7,238	\$24,365	\$1,359	\$1,143,849	
119	HHWP	\$471,436	\$0	\$0	\$76,504	\$5,253,620	\$0	\$549	\$81,022	\$6,387	\$5,341,029	
120	LEADS	\$202,823	\$0	\$0	\$32,914	\$2,253,476	\$0	\$7,105	\$41,623	\$2,740	\$2,297,839	
121	LORAIN	\$263,921	\$0	\$0	\$42,829	\$2,940,583	\$0	\$840	\$45,883	\$3,575	\$2,990,041	
122	LUCAS	\$765,848	\$0	\$0	\$124,281	\$8,479,475	\$0	\$56,836	\$186,722	\$10,309	\$8,676,506	
123	MAHONING	\$667,281	\$0	\$0	\$108,286	\$7,421,544	\$0	\$15,576	\$129,257	\$9,022	\$7,559,823	
126	WSOS	\$606,787	\$0	\$0	\$98,469	\$6,757,736	\$0	\$5,000	\$108,513	\$8,215	\$6,874,464	
127	PICKAWAY	\$112,372	\$0	\$0	\$18,236	\$1,247,411	\$0	\$5,059	\$24,166	\$1,516	\$1,273,093	
128	PORTAGE	\$211,308	\$0	\$0	\$34,291	\$2,346,242	\$0	\$8,933	\$44,872	\$2,852	\$2,393,966	
129	STARK	\$431,351	\$0	\$0	\$69,999	\$4,807,413	\$0	\$0	\$73,639	\$5,844	\$4,886,896	
130	SUMMIT	\$625,213	\$0	\$0	\$101,459	\$6,958,429	\$0	\$9,739	\$116,326	\$8,459	\$7,083,214	
131	TRUMBULL	\$330,806	\$0	\$0	\$53,683	\$3,684,570	\$0	\$2,313	\$58,752	\$4,479	\$3,747,801	
132	WAYNE	\$229,110	\$0	\$0	\$37,180	\$2,553,435	\$0	\$0	\$39,113	\$3,104	\$2,595,652	

	COAD	\$3,671,790	\$0	\$595,856	\$40,839,633	\$0	\$83,908	\$709,478	\$49,648	\$41,598,759
133	Adams Brown	\$0	Adams Brown		\$2,666,828.00					
A	HAP Cap	\$0	HAP Cap		\$3,704,155.00					
B	Belmont	\$0	Belmont		\$2,315,607.00					
C	Gallia Meigs	\$0	Gallia Meigs		\$1,894,959.00					
D	GMN	\$0	GMN		\$2,327,859.00					
E	Harcatus	\$0	Harcatus		\$2,985,377.00					
F	Highland	\$0	Highland		\$1,384,464.00					
G	Ironton Lawrence	\$0	Ironton Lawrence		\$2,372,783.00					
H	Jackson Vinton	\$0	Jackson Vinton		\$2,070,569.00					
I	Jefferson	\$0	Jefferson		\$1,939,883.00					
J	KnoHoCo	\$0	KnoHoCo		\$3,565,300.00					
K	Muskingum	\$0	Muskingum		\$2,376,867.00					
L	Pike	\$0	Pike		\$1,380,380.00					
M	Ross	\$0	Ross		\$1,739,768.00					
N	Scioto	\$0	Scioto		\$2,658,660.00					
O	Washington Morgan	\$0	Washington Morgan		\$2,344,195.00					
P	Columbiana	\$0	Columbiana		\$2,258,432.00					
R	MIAMI	\$163,044		\$26,459	\$1,817,134	\$0	\$0	\$27,834	\$2,209	\$1,847,177
134	VAN WERT	\$96,178		\$15,608	\$1,071,907	\$0	\$0	\$16,419	\$1,303	\$1,089,629
136	CLERMONT	\$186,544		\$30,272	\$2,069,502	\$0	\$9,698	\$41,398	\$2,516	\$2,113,416
137	GROUND LEVEL SOLUTIONS	\$336,118		\$54,545	\$3,745,057	\$0	\$996	\$58,362	\$4,553	\$3,807,972
138	EANDC	\$160,881		\$26,708	\$1,786,390	\$0	\$6,742	\$34,705	\$2,172	\$1,822,667
139	MORPC	\$405,727		\$65,841	\$4,452,581	\$0	\$70,402	\$138,605	\$5,413	\$4,596,599
140	Ground Level Solutions R-M	\$255,222		\$41,417	\$2,836,611	\$0	\$7,971	\$51,421	\$3,449	\$2,891,481
144	IMPACT CAA	\$880,579		\$142,900	\$9,813,020	\$0	\$1,073	\$151,386	\$11,930	\$9,976,336
145										
		\$18,486,638	\$0	\$3,000,001	\$205,644,252	\$0	\$396,167	\$3,546,167	\$250,000	\$209,440,419

**Office of Community Services  
American Recovery and Reinvestment Act of 2009 (ARRA)  
Home Weatherization Assistance Program (HWAP)  
Formula Methodology**

The Office of Community Services (OCS) provided an ARRA HWAP allocation to all current weatherization providers (sub-grantee network). The OCS policy decision to use the existing network was consistent with U.S. Department of Energy (DOE) guidance to give "...preference to activities that can be started and completed expeditiously..." As such, working closely with existing experienced weatherization providers will enable funds to be expended quickly and low-income households to be served on a timely basis. Nevertheless, OCS did include flexibility in the ARRA HWAP guiding principles (see attached) to add and change sub-grantees to meet the Recovery Act goals

To determine an ARRA HWAP allocation level for each weatherization provider (see attached allocation tables), the following methodology was used:

1. 20% (\$53,356,279) of the total allocation was reserved for year three of the ARRA HWAP grant period.
2. 80% (\$213,425,130) of the total allocation was then used to determine dollar levels for administration, training and technical assistance. The portion of administration and technical assistance to be used by OCS is \$7,780,895 (\$3,043,644 administration and \$4,737,331 training and technical assistance) and was subtracted from the 80% allocation figure to arrive at a base allocation funding level (\$205,644,252) to determine weatherization provider allocations.
3. Each weatherization provider's allocation was then determined based on an iterative process as follows:
  - Iteration 1
    - 75% of the base allocation (\$205,644,252) was used to determine an initial funding level which was the equivalent percentage of weatherization dollars received by each specific weatherization provider in 1994. In other words, the percent of ARRA HWAP funds received by a weatherization provider was equivalent to the percent of HWAP funds received in 1994.
  - Iteration 2
    - 25% of the base allocation was then used to allocate funds to each provider based on two specific criteria:
      - The number of households at or below 200% of the federal poverty level in the geographic territory of the provider as a percent of all households in the state at or below 200% of the federal poverty level.
      - The number of eligible households in the geographic territory of the weatherization provider having a high energy burden. Eligible households with a high energy burden are those households expending 25% or more of the annual household income to pay for home heating and cooling expenditures.
      - The percent of households at or below the federal poverty level and percent of households with a high home energy burden were weighted at 40% and 60% respectively to arrive at an allocation level for each weatherization provider.
4. The dollar figures for each provider from Iteration 1 and Iteration 2 were then combined resulting in a final allocation for each weatherization provider.

## PUBLIC RECORDS PROCEDURE

### Public Records

Ohio law requires that the Ohio Department of Development (the "Department") organize and maintain "public records" in a manner that allows them to be readily available for inspection or copying. "Public records" are documents, whether in paper or electronic form, that are created or maintained by the Department and are "necessary for the adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency and for the protection of the legal and financial rights of the state and persons directly affected by the agency's activities."

Record retention protocols are essential to comply with the public records laws. The Department's Assistant Legal Counsel serves as Agency Records Officer. Each division must designate a Records Coordinator, who has primary responsibility for the division's compliance with record retention requirements. Record retention schedules are to be reviewed and updated regularly.

### Public Record Requests

#### *The Request*

Ohio law is very flexible about the form of public record requests. Public record requests may be made in writing or verbally, including by phone, e-mail, fax, mail or in person. There is no particular form that must be used to submit a record request, and there is no specific Department employee to whom a record request must be submitted. The requester needs only to state the request with sufficient clarity to allow the Department to identify, retrieve and review responsive records.

In the event that a requester makes an ambiguous or overly broad request, or states a request in such a way that the Department cannot reasonably identify what public records are being requested, the Department may deny the request as stated but must also provide the requester with an opportunity to revise the request to make it clear. This opportunity to revise the request requires the Department to inform the requester of the manner in which records are maintained and accessed in the ordinary course of the Department's business.

As a general rule, ***no one in the Department may require*** a requester (1) to make a request in writing, (2) to identify her/himself, or (3) to explain the reason for the request. If having any of that information would enhance the Department's ability to identify, locate, or deliver public records in response to the request, the requester may be asked to put the request in writing, provide his/her name and address or explain the purpose for the request or intended use of the information but ***only after*** the Department tells the requester that a written request is not mandatory and that the requester may decline to reveal his/her identity and the intended use of the records.

***All public record requests should be referred immediately to the Legal Office, which will coordinate the response.***

#### *The Response*

Responses to public record requests must be provided promptly, and responsive records must be made available for inspection during regular business hours. A requester may choose to have copies of public records made instead of or in addition to reviewing records at the Department. When requested, copies of public records must be made available within a reasonable amount of time.

First step: notify the Legal Office. The Legal Office will assist in organizing the response to all record requests. There may be various sources of responsive records, and the response is not completed until all potential sources have been surveyed and responsive records obtained. The Legal Office will coordinate notice to the Communications Director, Chief of Staff and any other Department personnel who should participate in, or be aware of, record requests received by the Department.

All responsive records must be reviewed by the Legal Office to ensure that exempt information (explained further below) is protected from disclosure. Some requests involve many responsive records. Each request must be evaluated to determine the estimated length of time that will be necessary to gather responsive records and a reasonable time for Legal to complete its review for exempt information.

Ohio law does not require the Department to create new records to respond to a public records request. If the Department determines that responsive records do not exist, the Legal Office will notify the requester of that determination.

### ***Some Records Exempt from Release***

Not all records are subject to disclosure. Ohio law specifically prohibits disclosure of certain records, including, for example, some information obtained from private individuals and companies that receive financial assistance from the Department. The Legal Office reviews responsive records and withholds (or redacts) protected information. Whenever information is redacted from a responsive record, the redaction must be clearly visible or the requester must be told that information was redacted from the document. Only the specific information exempt from disclosure may be redacted. It is the Department's practice to strike-through redacted information so that it is obvious to the requester where information has been withheld. Any redaction not authorized or required by state or federal law is considered a denial of a public record request.

### ***Denial of a Request***

If a public record request is ultimately denied, the Department must provide an explanation for the denial, including legal authority. If the initial request for records was made in writing, the denial notice must also be in writing. All denial notices must be written or expressly approved by the Legal Office.

### ***Costs***

The Department may charge a fee to recover the reasonable cost for copies, compact discs and cases, postage and mailing supplies. No time-related charges may be imposed in connection with a public records request. The Department's current charge for copying is \$0.10 per page. Charges under \$1.00 are waived.

### ***Failure to Properly Respond***

If the Department fails to respond properly to a public record request, the Department may be liable to the requester for attorney fees, court costs and damages. In certain situations, the law provides for an award of damages of up to \$100 for each business day that the Department fails to comply with a proper request (up to a maximum of \$1000).

### ***Compliance***

The Department's compliance with the Ohio public records law is subject to review by the State Auditor in the course of an annual or biennial audit. The Auditor must confirm that the Department has created and distributed a public records policy and complied with certain training requirements.

**Department of Energy**

Golden Field Office  
1617 Cole Boulevard  
Golden, Colorado 80401-3393

April 13, 2010

Mr. William Graves  
Director  
Community Development Division  
Ohio Department of Development  
P.O. Box 1001  
Columbus, OH 43216-1001

**Subject: DOE On-Site Monitoring Report of Ohio's Weatherization Assistance Program**

Dear Mr. Graves:

On March 23-26, 2010, Mr. Michael Peterson, Project Officer and Pete Davis, Project Officer, of the United States Department of Energy Golden Field Office, conducted an on-site monitoring assessment of the State of Ohio's Weatherization Assistance Program (WAP). Thank you for the cooperation and assistance your staff provided during the visit.

The monitoring assessment included a review of administrative, financial, and programmatic aspects of the Ohio WAP, as well as a visit to two subgrantee agencies. Please find enclosed the DOE Monitoring Report, which summarizes observations and recommendations made during the monitoring visit. Please submit a response within the next 15 days indicating what follow-up actions will be taken on the observations and recommendations contained in the report. Please note that there were no findings or corrective actions cited during the visit.

Please contact Mr. Peterson or me if you have any questions or concerns about this report. We may be reached at [michael.peterson@go.doe.gov](mailto:michael.peterson@go.doe.gov) (720-356-1596) and [pete.davis@go.doe.gov](mailto:pete.davis@go.doe.gov) (720-356-1606) respectively.

We look forward to continued interaction with you and your staff in the effective implementation and operation of the Weatherization Assistance Program.

Sincerely,

A handwritten signature in cursive script that reads "Pete Davis".

Pete Davis  
Branch Chief

cc Nick Sunday, Ohio Department of Development  
Don Skaggs, Ohio Department of Development  
Nick Milano, Ohio Department of Development  
Charles Tomasiak, Contract Specialist, NETL  
Michael Peterson, Project Officer



# **U.S. Department of Energy 2009 American Reinvestment and Recovery Act (ARRA)**

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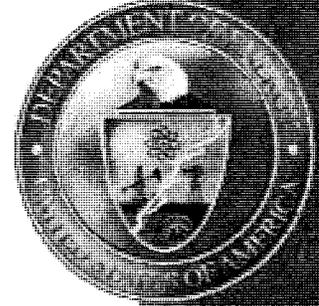
**Office of Energy Efficiency and Renewable Energy  
Weatherization and Intergovernmental Program  
Golden Field Office**

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**On-site Monitoring Report for State of Ohio  
Dates of Visit: March 23-26, 2010**

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**April 13, 2010**



## **1 Programmatic and Administrative Management**

### **1.1 Organization**

An organizational chart for the Ohio Department of Development Office of Community Services (ODOD/OCS) was provided to us during our visit on March 26, 2010. A review of the organizational chart and the positions in the approved grant budget was performed.

### **1.2 DOE Organizational Observations**

Ohio has done a tremendous job of ramping up in support of the American Recovery and Reinvestment Act (ARRA). At the time of our visit, they were in the process of hiring a Training Liaison. This will be the last direct hire ARRA position.

### **1.3 General Administration and Program Management**

#### **1.3.1 20% Performance Fund**

Ohio has awarded 80 percent of funds earmarked for subgrantees. The remaining 20 percent was placed into a Subgrantee Performance Fund. Subgrantees may receive their 20 percent share following their expenditure of their original 80 percent allocation by March 31, 2011 and may be eligible to receive additional funds should other agencies be unable to access their 20 percent share. The basic outline was set out in the original State Application and the State was developing criteria for non-performance at the time of the visit

#### **1.3.2 Plan Development**

The ODOD/OCS has continued to utilize WinSAGA to capture the on-file information. DOE appreciates the efforts to maintain and update the information in a timely manner.

In the future, Ground Level Solutions is not eligible for additional subgrantee administrative funds because they should not be able to count two separate service areas as two subgrantees. The public hearing should recognize temporary service provider status until a permanent provider has been designated.

#### **1.3.3 Vehicle and Equipment Purchases**

Technical assistance was provided to Ohio regarding proper subgrantee procurement procedures for vehicles and equipment. Since ramp up has almost peaked, Ohio subgrantees should be considering the greater use of lease options from now on.

#### **1.3.4 Feedback and Reporting**

Quarterly financial and program reporting as well as annual reports are submitted in a timely manner and are compliant with Office of Management and Budget (OMB) Guidance. ODOD/OCS has demonstrated a solid understanding of the parameters used in job creation reporting and is only reporting the ARRA full-time equivalents as required. ODOD/OCS has provided guidance to their Subgrantees for their use in providing ODOD/OCS the correct information needed for required reporting.

## ***1.4 Technical Management and Administration***

### **1.4.1 Energy Audits**

Ohio's single-family dwelling audit was approved September 28, 2006 and the mobile home energy audit was approved April 1, 2009. The single-family audit is at the end of the five-year waiver audit approval. The ODOD/OCS will submit an updated energy audit process for approval during the 2010 Program Year.

### **1.4.2 Field Work**

A consistent basis for weatherization services has been established by developing a Weatherization Field Guide, Ohio Weatherization Program Standards and a three volume HWAP Policy and Procedure Manual.

### **1.4.3 Rental Property**

Qualifying rental properties are being weatherized in the program and standard agreements are provided for the Subgrantee's use. The agreement is available in Volume II, Section C.4 of the HWAP Policies and Procedures Manual.

### **1.4.4 Health and Safety**

Ohio's health and safety plan complies with WPN 02-5 and subsequent modifications including lead safe weatherization and preparation for the Environmental Protection Agency's LRRPP certified renovator/firm requirements.

## ***1.5 Monitoring***

Ohio has eight technical monitors, two administrative monitors and two financial auditors. This appears to be sufficient to meet ARRA expectations. The State of Ohio concurs. Reports and follow up are occurring in a timely manner. Each subgrantee will receive at least one administrative monitoring annually. Ohio will inspect a minimum of five percent of client files and completed units at each subgrantee over the course of the ARRA award.

## ***1.6 Training and Technical Assistance (T&TA)***

### **1.6.1 Technical Training**

- Technical training is provided primarily by the Ohio Weatherization Training Center. The main facility is in Athens with satellite centers in four other Ohio cities.
- Eight Technical Monitors also provide technical training as part of their on-site monitoring efforts.
- DOE continues to support Ohio's on-going commitment to program evaluation.

### **1.6.2 Program Management Training**

Program Management Training is carried out at the Annual Energy Coordinator Training as well as one-on-one assistance through telephone calls, e-mails, and on-site visits.

### 1.6.3 Procurement Training

Procurement Training is carried out at the Annual Energy Coordinator Training as well as one-on-one assistance through telephone calls, e-mails, and on-site visits.

### 1.6.4 Inventory Control Training

Inventory Control Training is carried out at the Annual Energy Coordinator Training as well as one-on-one assistance through telephone calls, e-mails, and on-site visits.

### 1.6.5 Health and Safety Training

Health and Safety Training is carried out at the Ohio Training Center and during on-site monitoring visits.

### 1.6.6 Davis Bacon Compliance Training

Davis Bacon Training is carried out during Quarterly Stakeholder Meetings and during Administrative Monitoring.

## 1.7 Local Agency Visit and Observations

On this monitoring trip, DOE visited two subgrantees: 120 – Licking Economic Action Development Study (LEADS) and 138 – Ground Level Solutions (Franklin County).

#### Units Visited During DOE On-Site Monitoring - LEADS

Job Number	Address	Weatherization Status
ARRA 118-1	Trail West Apts. Bldg. G, Newark	In-Progress
ARRA 118-5	Trail West Apts. Bldg. G, Newark	In-Progress
ARRA 118-8	Trail West Apts. Bldg. G, Newark	In-Progress
ARRA 110-8	Trail West Apts. Bldg. E, Newark	Completed Unit
ARRA 059	47 Lancaster, Heath	Completed Unit

#### Units Visited During DOE On-Site Monitoring – Ground Level Solutions

Job Number	Address	Weatherization Status
A014	416 S. Weyant St., Columbus	Completed Unit
A027	411 Mayflower Blvd., Columbus	Completed Unit

While looking through the client files at the Subgrantees, it was confirmed the “Renovate Right” brochure was distributed and a client signature obtained prior to the start of weatherization work.

### 1.7.1 DOE Job File Review Observations of Subgrantees

Client files generally contained expected and required information. Each client file contained a checklist with sign-offs to assure consistency.

## 1.7.2 DOE On-Site Observations of Subgrantees

- LEADS weatherization workers appeared to be following appropriate health and safety protocols while weatherizing a multi-family unit.
- DOE monitors observed multiple combustion appliance safety tests performed by LEADS staff in one apartment unit. LEADS staff appeared competent and aware of Ohio program standards.
- Both Ground Level Solution and LEAD's clients were very appreciative and praised the work performed.
- While Ohio appears to have consistent standards and processes established, minor inconsistencies in implementation were observed at the subgrantee level such as: the decision whether or not to wrap a water heater, the lack of consistent implementation of base-load measures and the installation of depth markers in attics.

## 1.8 Ohio's Progress towards Releasing the Remaining 50% of ARRA Funds

### 1.8.1 30% of Estimated ARRA Production

Ohio anticipates that they will meet the 30 percent threshold at the end of April 2010.

### 1.8.2 State Plan Monitoring and Inspection Protocols

The level of review, the qualitative analysis of effectiveness and process for follow-up meet or exceed DOE minimum requirements.

### 1.8.3 Annual Subgrantee Monitoring Requirements

Ohio is currently behind, but the State has a workable plan in place to satisfy the requirement.

### 1.8.4 Local Quality Control Efforts

All local providers are incumbents, so local quality control efforts appear sound.

### 1.8.5 Grantee Monitoring of Completed Units

To date Ohio has monitored 312 completed units. The State must approach 500 monitored units to reach the 5% threshold based on 30 percent of their estimated ARRA production.

### 1.8.6 Grantee Reporting

Ohio's reports have been submitted on time and accurately.

### 1.8.7 Monitoring Reviews Confirm Acceptable Performance

The Project Officer is expected to conduct a monitoring visit within one month of the request.

## 2 Financial and Administrative Management

### 2.1 Financial Management and Administration

The State of Ohio's Financial Process Manual may be found at:

<http://obm.ohio.gov/SectionPages/StateAccounting/>

It appears the State policies and procedures the ODOD/OCS follows for accounting, reporting, payroll and personnel, procurement, and record retention are adequate to provide sufficient checks and balances to detect any potential financial problems.

A more thorough review of Ohio's financial procedures than was conducted falls under the purview of the Contract Specialists within the Contracting Office at the National Energy Technology Laboratory (NETL). They are responsible for monitoring DOE Weatherization Grantees for financial compliance against Grantee policies and procedures and Federal regulations. This report will be shared with the appropriate NETL personnel. They may conduct a desk monitoring and may also want to follow-up with ODOD/OCS staff via phone and email or possibly perform an on-site monitoring visit of their own.

### 2.2 Accounting Management Systems

The Ohio Administrative Knowledge System (OAKS) is the financial management and accounting system. The most recent audit was completed by the State Auditor's office in October 2009.

### 2.3 Payroll and Personnel

Certified Davis Bacon payrolls are tracked weekly by individual Subgrantees and their contractors. The files are reviewed for compliance and accuracy by State staff. Guidance and training is provided to individual subgrantees as necessary.

Current Davis Bacon wage determinations are being utilized and the Grantee's award contract has been amended to include the latest revisions to the wage determinations and the required clauses. At the time of the monitoring, Ohio was in the final stages of issuing a contract amendment for the latest revised wage determination.

Since July 1, 2009, any program staff time charged to DOE weatherization have had their time billed to ARRA as Ohio is operating consecutive and not concurrent programs. All costs incurred by ODOD/OCS staff are reviewed for allowance and compliance by the accounting staff.

### 2.4 Equipment

ODOD/OCS maintains a separate inventory list for each subgrantee for all vehicles and equipment. Subgrantees are required to submit their inventory lists annually. A copy of the HWAP Equipment Listing was reviewed. No findings were noted.

### 2.5 Supplies and Materials

The Grantee collects and maintains documentation of all ARRA payments totaling more than \$25,000 to any one particular vendor detailing products and/or services received by said vendor. The vendor's identity is reported via a name and/or a DUNS number and the vendor's ZIP code.

## 2.6 Record Retention

Pursuant to 10 CFR 440.24 and 440.25, ODOD/OCS and each WAP Subgrantee receiving federal financial assistance must keep proper records and issue reports to account for said funds. Procedures are in place to retain ARRA records for a period of at least three years after the submission of the Grantee's final report to DOE of the ARRA grant and the proper disposal of the records after the retention period ends.

## 3 Success Story

Ramp up for the ARRA Weatherization Assistance Program has been a great success in Ohio. A tremendous amount of cooperation was received from the Governor's Office early in the process. This enabled Ohio to hire necessary personnel at the State level. As a result, Ohio began ARRA production on July 1, 2009 and remains one of the national leaders in the production and expenditure of ARRA weatherization funds.

## 4 In Closing

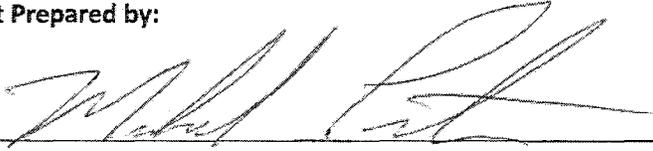
The purpose of our monitoring visit was to review and evaluate the condition of the program as well as provide technical assistance whenever we could as time allowed. In addition to the comments in this report, we made several suggestions and recommendations that are not mentioned in this report, but were noted by the Weatherization staff.

Our review of Ohio's Weatherization Assistance Program indicates that it is generally in compliance with DOE administrative and programmatic requirements. The ODOD/OCS staff showed cooperation when asked to provide supporting documentation and made themselves available as necessary to answer questions.

There were no DOE findings resulting from this monitoring visit, therefore there are no specific responses to findings required. Additionally, there were no follow-up items from the previous DOE monitoring in April of 2009.

Ohio has been responsive to the numerous DOE requests for information, on-site visits and other demands on their time and resources. The State has been one of the national leaders in responding to the urgency of the Recovery Act. Ohio would like to see more effective communication and have greater opportunity to participate and provide input. Ohio has been operating exclusively with ARRA funds since July 1, 2009. During the entrance conference senior Ohio officials made the point that DOE must be cognizant of the problems and consequences of Ohio's operating ARRA and Formula Grant programs concurrently. Secondly, Ohio expressed great interest in any redistribution policy between states that may be forthcoming. They stressed that the more lead time and up-front information, the better.

Report Prepared by:



Michael Peterson  
Project Officer  
Weatherization Assistance Program - U.S. Department of Energy  
Golden Field Office, 1617 Cole Boulevard, Golden, CO 80401

4/13/2010  
Date

Report Prepared by:



Pete Davis  
Branch Chief  
Weatherization Assistance Program - U.S. Department of Energy  
Golden Field Office, 1617 Cole Boulevard, Golden, CO 80401

4-13-10  
Date

Subgrantee Pass Rates for Homes Weatherized			
Agency	% Pass Rate		Notes
	Program Year 2009	Program Year 2010	
Adams-Brown County Community Action Committee	89%	88%	
Ashtabula County Community Action Agency	82%	95%	
Board of Van Wert County Commissioners	100%	100%	
Butler, Darke, Greene, Montgomery and Preble Counties	89%	100%	Failed to increase both number of units and frequency of inspections
CAP Corporation of Washington-Morgan Counties	No Report	100%	
Cincinnati-Hamilton County Community Action Agency	71%	79%	Failed to increase number of housing units inspected
Clermont County Community Services	89%	80%	Failed to increase both number of units and frequency of inspections
Cleveland Housing Network	95%	100%	
Clinton County Community Action Program	75%	94%	Failed to increase frequency of inspections
Community Action Agency of Columbiana County	No Report	100%	
Community Action Committee of Belmont County	100%	100%	
Community Action Committee of Fayette County	75%	100%	Failed to increase number of housing units inspected
Community Action Committee of Pike County	No Report	80%	
Community Action Council of Portage County	100%	90%	
Community Action of Wayne-Medina	100%	82%	
Community Action Organization of DMU (Delaware, Madison, Union)	71%	83%	
Community Action Organization of Scioto County	90%	100%	
Community Housing Solutions	100%	No Report	
Cudell Improvement, Inc.	100%	100%	
Cuyahoga Community Department of Development	65%	100%	Failed to increase frequency of inspections
Detroit Shoreway Community Development Corporation	100%	100%	
East Akron Neighborhood Development Corporation	13%	100%	Failed to increase number of housing units inspected
Fairfax Renaissance Development Corporation	50%	100%	
Gallia-Meigs Community Action Agency	100%	100%	
Ground Level Solutions	86%	100%	Failed to increase frequency of inspections
Ground Level Solutions-Richland/Morrow	88%	100%	Failed to increase both number of units and frequency of inspections
Guernsey-Monroe-Noble Tri-County Community Action Committee	14%	70%	
Hancock-Hardin-Wyandot-Putnam Community Action Committee	88%	93%	Failed to increase number of housing units inspected
Harrison-Carroll-Tuscarawas Tri-County Community Action Committee	0%	100%	
Highland County Community Action Organization	80%	100%	
Hocking-Athens-Perry Community Action Agency	83%	100%	Failed to increase both number of units and frequency of inspections
IMPACT Community Action	98%	33%	
Ironton-Lawrence County Area Community Action Organization	83%	91%	
Jackson-Vinton Community Action, Inc.	No Report	86%	
Jefferson County Community Action Committee	86%	78%	
Knox-Holmes-Coshocton-Ashland Community Action Commission	80%	100%	Failed to increase frequency of inspections
Lancaster-Fairfield Community Action Agency	100%	100%	
Licking Economic Action Development Study	83%	100%	Failed to increase both number of units and frequency of inspections
Lorain County Community Action Agency	43%	84%	
Mahoning-Youngstown Community Action Partnership	36%	42%	Failed to increase both number of units and frequency of inspections
Miami County Community Action Council	90%	100%	
Mid-Ohio Regional Planning Commission	100%	100%	
Mount Pleasant NOW Development Corporation	80%	95%	
Muskingum Economic Opportunity Action Group	83%	100%	Failed to increase both number of units and frequency of inspections
Neighborhood Housing Services of Toledo	74%	92%	
Northwestern Ohio Community Action Committee	75%	100%	Failed to increase both number of units and frequency of inspections
Ohio Heartland Community Action Committee	50%	100%	Failed to increase frequency of inspections
Pickaway County Community Action Organization	100%	100%	
Ross County Community Action Commission	No Report	71%	
Sources Community Network Services	100%	100%	
Stark County Community Action Agency	91%	97%	
Summit County Department of Development	97%	100%	
Tri-County Community Action Committee - Champaign-Logan-Shelby	75%	100%	Failed to increase number of housing units inspected
Trumbull County Action Program	73%	92%	
Warren County Community Services, Inc.	71%	No Report	
WSOS Community Action Committee	100%	100%	

Source: Technical Monitor Reports, Ohio Department of Development Office of Community Assistance

### Inspected Weatherized Homes with Required or Recommended Actions Program Years 2009 and 2010

Agency	Units Inspected	Units Requiring Additional Work	% Requiring Actions
Adams-Brown County Community Action Committee	35	32	91%
Ashtabula County Community Action Agency	36	24	67%
Board of Van Wert County Commissioners	66	3	5%
Butler, Darke, Greene, Montgomery and Preble Counties	69	64	93%
CAP Corporation of Washington-Morgan Counties	20	19	95%
Cincinnati-Hamilton County Community Action Agency	49	31	63%
Clermont County Community Services	14	8	57%
Cleveland Housing Network	51	11	22%
Clinton County Community Action Program	28	21	75%
Community Action Agency of Columbiana County	3	0	0%
Community Action Committee of Belmont County	15	9	60%
Community Action Committee of Fayette County	8	4	50%
Community Action Committee of Pike County	5	4	80%
Community Action Council of Portage County	16	10	63%
Community Action of Wayne-Medina	18	14	78%
Community Action Organization of DMU (Delaware, Madison, Union)	19	12	63%
Community Action Organization of Scioto County	41	8	20%
Community Housing Solutions	73	70	96%
Cudell Improvement, Inc.	25	3	12%
Cuyahoga Community Department of Development	121	14	12%
Detroit Shoreway Community Development Corporation	19	2	11%
East Akron Neighborhood Development Corporation	14	14	100%
Fairfax Renaissance Development Corporation	15	6	40%
Gallia-Meigs Community Action Agency	18	9	50%
Ground Level Solutions	16	7	44%
Ground Level Solutions-Richland/Morrow	10	10	100%
Guernsey-Monroe-Noble Tri-County Community Action Committee	17	13	76%
Hancock-Hardin-Wyandot-Putnam Community Action Committee	31	23	74%
Harrison-Carroll-Tuscarawas Tri-County Community Action Committee	23	13	57%
Highland County Community Action Organization	16	5	31%
Hocking-Athens-Perry Community Action Agency	14	10	71%
IMPACT Community Action	68	68	100%
Ironton-Lawrence County Area Community Action Organization	17	13	76%
Jackson-Vinton Community Action, Inc.	7	1	14%
Jefferson County Community Action Committee	16	9	56%
Knox-Holmes-Coshocton-Ashland Community Action Commission	45	43	96%
Lancaster-Fairfield Community Action Agency	10	4	40%
Licking Economic Action Development Study	8	3	38%
Lorain County Community Action Agency	32	12	38%
Mahoning-Youngstown Community Action Partnership	34	33	97%
Miami County Community Action Council	12	4	33%
Mid-Ohio Regional Planning Commission	17	2	12%
Mount Pleasant NOW Development Corporation	30	5	17%
Muskingum Economic Opportunity Action Group	7	7	100%
Neighborhood Housing Services of Toledo	59	48	81%
Northwestern Ohio Community Action Committee	15	11	73%
Ohio Heartland Community Action Committee	18	17	94%
Pickaway County Community Action Organization	10	3	30%
Ross County Community Action Commission	7	3	43%
Sources Community Network Services	17	3	18%
Stark County Community Action Agency	50	43	86%
Tri-County Community Action Committee - Champaign-Logan-Shelby	15	11	73%
Trumbull County Action Program	23	22	96%
Warren County Community Services, Inc.	7	3	43%
WSOS Community Action Committee	138	3	2%

Source: Technical monitor reports, Ohio Department of Development Office of Community Assistance

**Number of Days Between Site Inspections and Report Issuance  
by Technical Monitors in Program Year 2009**

Agency	Site Visit Date*	Letter Date	Days
Adams-Brown County Community Action Committee	2/24/2010	4/2/2010	37
Ashtabula County Community Action Agency	12/17/2009	2/8/2010	53
	5/27/2010	6/9/2010	13
Board of Van Wert County Commissioners	7/19/2009	12/18/2009	152
	10/8/2009	12/8/2009	61
Cincinnati-Hamilton County Community Action Agency	6/9/2010	9/21/2010	104
	12/8/2009	1/13/2010	36
Clermont County Community Services	6/28/2010	9/15/2010	79
	6/22/2010	9/21/2010	91
Cleveland Housing Network	10/2/2009	11/15/2009	44
	6/3/2010	10/8/2010	127
Clinton County Community Action Program	1/7/2010	1/14/2010	7
Community Action Committee of Belmont County	4/27/2010	7/26/2010	90
Community Action Committee of Fayette County	11/18/2009	11/23/2009	5
Community Action Council of Portage County	6/24/2010	7/15/2010	21
Community Action of Wayne-Medina	5/4/2010	5/12/2010	8
Community Action Organization of DMU (Delaware, Madison, Union)	6/17/2010	9/30/2010	105
	2/5/2010	2/22/2010	17
Community Action Partnership of Greater Dayton	3/9/2010	5/10/2010	62
	4/27/2010	6/14/2010	48
Community Housing Solutions	6/9/2010	10/7/2010	120
Cudell Improvement, Inc.	6/8/2010	7/29/2010	51
Cuyahoga Community Department of Development	10/23/2009	11/18/2009	26
	6/25/2010	9/28/2010	95
Detroit Shoreway Community Development Corporation	10/30/2009	12/9/2009	40
East Akron Neighborhood Development Corporation	1/28/2010	4/7/2010	69
Fairfax Renaissance Development Corporation	10/30/2009	12/9/2009	40
Gallia-Meigs Community Action Agency	5/28/2010	9/22/2010	117
Ground Level Solutions	1/27/2010	4/28/2010	91
Ground Level Solutions-Richland/Morrow	1/8/2010	2/11/2010	34
Guernsey-Monroe-Noble Tri-County Community Action Committee	10/29/2009	12/7/2009	39
Hancock-Hardin-Wyandot-Putnam Community Action Committee	12/10/2009	2/3/2010	55
	6/25/2010	10/5/2010	102
Harrison-Carroll-Tuscarawas Tri-County Community Action Committee	1/25/2010	1/26/2010	1
Highland County Community Action Organization	6/24/2010	6/24/2010	0
Hocking-Athens-Perry Community Action Agency	6/21/2010	7/28/2010	37
	5/17/2010	8/11/2010	86
IMPACT Community Action	9/23/2009	10/30/2009	37
	3/3/2010	4/28/2010	56
	5/25/2010	9/28/2010	126
Ironton-Lawrence County Area Community Action Organization	5/18/2010	5/24/2010	6
Jefferson County Community Action Committee	9/15/2009	10/8/2009	23
	3/16/2010	3/16/2010	0
Knox-Holmes-Coshocton-Ashland Community Action Commission	3/9/2010	5/4/2010	56
	12/4/2009	1/13/2010	40
Lancaster-Fairfield Community Action Agency	9/10/2009	9/15/2009	5
Lorain County Community Action Agency	5/12/2010	8/27/2010	107
Mahoning-Youngstown Community Action Partnership	10/16/2009	12/2/2009	47
	6/30/2010	9/30/2010	92
Miami County Community Action Council	5/11/2010	7/7/2010	57
Mid-Ohio Regional Planning Commission	5/20/2010	7/15/2010	56
Mount Pleasant NOW Development Corporation	6/17/2010	9/27/2010	102
Muskingum Economic Opportunity Action Group	4/20/2010	4/20/2010	0

Source: Technical Monitor Reports, Ohio Department of Development Office of Community Assistance

(Cont.)

\*Used last date of site visit if it occurred over multiple days

**Number of Days Between Site Inspections and Report Issuance  
by Technical Monitors in Program Year 2009**

Agency	Site Visit Date*	Letter Date	Days
Neighborhood Housing Services of Toledo	10/13/2009	11/20/2009	38
	11/17/2009	12/2/2009	15
	2/2/2010	2/11/2010	9
Northwestern Ohio Community Action Committee	3/31/2010	7/15/2010	106
	6/3/2010	8/6/2010	64
Ohio Heartland Community Action Committee	10/21/2009	12/8/2009	48
Pickaway County Community Action Organization	6/16/2010	7/28/2010	42
Sources Community Network Services	5/4/2010	5/21/2010	17
Stark County Community Action Agency	12/9/2009	12/14/2009	5
	2/25/2010	4/26/2010	60
Summit County Department of Development	6/1/2010	6/18/2010	17
	1/15/2010	4/29/2010	104
Tri-County Community Action Committee - Champaign-Logan-Shelby	6/10/2009	8/18/2009	69
	11/17/2009	12/28/2009	41
Warren County Community Services, Inc.	6/15/2010	7/27/2010	42
	10/26/2009	11/4/2009	9
WSOS Community Action Committee	12/21/2009	12/28/2009	7

Source: Technical Monitor Reports, Ohio Department of Development Office of Community Assistance

\*Used last date of site visit if it occurred over multiple days

**Number of Days Between Site Inspections and Report Issuance  
by Technical Monitors in Program Year 2010**

Agency	Site Visit Date*	Letter Date	Days
Adams-Brown County Community Action Committee	1/13/2011	1/31/2011	18
	2/22/2011	3/1/2011	7
	3/30/2011	4/7/2011	8
Ashtabula County Community Action Agency	12/7/2010	12/9/2010	2
	3/31/2011	4/7/2011	7
Board of Van Wert County Commissioners	12/1/2010	1/26/2011	56
CAP Corporation of Washington-Morgan Counties	2/24/2011	4/5/2011	40
	3/24/2011	4/19/2011	26
Cincinnati-Hamilton County Community Action Agency	12/1/2010	12/20/2010	19
	2/9/2011	3/11/2011	30
Clermont County Community Services	1/4/2011	1/25/2011	21
Cleveland Housing Network	3/22/2011	4/13/2011	22
Clinton County Community Action Program	1/11/2011	1/21/2011	10
	3/18/2011	4/14/2011	27
Community Action Agency of Columbiana County	3/23/2011	4/25/2011	33
Community Action Committee of Belmont County	12/7/2010	1/7/2011	31
	3/29/2011	4/21/2011	23
Community Action Committee of Fayette County	2/23/2011	2/25/2011	2
	3/28/2011	4/18/2011	21
Community Action Committee of Pike County	1/18/2011	2/3/2011	16
Community Action Council of Portage County	7/14/2010	8/6/2010	23
	3/25/2011	4/25/2011	31
Community Action of Wayne-Medina	10/5/2010	10/26/2010	21
	3/22/2011	3/28/2011	6
Community Action Organization of DMU (Delaware, Madison, Union)	1/3/2011	1/7/2011	4
	3/17/2011	3/24/2011	7
Community Action Organization of Scioto County	2/22/2011	3/1/2011	7
Community Action Partnership of Greater Dayton	9/22/2010	9/30/2010	8
Cuyahoga Community Department of Development	12/16/2010	2/18/2011	64
Detroit Shoreway Community Development Corporation	1/11/2011	3/3/2011	51
East Akron Neighborhood Development Corporation	1/31/2011	2/17/2011	17
	3/9/2011	4/8/2011	30
	11/19/2010	1/4/2011	46
Fairfax Renaissance Development Corporation	3/3/2011	4/21/2011	49
	3/24/2011	4/14/2011	21
Gallia-Meigs Community Action Agency	11/4/2010	11/16/2010	12
	3/29/2011	4/19/2011	21
Ground Level Solutions	2/18/2011	3/3/2011	13
Ground Level Solutions-Richland/Morrow	2/17/2011	2/23/2011	6
Guernsey-Monroe-Noble Tri-County Community Action Committee	12/17/2010	2/7/2011	52
	2/25/2011	4/12/2011	46
	1/24/2011	2/11/2011	18
Hancock-Hardin-Wyandot-Putnam Community Action Committee	3/9/2011	3/17/2011	8
	3/30/2011	4/25/2011	26
Harrison-Carroll-Tuscarawas Tri-County Community Action Committee	2/17/2011	3/30/2011	41
	3/31/2011	4/21/2011	21
	2/25/2011	2/28/2011	3
Highland County Community Action Organization	3/29/2011	4/11/2011	13
	3/29/2011	4/18/2011	20
Hocking-Athens-Perry Community Action Agency	3/21/2011	4/21/2011	31
IMPACT Community Action	12/3/2010	1/4/2011	32
Ironton-Lawrence County Area Community Action Organization	3/10/2011	3/14/2011	4
	3/24/2011	4/8/2011	15
	4/21/2011	4/25/2011	4

Source: Technical Monitor Reports, Ohio Department of Development Office of Community Assistance

(Cont.)

\*Used last date of site visit if it occurred over multiple days

**Number of Days Between Site Inspections and Report Issuance  
by Technical Monitors in Program Year 2010**

Agency	Site Visit Date*	Letter Date	Days
Jackson-Vinton Community Action, Inc.	11/16/2010	12/22/2010	36
Jefferson County Community Action Committee	2/10/2011	2/17/2011	7
	3/21/2011	3/25/2011	4
Knox-Holmes-Coshocton-Ashland Community Action Commission	3/9/2011	3/18/2011	9
Lancaster-Fairfield Community Action Agency	1/11/2011	3/3/2011	51
	3/18/2011	4/12/2011	25
Licking Economic Action Development Study	11/10/2010	12/8/2010	28
Lorain County Community Action Agency	1/21/2011	2/28/2011	38
	3/15/2011	3/22/2011	7
Mahoning-Youngstown Community Action Partnership	2/3/2011	4/5/2011	61
	3/10/2011	4/22/2011	43
Miami County Community Action Council	3/31/2011	7/7/2011	98
Mid-Ohio Regional Planning Commission	3/28/2011	4/15/2011	18
	1/12/2011	2/10/2011	29
Mount Pleasant NOW Development Corporation	1/12/2011	3/8/2011	55
	3/24/2011	4/14/2011	21
	3/31/2011	4/19/2011	19
Muskingum Economic Opportunity Action Group	2/24/2011	4/6/2011	41
	7/30/2010	10/15/2010	77
Neighborhood Housing Services of Toledo	1/13/2011	1/24/2011	11
	2/24/2011	3/3/2011	7
Northwestern Ohio Community Action Committee	3/10/2011	4/15/2011	36
	3/23/2011	4/14/2011	22
Ohio Heartland Community Action Committee	3/21/2011	3/25/2011	4
Pickaway County Community Action Organization	12/22/2010	2/8/2011	48
	3/30/2011	4/18/2011	19
Ross County Community Action Commission	11/19/2010	1/21/2011	63
Sources Community Network Services	3/9/2011	4/1/2011	23
	8/12/2010	10/25/2010	74
Stark County Community Action Agency	1/28/2011	1/31/2011	3
	3/17/2011	3/30/2011	13
Summit County Department of Development	3/17/2011	4/18/2011	32
Tri-County Community Action Committee - Champaign-Logan-Shelby	8/25/2010	9/24/2010	30
	3/11/2011	4/11/2011	31
Trumbull County Action Program	9/22/2010	10/6/2010	14
	2/10/2011	2/18/2011	8
	3/21/2011	3/24/2011	3
WSOS Community Action Committee	3/15/2011	3/25/2011	10

Source: Technical Monitor Reports, Ohio Department of Development Office of Community Assistance

\*Used last date of site visit if it occurred over multiple days

### Plans for the release of the remaining 20% ARRA funds

Ohio's HWAP ARRA State Plan is a three-year plan. The funds are allocated in an initial two-year budget (April 1, 2009 to March 31, 2011), and a new budget will be submitted for the third year (April 1, 2011 to March 31, 2012). Remaining funds from the initial budget and any unspent Base Allocation funds will be reallocated per the funding formula in the new budget. The two-year initial budget is based on allocating eighty percent (80%) of the ARRA award. The remaining twenty percent (20%) will be awarded to current grantee providers that are exceeding production goals or awarded to new providers so that production shortages can be prevented.

**The Office of Community Services (OCS) will review the HWAP provider's productivity in relation to established production goals and/or the quality of the provider's work on a monthly basis.**

At the twelfth month (June 30, 2010) or sooner in certain instances related to agency monthly production and based on the HWAP provider's specific operating and performance circumstances, OCS will take the following actions:

1. If a provider's average production for the time period July 1, 2009 through September 30, 2010 is greater than or equal to 90% of their planned production based on their actual average cost per unit, OCS will award the remaining 20% ARRA funds allocated to the provider.

The provider will be asked for the following in writing:

- A plan outlining when the 80% ARRA award will be expended.
  - A plan outlining when the 20% ARRA award will be needed. The plan must include a 30 day window for OCS to process the 20% ARRA award.
  - A plan outlining when the 20% ARRA award will be expended.
  - A plan outlining when the PY10 & 11 Formula funds will be needed. The plan must include a 30 day window for OCS to process the Formula award.
2. If a provider's average production is less than or equal to 50% of their planned production based on their actual average cost per unit for the time period July 1, 2009 to June 30, 2010 the provider will not be eligible to receive the remaining 20% ARRA award.

The provider will be asked to provide the following in writing:

- A plan outlining how and when the 80% ARRA award will be expended. All ARRA funds must be expended by March 31, 2012.
  - A plan ensuring OCS that the provider will be ready to begin using PY10 & 11 Formula funds beginning April 1, 2011 or sooner. The plan must include a 30 day window for OCS to process the Formula award.
- On October 1, 2010 or sooner, OCS will have a plan for reallocating the 20% ARRA funds left over from the providers who were in category 2 above.