

U.S. Department of Energy

STATE PLAN/MASTER FILE WORKSHEET

Identification Number: EE0006143, State: Connecticut (CT),

Program Year: 2016

V.1 ELIGIBLE POPULATION

V.1.1 APPROACH TO DETERMINING CLIENT ELIGIBILITY

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

The Weatherization Assistance Program (WAP) assists low-income persons in reducing energy-related costs and fuel usage in their homes. Households statewide with incomes falling within 60% of the state median income guidelines are income eligible to receive weatherization services. Households with family members receiving benefits from Title IV (TANF) and/or Title XVI (SSI) of the Social Security Act are categorically income eligible. The definition of "low income," in accordance with §440.14(b)(9)(xii), that the State of Connecticut (State) has chosen for determining eligibility is at or below 60% of state median income, which income level is at least 200% of federal poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget, and which is the basis for eligibility for assistance under the Low Income Home Energy Assistance Act of 1981.

Note that while the State of Connecticut's DOE WAP grantee is the Department of Energy and Environmental Protection (DEEP), the Department of Social Services (DSS) continues to administer LIHEAP in partnership with the statewide community action agency network.

Describe what household Eligibility basis will be used in the Program

LIHEAP rules are used to determine WAP client eligibility; CT uses a simultaneous, co-application process for LIHEAP energy assistance and WAP households with family members receiving benefits from Title IV (TANF) and/or (SSI) of the Social Security Act are categorically income eligible.

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

As noted above, client eligibility is determined/screened concurrent with the client's application for energy assistance benefits (LIHEAP) by the Connecticut Department of Social Services (DSS) in partnership with the statewide community action agency (CAA) network. Generally, as long as one household member is found eligible for Weatherization services, the presence of one or more qualified aliens (or lack thereof) is inconsequential WAP-wise, provided that income of any qualified alien is counted in household income calculations.

V.1.2 APPROACH TO DETERMINING BUILDING ELIGIBILITY

Procedures to determine that units weatherized have eligibility documentation:

No dwelling unit may be weatherized without documentation that the unit is eligible. At the Subgrantee level, all household income must be calculated per DOE requirements, and income and home ownership documented.

Describe Reweathering compliance

Homes weatherized by WAP prior to 10/1/94 that may not have received the full complement of Wx services may be revisited, but such instances are rare given the "first time" pool of eligible dwellings. Grantee limits and monitors the number of such dwellings that each Subgrantee may re-weatherize.

CT WAP maintains an electronic data-base of all homes weatherized under DOE WAP since 10/30/1994. Subgrantees are provided controlled access to this information for "Look Back" purposes.

Describe what structures are eligible for weatherization

Most dwellings addressed by WAP in Connecticut are single-family dwellings. However, rental, multifamily and other dwellings, including mobile homes (with a fixed mailing address) may also be eligible provided other program eligibility tests are met. Subgrantees are in frequent contact with Grantee staff, and are encouraged to seek guidance from Grantee staff in the event questions arise regarding the eligibility of any structure including nontraditional dwelling units. Most dwellings addressed by WAP in Connecticut are single-family dwellings. The Sub-grantee may not refuse to weatherize an otherwise eligible rental property. Weatherization services are to be provided to owner-occupied and rental properties alike with no priority given to either. Applicants from households who are renting shall be ranked and verified in the same manner as used with households who own the property in which they reside.

Describe how Rental Units/Multifamily Buildings will be addressed

The State of Connecticut, in accordance with 10 CFR Part 440.22(b)(3), has established procedures to ensure that benefits of weatherization assistance in rental units accrue primarily to the low income tenants residing therein. Connecticut has opted not to include weatherization of shelters in its program.

Landlords shall not increase the rent paid by eligible tenants of a rental unit that has received weatherization services for a period of two years from the date the weatherization work is completed, unless the landlord/property owner can document that the increase is due to factors other than the weatherization assistance performed. In compliance with 10-CFR 440.22(b)(3) and 440.22(e), tenants sign and receive a copy of the agreement, and therefore are aware of the

conditions of the document. Landlords will also agree to charge the same rent to all successor tenants up to the two-year period covered by the Weatherization Agreement.

The Rental Agreement specifies conditions regarding evictions and/or rent increases as a result of the weatherization work that is done. If a complaint is filed, the agency will have the property owner/landlord verify that such actions are justifiable. Legal Services is available to assist low-income households in ensuring that agreement compliance.

The State of Connecticut, in accordance with 10 CFR 440.22(b) has developed specific guidance in respect to the weatherization of multi-family and multi-unit buildings. Weatherization of multi-unit buildings requires that a percentage of the occupants of the building be eligible based on program guidelines defined in single unit eligibility with the following conditions:

For duplexes and up to four-unit buildings, 50% of the units must be occupied by eligible households.

For complexes with five or more units, 66% of the units must be occupied by eligible households.

The Sub-grantee may not refuse to weatherize an otherwise eligible rental property. Weatherization services are to be provided to owner-occupied and rental properties alike with no priority given to either. Applicants from households who are renting shall be ranked and verified in the same manner as used with households who own the property in which they reside.

Other than Health and Safety measures, weatherization work performed on all dwelling units is based on the Savings-to-Investment Ratio (SIR) of a DOE-approved energy audit. Measures installed must have an overall SIR of one or more, thereby restricting the amount of enhancement that may occur. No undue or excessive enhancement shall be allowed to affect the value of the dwelling unit.

The agreement between the local agency and the property owner/landlord, a copy of which is provided to the tenant, covers issues dealing with eviction of eligible tenants from the property. In signing the agreement, the property owner/landlord also agrees that the property is not, or will not be, for sale within six months of the agreement date. If the property is listed for sale, no weatherization work will be done.

The State will seek financial participation from property owners/landlords. Property owners/landlords will be asked to contribute 20% of the material cost - up to a maximum of \$500 - toward weatherization of the eligible rental unit. In buildings weatherized under the 50% or 66% Rule, the landlord contribution will be 20% of the total material installed in the building, up to a maximum of \$500 per eligible unit. Property owners eligible for weatherization assistance will not be required to make contributions.

Under exigent circumstances, the State reserves the right to waive the requirement regarding contributions.

As noted above, Legal Services is available to assist clients who may have disputes with the property owner/landlord regarding eviction or rent increases.

When determining the eligibility of a multifamily building, the HUD Multifamily Housing list may be used to streamline the process where applicable.

Describe the deferral Process

From time-to-time, it may be necessary to defer work in a dwelling, postponing until the problem(s) can be resolved.

All serious health and safety problems encountered that will either prevent or delay Weatherization service delivery are documented on the "Notice of Postponement of Services" form, along with possible solutions. The client is asked to sign this form, which is then signed and dated by a CAA representative. If the client is a renter, a copy is also sent to the landlord. Clients remain eligible, without eligibility re-verification, for weatherization services if all Health and

Safety concerns triggering deferral are addressed within sixty (60) days of receipt. Should remediation take longer than that, eligibility must be re-verified in accordance with State and federal policy.

Deferral conditions may include any of the following situations:

The client has known health conditions that would be impacted by the installation of insulation or other measures;

The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and the conditions cannot be resolved cost-effectively;

The building has sewage/other sanitary problems that may endanger client/Weatherization workers if weatherization work were performed;

The building has been condemned or electrical, heating, plumbing or other equipment has been "red tagged" by local or State building officials or utilities;

Moisture and drainage problems are so severe they cannot be resolved under existing guidelines;

Dangerous conditions exist due to high CO levels in combustion appliances, high levels of formaldehyde or other pollutants and VOCs, and cannot be resolved under existing guidelines;

The extent and condition of lead-based paint in the building would potentially create further H&S problems;

Client is uncooperative, abusive or threatening to auditor/crew/subcontractors or others who must work in/visit dwelling;

In the auditor's judgment, any condition exists which may endanger H&S of work crew or subcontractor (e.g., extremely unsanitary conditions) ;

In the auditor's judgment, illegal activities are taking place on the property;

Infestation of pests cannot be reasonably removed or creates H&S concern for Wx workers;

Client exhibits signs of hoarding behavior that prevent installation of weatherization measures necessary to improve the home's efficiency.

V.1.3 DEFINITION OF CHILDREN

Definition of children (below age): 6

V.1.4 APPROACH TO TRIBAL ORGANIZATIONS

In accordance with 10 CFR 440.11, low income members of an Indian tribe will receive benefits equivalent to the assistance provided to other low-income persons within the State of Connecticut.

V.2 SELECTION OF AREAS TO BE SERVED

The State will use entities authorized by 10 CFR 440 to serve as Sub-grantees and deliver services, with preference given to Community Action Agencies to implement the Weatherization Assistance Program, using one or more authorized entities to provide services.

Division of the State into service areas is based upon the following:

- The previous areas used to deliver services;
- State planning regions;
- Other programs and services delivered with federal, state, and local funds; and
- Prior performance, if applicable, in the delivery of weatherization services.

The State reserves the right to alter the number of, and selection of, CAAs if it is determined that a certain area is not being adequately served, and/or to optimize service delivery. The State will be seeking proposals through a request for proposals process for program year 2016. The purpose of seeking proposals is to address the stated intention of an existing CAA to no longer deliver WAP services in one of the service areas. Additionally, the State believes, after consultation with incumbent CAAs, that improvement in service delivery could be attained by providing opportunities for new proposals to be submitted. Such proposals may include incumbent CAAs submitting proposals for the same service area as well as opportunities for other qualified entities to enter partnerships to provide services.

V.3 PRIORITIES FOR SERVICE DELIVERY

Clients determined eligible for energy assistance receive, with their notice of eligibility, a request for weatherization services which they complete and return if they are interested in receiving weatherization services. Cards are filed by town and by date received. Notwithstanding the order of receipt, priority is given to clients most vulnerable, including households with a member who is elderly (60 years and older), disabled, or six and younger. Priority consideration is also given to households with high-energy use (annual heating costs exceeding \$2,000).

V.4 CLIMATIC CONDITIONS

CT WAP has implemented the use of the Weatherization Assistant 8.9 audit tool. Climatic conditions from Weather Stations in closest proximity to the weatherized home site will be used for all site-specific WAP analysis.

V.5 TYPE OF WEATHERIZATION WORK TO BE DONE

V.5.1 TECHNICAL GUIDES AND MATERIALS

As a threshold matter, all work undertaken by CT WAP is performed in accordance with the DOE-approved energy audit procedures and 10 CFR 440 (Appendix A).

Note: All Work performed and reported as DOE completed CT WAP sites must be in compliance with DOE WPN 15-4 and the CT WAP Quality Work Plan requirements, CT WAP Weatherization Field Guided SWS Aligned Edition, The CFT WAP Operations and Training Manual QWP-15 Edition and the current Year State Plan/Master File.

In accordance with US DOE WPN 12-5 CT WAP will provide Subgrantees and/or contractors with technical requirements for field work including, but not limited to, Audit/Testing policy and procedures; Installation of energy conservation measures (ECM), Health and Safety (H&S) and incidental repair measures (IRM); and Final Inspections.

All documentation utilized for the purpose of executing contracted services and/or guiding field work shall be fully aligned with SWS and contains language that confirms Subgrantee and/or contractors receipt, cognizance and confirmation of communicated materials as referenced above. All work performed by CT WAP Subgrantees and/or contractors must be consistent with CT WAP SWS aligned field standards and SWS aligned Field Guides.

CT WAP has instituted policy and procedures to ensure that:

CT WAP has provided electronic links to the CT WAP Quality Work Plan, CT Weatherization Field Guide SWS Aligned Edition and the CT WAP Operations and Training Manual QWP-15 Edition and the Current year State Plan/Master File

CT WAP has produced work quality standards that continuously align with DOE WPN 15-4, The CT WAP Quality Work Plan, CT Weatherization Field Guide SWS Aligned Edition and the current year State Plan/Master File

CT WAP Monitoring shall conduct ongoing assessment of Subgrantee staff and contracted resources to ensure that all personnel engaged in installed measures is aware and practicing work standards in compliance with DOE WPN 15-4, The CT WAP quality Work Plan, The CT Weatherization Field Guide SWS Aligned Edition, The CT WAP Operations and Training Manual QWP-15 Edition and the current year State Plan/Master File

CT WAP Monitoring shall ensure that 100% of Weatherized homes are inspected in compliance with DOE WPN 15-4, The CT WAP Quality Work Plan, The CT WAP Weatherization Field Guide SWS Aligned Edition, The CT WAP Operations and Training Manual QWP-15 Edition and the current year State Plan/Master File.

V.5.2 ENERGY AUDIT PROCEDURES

Audit Procedures and Dates Most Recently Approved by DOE

Single Family Homes

CT WAP is DOE approved to continue to utilize the Site specific, Weatherization Assistant 8.9 (NEAT, MHEA) Audit tool software. Only measures which achieve an individual SIR of 1 or more are allowed.

Manufactured Homes

CT WAP is DOE approved to use the MHEA audit tool software to respond to manufactured home service requests.

Multi-Family Homes (which exceed NEAT capabilities)

CT WAP does not plan to weatherize large multi-family housing during Program year 2014. Analysis indicates that it does not represent 20% of the CT housing stock.

In the future, efforts to address this housing stock will be approached via use of DOE MULTEA. (Pending availability)

Note: CT WAP recognizes that any and all Multi-family Work performed and reported as DOE completed CT WAP sites must be in compliance with DOE WPN 15-4 and the CT WAP Quality Work Plan requirements, CT WAP Weatherization Field Guide SWS Aligned Edition and the current year State Plan/Master File.

Comments

CT WAP has completed comprehensive review of DOE WPN 13-5 and WPN 15-4 and aligned the required WA Setup libraries and Key Parameters in the course of obtaining DOE approvals for use of the NEAT and MHEA components of the WA tool.

Site-specific Neat, MHEA energy audits shall be performed for all jobs. After dwellings are thoroughly checked for all needed measures, the audit prioritizes the recommended measures by SIR. Except for H&S (and general heat waste) measures, only measures with an individual SIR of one or more are allowed. H&S checks, detailed in the H&S Plan and client education, are also an important part of the energy audit process. CAAs providing Wx services review, discuss, and explain audit results with the client; provide collateral materials and appropriate contact information.

The DOE approved implementation of the WA 8.9 during DOE WAP PY'15 has been successful, however, ongoing Training and evaluation continues to ensure accuracy and quality of the audits.

State level Experts continue to closely monitor NEAT/MHEA audit tool proficiency at all Subgrantees.

SWS aligned QWP-15 Setup libraries will distributed to local agencies. (7/15/16)

The phase-in of the Weatherization Assistant audit tools, effectively aligned program operations with WPN 13-5, SWS and HEP certified credentialing for conducting audits used in conjunction with Quality Control Inspections.

V.5.3 FINAL INSPECTION

Note: All Final QCI Inspection conducted on Work performed and reported as DOE completed CT WAP sites must be in compliance with DOE WPN 15-4 and the CT WAP Quality Work Plan requirements, CT WAP Weatherization Field Guide SWS Aligned Edition and the current year State Plan/Master File.

CT WAP procured Training and Testing services to ensure that a sufficient number of certified Quality Control Inspectors were in place at the start of DOE WAP Program Year 2015. Training and testing was delivered in two sessions as follows:

- QCI Training Session-1: 4/20/2015-4/24/2015
- QCI Testing Sessions-1: 4/27/2015-5/1/2015
 - (6 attendees; 1 from each CT WAP Subgrantee (5), 1 State level)
- QCI Training Session-2: 5/4/2015-5/8/2015
- QCI testing Sessions-2: 5/11/2015-5/15/2015
 - (6 attendees; 1 from each Subgrantee)
- CT WAP achieved a 100 % pass rate during all QCI training conducted during PY'15

Policy remains in effect to ensure that each CT WAP candidate is carefully screened and must complete all training and testing successfully.

Provisions have been made to schedule and fund 1 retest per individual upon CT WAP approval. CT WAP and the Training provider have an agreement in place to provide targeted remedial training prior to retesting in all cases.

Attendees that fail to achieve certification beyond that point are required to make arrangements with their respective agencies regarding additional training and testing costs as soon as possible, given CT WAP approval.

Failure of any personnel to achieve QCI Certification will result in temporary suspension from additional Tier 1 training opportunities.

Note: For additional information see V.8.4 Training and Technical Assistance Approach (Program Year 2016 Tier 1 Training)

CT WAP will provide specific tracking to evaluate the QCI Inspection process to document the range of controls outlined in WPN 15-4.

Each CT WAP QCI Inspection Certificate identifies relationships of Auditor, Auditor/QCI and or Independent QCI.

Projected monitoring and Final QCI Inspection goals have been created and funds allocated to respond to increased needs as determined necessary.

A simple rating system has been developed to quantify the extent of the failed QCI Inspections as related to local agency Inspections and installed measures.

One star * is awarded for any missed opportunity or single installed measure deficiency.

Two stars ** are awarded for any single Health and Safety missed opportunity or deficiency in addressing Health and Safety issues found at the site.

Three Stars *** are awarded for any combination of deficiencies found to require immediate corrective actions.

Note: Scoring will be compiled both before and after corrective actions have been undertaken.

Final evaluations will be used for assessment of effectiveness for Auditors, QCI Inspection Personnel and Installation services.

Disciplinary actions will be gauged and assigned as follows:

- Level-1 Subgrantee and or Subcontractor has routinely responded to corrective actions 100% effective.
- Level-2 Subgrantee or Subcontractor has had marginal or insufficient results responding to corrective actions on initial responses. Ultimately addressing all concerns and demonstrating improvement.(Subject to increased monitoring and inspection)

- Level-3 Subgrantee or Subcontractor has failed to address corrective actions and or deficiencies repeatedly. (Resulting in temporary suspension and disallowed costs).
- Level-4 Indefinite suspension, defunding of Subgrantee and Subcontracted resources.

V.6 WEATHERIZATION ANALYSIS OF EFFECTIVENESS

Note: All CT Analysis of effectiveness will be conducted in compliance with DOE WPN 15-4 and the CT WAP Quality Work Plan requirements, CT WAP Weatherization Field Guide SWS Aligned Edition and the current year State Plan/Master File.

There is a two-fold evaluation process to determine the overall effectiveness of each Subgrantee. This will be done through the annual monitoring process that is outlined in the Monitoring Approach, and also through an internal review process including:

- In-depth review of Monthly Status Reports to ensure that all expenditures are accurately reported and within State-approved budget limitations; and
- In-depth review of each BWR to ensure the NEAT, MHEA Audit list of recommended measures was followed, and to ensure costs of individual measures are within the audit estimate.
- Frequency of measures installed is tracked for each Subgrantee to ensure statewide consistency.
- Average job costs are tracked to ensure that the Subgrantee is within State mandated limits.
- Jobs are also tracked to ensure adequate and fair coverage of the entire service area.

During Comprehensive Monitoring Visits, the State reviews Subgrantee procurement practices of materials and labor as well as subcontracting, to assure costs are fair and relatively consistent across the state.

The above process culminates in a payment authorization to the Subgrantee. Any problems or questionable trends are flagged for review or investigation by monitoring staff.

Productivity and energy savings (tied to productivity) are compared and contrasted among Subgrantees on a monthly basis.

The goal is a uniformly effective WAP throughout the entire State. Each client served, regardless of town or serving Subgrantee, is expected to receive the same quality service. **The State reserves the right to terminate, or alter the service area of any Subgrantee that cannot meet statewide standards.**

Patterns noticed during State site visits will be used to determine T&TA needs (Tier 2 and potentially Tier 1) at the state and Subgrantee level. Site visits of specific Subgrantees will be increased if deemed necessary to ensure that training has had the desired effect of reducing issues and corrective actions in the field.

During major monitoring activities, proper delegation of financial responsibilities are confirmed, as well as record retention policies and other financial systems.

During regular monitoring activities, as well as major monitoring, we review the tracking of technical compliance, such as LRRP and Health and Safety.

Routine monitoring consists of file reviews, which track installed measure costs. In major monitoring, we review the sub grantee's procurement procedures as well as analysis of installed measures in file review, to assure measures are being costed accurately.

The State is constantly improving its management of WAP by attending NASCSP conferences and orientations, participating in Regional NASCSP conference calls, learning best practices from other states, and leveraging the help and knowledge of the DOE WAP program managers.

CT WAP continues to work closely with in-state utility partners to evaluate installed measures costs and work to develop more streamlined service delivery to the low-income residential housing stock.

V.7 HEALTH AND SAFETY

CT WAP has implemented policy and procedure to ensure that pre-existing or potential client or related occupants, health conditions are identified prior to Weatherization activities. The client is advised at the time of completion of the Request for Weatherization document, that they will be contacted by the weatherization provider for additional information regarding the site and occupants. The client is then contacted telephonically and surveyed via a scripted "New Client, Job Information" intake form which requires the occupants to reveal any known or suspected health concerns. A secondary review of this information is performed by the local weatherization coordinator and additional screening is done at the time of site specific audit. This policy and procedure is included in the revised CT WAP Operations and Training Manual QWP-15.

CT WAP provided classroom and field training specific to ASHRAE 62.2.2013 compliance during 2014 and further ASHRAE training during PY'15 as part of the annual H&S Training sessions.

V.8 PROGRAM MANAGEMENT

V.8.1 OVERVIEW AND ORGANIZATION

The U.S. DOE Weatherization Assistance Program for Low Income Persons is administered by the State grantee, the Department of Energy and Environmental Protection (DEEP). The Weatherization Assistance Program is administered by a DEEP Manager, who reports to the DEEP Director Energy Demand. The Program Administration Manager is operationally responsible for the Weatherization Assistance Program, which falls under the Bureau of Energy and Technology Policy. The Bureau of Energy and Technology Policy is under the oversight of the Deputy Commissioner of Energy and Technology. The Department also makes policy

decisions regarding the rate-payer funded, and utility-administered, residential low-income energy program known as Home Energy Solutions- Income Eligible (HES-IE). The HES-IE program serves the same population as WAP in CT and currently cost-shares many measures reported on DOE WAP units. The alignment of the HES-IE program with WAP is a goal of the Department to ensure the best quality service for the low-income population. The Department does not administer LIHEAP. The responsibility of administering LIHEAP belongs to the Department of Social Services (DSS) in CT. DEEP does work closely with DSS, due to simultaneous intake for clients into both programs. The State Energy Program (SEP) grant is administered in DEEP, by the same staff that administer WAP. HUD/ housing programs are administered through the Connecticut Department of Housing. WAP administrative policies and procedures are outlined in Section 100 of the [Connecticut Weatherization Assistance Program Operations Manual](#), which is regularly updated and publicly available online at DEEP's webpage.

V.8.2 ADMINISTRATIVE EXPENDITURE LIMITS

Total Administrative expenditures (State and Subgrantee) will not exceed 10% of grant funds, however, Grantee may provide - for Subgrantees who receive less than \$350,000 of new DOE appropriated funds - permission to use up to an additional 5% of their sub-grants for administration if the Grantee has determined that such Subgrantee requires the additional amount to effectively implement administrative Program requirements.

V.8.3 MONITORING APPROACH

Note: All Monitoring activities will be conducted in compliance with DOE WPN 15-4 and the Connecticut Weatherization Assistance Program Quality Work Plan requirements, Connecticut Weatherization Assistance Program Weatherization Field Guide Standard Work Specifications Aligned Edition and the current year State Plan/Master File.

For PY 2016, CT is subgranting \$374,865.00 of the Grantee T&TA budget towards State Level QCI Inspections, Training Coordination and Evaluation, Technical Compliance and Technical Monitoring activities.

Subgrantee monitoring plans have been prepared to recognize WPN 12-5 Guidance. CT WAP will utilize ongoing PY 2015 monitoring results to evaluate and gauge monitoring activities scheduled for each of the 5 Subgrantees. The comprehensive review of each Subgrantees previous monitoring activities provides a basis for analysis of how previous concerns are addressed, what corrective actions and improvements remain in effect and any unaddressed negative results.

CT WAP will perform comprehensive on-site monitoring at all 5 Regions prior to June, 1, 2017. A tentative schedule is as follows:

- Region 4 (Formerly ABCD) → Week of September 16th, 2016
- Region-2 (Formerly ACCESS) → Week of October 12th, 2016
- Region-3 (Formerly CAANH) → Week of November 18th, 2016
- Region 5 (Formerly NOI) → Week of January 20th, 2017
- Region-1 (Formerly CRT) → Week of February 24th, 2017

Note: This schedule is tentative at this time, changes in dates or in the order of Subgrantees may be changed due to several factors, including quality of reporting, repeated corrective actions, etc.

The individual on-site monitoring activities are structured as follows:

- Comprehensive Administrative/ Fiscal Monitoring (annual)
- Technical Site Visit Monitoring (minimum of 40 site visits planned or 10% of completed units and minimum of 80 file reviews or 20% of completed units)

Note: While this exceeds DOE minimum standards, the recent audit tool implementation and QWP-15 standards compliance warrant additional activities to ensure best outcomes. Actual program year totals may be adjusted to DOE minimum levels if mid-year assessments indicate consistent acceptable performance at any Subgrantee.

Note: CT WAP will utilize contracted QCI services via a T&TA Subgrant to conduct QCI inspection of at least 10% of all reported DOE completed units.

As part of our grant language and as a part of our annual monitoring visit we require the Subgrantees to submit their most recent A-133 financial audit to this office where it is reviewed for any items that could be troublesome.

CT WAP will continue to contract the services of a Technical and Monitoring Compliance Consultant via the T&TA Subgrant to provide all Quality Control Inspections services as well.

A dedicated, full time, Technical Monitor, employed by the Department of Energy and Environmental Protection (DEEP) will continue to provide Monitoring and support services under the direction of Weatherization Program Management.

CT WAP anticipates that Subgrantees will utilize components of the both of the DOE prescribed standard options to conduct Quality Control Inspections as defined in WPN 15-4.

The Grantee developed Quality Control Inspection process will provide for increased flexibility and effectiveness in conducting all QCI and monitoring activities as follows:

- Each QCI Inspection will document the relationship between the individual performing the quality control inspection to the work to include; independent status, role in audit process and role in any measures installations.
- Each QCI inspection will contain documentation and verification that each quality control inspection is performed in an impartial and complete manner.
- Each QCI inspection is subject to Grantee level assessment of effectiveness and compliance with program inspection policies and contain documentation of any findings related to the quality of the inspection and impartiality of the inspection process.
- The Grantee will maintain tracking of all Grantee QCI activities to include all aspects of the Grantee developed QCI process, subsequent corrective actions and final outcomes.

Note: Additional QCI policy and procedure is detailed within the CT WAP Quality Work Plan updated 3/10/2015.

Comprehensive Administrative and Fiscal Monitoring will engage the services of additional DEEP staff. A Research Analyst and Associate Accountant have also been assigned to CT WAP on an “as needed” basis.

Monitoring personnel, Credentials and funding sources detailed as follows:

Quality Control Inspector, Technical Monitoring Compliance Consultant- (Via Subgrant)

Credentials- BPI HEP QCI, Building Analyst, Building Envelope, Multifamily Building Analyst, OSHA-10, LSW, LRRP, NEHA HHIP

Compensation- 100% Grantee T&TA Subgrant (\$169,506.00)

(To include POV Travel & Expenses)

Staff Monitor

Credentials- BPI Building Analyst, OSHA-10, 30, LSW, LRRP, HAZWOPPER

Compensation- 80% WAP Administration funded (\$98,173.40), and 20% State funded

Travel- WAP procured vehicle, 100% State funded

Associate Research Analyst-

Credentials- BPI Building Analyst

Compensation- 100% State funded

Travel- 100% State funded

Grant Financial Specialist

Credentials-WAP Financial Management Tool Kit

Compensation- 100% State funded

Travel- 100% State funded

Annual Administrative/Fiscal Monitoring is performed via a Team approach made up of Technical and Fiscal Monitoring personnel utilizing the DOE WAP: Onsite Monitoring Field/Subgrantee Checklist as well as Instruments prepared specifically for use in CT:

- #1 CT Annual Administrative Review Monitoring Tool
- #2 CT Annual Administrative Review Fiscal Monitoring Tool
- #3 CT Field Monitoring Tool for File Review and on-site Field Review
- #4 CT WAP Field Visit Form

Annual Comprehensive Administrative/Fiscal Monitoring visits, based on historical knowledge, are estimated to require two-day trips to complete (2 trips per agency x 5 agencies = 10 trips). Given the small geographical size of Connecticut, overnight stay is not required for CT WAP monitoring staff.

Any and all deficiencies, related findings and corrective actions are reported to each Subgrantees' Executive Director, Program Director and Chief Financial Officer within 30 days of completion, with specific direction for corrective actions, response times and terms and conditions in the event of failed compliance. CT WAP reserves the right to disallow any costs associated with any discrepancy identified during any Technical or Fiscal monitoring activity.

Note: Findings such as waste fraud or abuse are reported to DOE immediately

Subgrantees are subject to removal from the program and will be defunded of all remaining allocations in the event that findings remain consistently non-compliant with either State or Federal requirements. Such findings may include, but are not limited to:

- Consistent production of sub-standard workmanship, with no measurable improvement within 90 days of notification.
- Inadequate Fiscal and or Management policy, procedures, enforcement or controls.
- Failure to improve current Management systems within stated notification time frames and or implementation of corrected policy, procedures and practices.

Note: Any Subgrantee removal shall result in disqualification for following program year participation.

All Subgrantee monitoring is routinely tracked and analyzed to provide accurate classification of findings to detail specific incidents, resolution timelines and training requirements necessary for incremental and annual planning and reporting.

Technical Monitoring will be tentatively performed at each Subgrantee during PY 2016 at a minimum of 10% site visits and 20% file reviews of completed units per agency.

Given the planned production of each agency the estimated number of minimum site visits and file reviews is:

- Region-4 (Formerly ABCD) – 5 site visits and 11 file reviews
- Region-2 (Formerly ACCESS) – 9 site visits and 18 file reviews
- Region-3 (Formerly CAANH) – 8 site visits and 15 file reviews
- Region-1 (Formerly CRT) – 9 site visits and 18 file reviews
- Region 5 (Formerly NOI) – 5 site visits and 10 file reviews

Note: CT WAP will utilize contracted QCI services via the T&TA subgrant to conduct QCI inspection of at least 10% of all reported DOE completed units.

By consolidating multiple site visits and file review visits, DEEP estimates that 2 full day trips per agency will be required (2 trips per agency x 5 agencies = 10 trips). Over-night stay is not required to conduct Subgrantee site visits in CT. Additional Monitoring will be conducted in the event that any Subgrantee is found to have difficulties in managing, programmatic, technical or compliance related delivery of services. Flexibility in scheduling has been factored into planning to allow additional visits or training as necessary.

CT WAP routinely and systematically reviews Subgrantees monthly submittals and conducts desk review of Building Weatherization Reporting to identify any potential monitoring needs. Technical Monitoring selects projects in various stages of completion and for specific measures to further evaluate Subgrantees effectiveness and training needs.

Efforts are made to evaluate multiple Subgrantee personnel and contractors engaged in the weatherization process from intake through completion.

CT WAP utilizes checklists for all Technical Monitoring activities as follows:

- CT WAP Audit Checklist
- CT WAP Installer Checklist
- CT WAP BWR Review FORM
- #3 CT Field Monitoring Tool for Field and On-Site Field Review
- #4 CT WAP Field Visit Form

Note: All Technical Compliance Monitoring will be conducted in compliance with DOE WPN 15-4 and the CT WAP Quality Work Plan requirements, CT WAP Weatherization Filed Guided SWS Aligned Edition and the current year State Plan/Master File and USDOE WPN 11-6 Health and Safety Guidance.

CT WAP maintains individual production and cost per unit metrics for each individual Subgrantee and considers these factors in all monitoring activities.

Any and all deficiencies, related findings and corrective actions are reported to Subgrantee program Management within 30 days of completed monitoring events, with the exception of Health and Safety findings. Health and Safety findings, which may present imminent danger to

the occupants, are immediately reported to Subgrantee management to immediately resolve all issues.

Note: Findings such as waste, fraud or abuse are reported to DOE immediately.

Written Monitoring reports delivered to Subgrantees will contain specific details for corrective actions and response times not to exceed 30 days of receipt of notifications. Any response directed to Subgrantee fiscal management that fails to address corrective action requests within the given time limits will result in disallowed costs of any stated discrepancy. Any disallowed cost will be deducted from subsequent monthly invoicing until resolved to the satisfaction of CT WAP Monitoring. Further, a Subgrantee's failure to respond to a corrective action plan for significant findings will result in an increased number of monitoring visits and an increased frequency of visits until the corrective action is resolved and the State is fully satisfied.

Subgrantees are subject to removal from the program and will be defunded of all remaining funds if found to be consistently non-compliant with Federal and State requirements. Such findings may include, but are not limited to:

*Consistent production of sub-standard workmanship, with no measurable improvement within 90 days of notification.

*Inadequate fiscal and or Management policy, procedures, enforcement and controls.

*Failure to improve current Management systems within stated notification time frames and implementation of corrected policy procedures and practices.

Note: Any Subgrantee removal shall result in disqualification from following PY participation.

Any and all deficiencies, related findings and corrective actions are compiled and tracked to provide individual assessment of effectiveness for each Subgrantee. Measures, training needs and outcomes are routinely reviewed to assure that corrective actions are effective and continuous.

V.8.4 TRAINING AND TECHNICAL ASSISTANCE APPROACH

CT WAP continuously tracks individual Sub-grantee Training needs and results and systematically adjusts training and monitoring to meet demands for all phases of administrative and production effectiveness and improvement goals.

The Department of Energy (DOE) allocates Training and Technical Assistance (T&TA) funding to support State program operations such as analysis, measurement and documentation of program performance, skill development, and local monitoring, to improve program effectiveness. To ensure consistent delivery of high-quality weatherization services, DOE - through a network of Weatherization Professionals, identified and developed a set of core competencies (see, e.g., WAPTAC) for the various staff positions that implement the Weatherization Program including the types of training required to increase levels of core

competencies for these job categories. Increasing competency levels and workforce expertise helps assure that every home weatherized receives appropriate, properly installed cost-effective measures.

Note: For PY 2016 CT WAP will contract Training Coordination and evaluation services via T&TA Subgrant.

Note: All CT WAP Tier-1 and Tier-2 Training will be in compliance with DOE WPN 15-4 and the CT WAP Quality Work Plan requirements, CT WAP Weatherization Field Guide SWS Aligned Edition and the current year State Plan/Master File.

Although many core competencies and job classifications are universal, not all the core competencies are appropriate for the job classifications identified in every state. For instance, testing, repairing or replacing heating and cooling systems in Connecticut requires certification or licensing from the State. Therefore, the Auditor or Weatherization Installer may not be able to conduct this work. In Connecticut, work on heating and cooling systems must be subcontracted to a licensed contractor outside WAP. However, just because a HVAC contractor is licensed by the State does not mean he possesses competencies WAP requires. Additional training of such contractors may be required, or someone at the local agency must be competent to specify what work the contractor is to do and to verify that the completed work complies with WAP technical standards.

DOE also places certain requirements for training and certification including:

- Lead Safe Weatherization (LSW) training for all workers
- At least one onsite worker must be an EPA Certified Renovator
- LSW training for all Certified Renovators
- LSW training for all State Monitors

To increase Connecticut's WAP network expertise, numerous program training opportunities and hands-on workshops have been conducted with the goal to maximize energy savings, minimize production costs, improve quality of work, and foster management expertise, while reducing the potential for waste, fraud abuse and mismanagement. In Connecticut, T&TA funds are primarily used to train State and local Weatherization staff on program operations, management, and technical topics. Staff members receive training at national and regional conferences, regional and state training centers, state and Subgrantee provided workshops, and in the field.

Subgrantees are required to have qualified weatherization staff (and contractors, as may be applicable) fully trained in the performance of individual functions.

Through monitoring review and assessments, the State coordinates with Subgrantees to determine types of training needed to strengthen Wx services. Based on the need of the Wx network, the State will continue to periodically provide training and workshops such as statewide Lead-Safe Training, management training, fiscal training, air sealing, use of two-part

foam, pressure diagnostics, proper insulation of attics and walls, and so forth. The State has developed long standing relationships with a range of weatherization training resources that supply the full range of training activities. The State allocates funding directly to the Subgrantees for local staff, and sometimes contractor personnel, to attend program-related training. To facilitate contractor training, Subgrantees are allowed to pay a per-diem, on a case-by-case basis, for contractor personnel to attend training when it is designated as mandatory and has prior State approval.

Subgrantees must ensure that Wx staff and contractors maintain required levels of training and certifications. CT-WAP requires that Subgrantees evaluate their Wx workforce to determine the types of training needed. Each Subgrantee's policy should be to encourage its staff, and that of its contractors, to attend training to strengthen worker competencies and skills.

CT WAP conducts routine, semi-annual training assessment needs via Subgrantee surveys and monitoring results analysis.

Note: All CT WAP Tier-1 and Tier-2 Training will be in compliance with DOE WPN 15-4 and the CT WAP Quality Work Plan requirements, CT WAP Weatherization Field Guide SWS Aligned Edition and the current year State Plan/Master File.

The current CT WAP workforce is comprised of Grantee, Subgrantee and Contractor level BPI Certified Professionals:

- Grantee Certified QCI Inspectors-1
- Grantee Monitoring- 2
- Subgrantee Auditors-13
- Subgrantee Certified QCI Inspectors-9
- Subgrantee Crew Chief-T.B.D
- Subgrantee Installers-T.B.D.
- Contractor Auditors-0
- Contractor Crew Chief-17
- Contractor Installers-34

In Program Year 2016, CT proposes to retain \$15,000 WAP T&TA funds at the Grantee level, in order to efficiently procure specific training for Grantee staff, which will be made mandatory.

Program Year 2016 Tier 1 Training

Projected T&TA budgets have been structured to allow continued re-assessment and supplemental training as determined necessary. CT is not limiting QCI training and testing to Grantee and Subgrantee staff and will encourage participation by Subcontractors in good standing with Subgrantees who have been carefully screened and have agreed to execute retention agreements with CT WAP.

CT WAP has successfully identified IREC accredited resources to provide NREL, JTA aligned, both in state and in close proximity to CT that can deliver both single family and multi-family curriculums. Ongoing evaluation of resources will be conducted to evaluate and determine opportunities for best outcomes and cost effectiveness, prior to procurement of services.

Of Grantee T&TA, \$399,865 will be allocated via T&TA subgrant to provide and evaluate staff training, testing, re-testing, and associated travel and time.

Program Year 2016 Tier 1 Training plan seeks to train as follows:

- 5- Additional BPI Certified QCI personnel. QCI Inspector training tuition cost is estimated to be approximately \$3500 per individual.
- 10- BPI Certified Home Energy Professional Auditors. Energy Auditor training tuition cost is estimated to be approximately \$3500 per individual.
- 5 Multi-family (IREC JTA) QCI Inspector Training. (Estimated costs \$2500.00 per individual, events schedules to be determined)

Program Year 2016 Tier 2 Training:

CT WAP has existing relationships with multiple resources, previously utilized to provide Tier 2 Training on an as needed basis.

Note: The CT WAP T&TA Subgrant has allocated \$50,000 for Tier 2 Training.

Note: Each CT WAP Weatherization Subgrantee has been allocated \$-5,000 T&TA for individual certification maintenance and tool and equipment costs.

Note: Ongoing Weatherization Assistant (NEAT, MHEA) training for Grantee and Subgrantee support staff will be delivered as needed during PY 2016. This ongoing training may be delivered by Oak Ridge National Laboratory, the CT WAP T&TA Subgrantee or both.

ASHRAE 62.2-2016, LRRP, OSHA (As deemed necessary)

T&TA funds may be used for most any training activity which will clearly improve the quality of the Subgrantee's Wx work. Such training would include, but not be limited to: Health and Safety,

Program Admin/Training: Training is important in all aspects of WAP, including the non-technical and administrative functions. Some examples include:

- Program management and Wx program supervision
- Financial management including budgets, claims, Wx financial rules
- Client services including program application/eligibility policies & procedures
- Client energy education and delivery of Wx information
- Procedural training on program forms, including WA (NEAT, MHEA) software

Comprehensive program training including *CT Program Operations and Training Manual* and other policy sources

Weatherization Services Training: Training related to specific Wx functions is key to effective service delivery. Areas of expertise includes training in:

Energy Audit & Final Inspection: techniques, tools, testing used in all of the technical aspects of Wx; evaluation skills, building science; audit software/forms training.

Wx Installation: tools, techniques, & materials used in installation of Wx measures; carpentry, spray foam techniques, ventilation; plumbing and electrical safety.

Crew Supervision: technical training on every aspect of Wx; supervisory skills & human relations; specialized site safety training such as OSHA and LSW; proper use of protective equipment (PPEs) and MSDS.

Mechanical Systems: tools, techniques, parts and materials used in various areas of the installation of Wx mechanical measures; worst case draft testing (CAZ), combustion appliances, plumbing and electrical; other specific mechanical work; state certification.

Mobile Home Training for Auditors, Inspectors and Installers: tools, techniques, and materials used in auditing, inspecting, and installations including special aspects to weatherizing mobile homes.

Comprehensive training on SWS aligned CT Field Guides: overall training on protocols and technical information needed for Wx work.

H&S Training: Wx work must be conducted in such a way as to avoid current and future harm to the client and other residents, and Wx workers. H&S training is vital, including some of the following areas:

Indoor Air Quality: all training on the recognition and mitigation of IAQ issues, including mold, moisture, volatile compounds, and so forth.

Combustion Appliance Safety

OSHA: worker safety training for new Subgrantee staff and contractor staff

Lead Safety: EPA lead safety regulations and EPA Certified Renovator course; Connecticut regulations; DOE Lead Safe Weatherization (LSW) regulations

Lead Safety Training Requirement: Unless there is existing evidence that a home has been certified lead-free, or the work is below lead threshold limits, LSW protocols must be applied to *all* pre-1978 target housing. The EPA LRRP rule requires that such work must be conducted under supervision of a Certified Renovator. (Note that EPA rules apply to all work, not just weatherization.)

DOE requires all individuals working on pre-1978 housing projects to complete the 8-hour LSW course prior to performing work on any pre-1978 sites. A Certified Renovator is required to attend *an additional* EPA Certified Renovator course sponsored by an EPA-approved training center. If the Certified Renovator has previously attended the 8-hour LSW Course, the renovator *must* attend a 4-hour LRRP Refresher Course. If the Certified Renovator has not attended the 8-hour LSW course, they must attend both an 8-hour LSW course and an 8-hour EPA Certified Renovator course.

TRAINING RESOURCES: CT WAP has identified multiple resources to deliver the ANSI accredited BPI HEP Certifications for Retrofit Installer, Crew Leader, Energy Auditor and Quality Control Inspector. Priority will be given to having CT WAP and key sub-grantee personnel engage in Quality Assurance Training in Q-1-14

Sample Curricula: The following are examples of curricula recently offered to support Weatherization staff training.

Weatherization Crew Worker I: This training course is intended for workers new to weatherization, or who wish to improve their technical knowledge of weatherization concepts. The trainings include weatherization theory as well as hands-on activities and skills assessments. The course addresses: LSW 8 Hours; Safe Work Practices; Air Sealing; Duct Sealing; Insulation; Base-load Measures; Diagnostic Testing

Weatherization Crew Worker II: This is a 32 hour training course intended for incumbent workers who have previously completed the Weatherization Crew Worker Level I course through the CT-WAP program or have at least 1 year experience working in the field. The trainings include weatherization theory as well as hands-on activities measured through skills assessments each day. The course addresses: Safe Work Practices; Air Sealing; Duct Sealing; Insulation; Base-load Measures; Diagnostic Testing

BPI Building Analyst Training. This is a 40 hour training course intended for participants who wish to obtain the BPI Building Analyst Professional certification. The course includes weatherization theory as well as hands-on activities using the diagnostic equipment. The course addresses: Energy Efficiency; Building Science; H&S Issues; Weatherization Practices; Air

Sealing Basics; Zonal Pressure Diagnostics; Insulation; Moisture Detection/Mgmt.; Air-Sealing/Duct Blasting Equipment Overview; Building Envelope and Thermal Envelope

Envelope Professional Training. This is a 40 hour training course intended for participants who have earned the BPI Building Analyst Professional certification. The course includes Building Envelope theory as well as hands-on activities using the diagnostic equipment. The course addresses: Energy Efficiency; Building Science; H&S Issues; Comfort; Durability; Weatherization Practices; Moisture Detection/Mgmt.; Building Envelope/Thermal Envelope; Air Sealing Basics; Zonal Pressure Diagnostics; Insulation

JOB CLASSIFICATIONS TRAINING: The type of training appropriate to each job classification varies in scope and complexity. The Energy Auditor/Inspector needs to have a whole house understanding of Wx while a Wx Installer may only require specified knowledge of a specific task. Training for some of the typical Wx job classifications are detailed below.

Energy Auditor/Inspector: The Energy Auditor and Inspector conduct two of the most important functions in the Wx process: (1) making the pre-Wx determination of which measures will cost-effectively conserve energy, and (2) making the post-Wx determination of the actual success of those measures. The knowledge of the Auditor/Inspector in performing Auditor/Inspector duties is crucial for an effective Wx program. Virtually all Wx training is applicable to these positions, but several areas are required.

BPI Certification: Effective September 1, 2011, CT-WAP required that all individual Auditor/Inspectors employed by the Subgrantee, or its contractor hold a certification from the Building Performance Institute (BPI), as a Building Analyst. Auditor/ Inspectors must obtain this certification within six (6) months of hire, and must maintain this certification while employed or subcontracted by CT-WAP or its Subgrantee.

Auditors/Inspectors are also required to successfully complete the following training: DOE LSW Training; ASHRAE 62.2 2013 Training; Envelope Professional Training

Additionally, the State and/or the Subgrantee may provide training in the different areas relating to the responsibility of the Auditor and Inspector *particularly, in areas such as pressure diagnostics, air sealing opportunities, mechanical systems, CAZ testing, insulation, client education, LSW, mold, asbestos, and general health & safety requirements*, and may require mandatory attendance. In these instances, Auditors, and Inspectors must attend training as mandated by the State or the Subgrantee.

Funding Note: Use by the Subgrantee of an Energy Auditor without proper certification may result in disallowed costs, both for the audit and for subsequent measures based on that audit.

Attendance records for all training must be maintained by the Subgrantee for review by the State during monitoring.

Crew Chief/Supervisor: No matter the actual job title all Wx jobsites must have a Supervisor, Foreman or Crew Chief who is the person directly responsible for the on-site management of

the Wx Installers and their work. As the person responsible for a range of jobs at the worksite, the Crew Chief must not only have a breadth of technical knowledge but must also have supervisory and human resource skills needed to organize an effective crew. Therefore, it is recommended that supervisory training be made available to Crew Chiefs/Supervisors.

Personnel that supervise workers such as Weatherization Installers must also successfully complete the following training: DOE LSW; ASHRAE 62.2 2013; OSHA 30; EPA Certified Renovator

In instances where lead safe work-practices are called for, a Certified Renovator is required for the job. In many cases the Crew Chief/Supervisor will fill the required role of the Certified Renovator. That role requires specialized EPA authorized training. Crew Chiefs/Supervisors fulfilling the role of the Certified Renovator must successfully pass the specialized EPA Certified Renovator training.

Furthermore, the Crew Chief/Supervisor must be able to manage the crew and the job to ensure that all work is being done safely, in a quality and workmanship-like manner in accordance with the generally accepted standard of care in the industry, using appropriate materials, completed in a timely manner, and that the work completed meets all standards. The individual in this position should possess a working knowledge of building science principles including conducting diagnostic tests, understanding air-flow, combustion appliance safety, and installation techniques as may pertain to the work being done. The State and/or the Subgrantee may provide training in the different areas relating to the responsibility of the Crew Chief/Supervisor and may require mandatory attendance.

Attendance records for all training must be maintained by the Subgrantee for review by the State during monitoring.

Weatherization Installers: Installers include all workers that install Wx measures such as air sealing, duct sealing, base-load measures, and insulation. Wx Installers are required to successfully complete the following training: DOE LSW; OSHA 10; Weatherization Crew Worker Level I training; Weatherization Crew Worker II training

As with other job classifications, additional training should be considered covering other aspects of their individual jobs. Additional training may range from basic Wx areas such as the use of the blower door and infrared camera, air sealing techniques, insulation techniques, and installation of base-load measures, to the more sophisticated use of pressure diagnostics to locate and prioritize unit leaks. The State and/or the Subgrantee may provide additional training in the different areas relating to the responsibility of the Wx Installer and may require mandatory attendance.

Attendance records for all training must be maintained by the Subgrantee for review by the State during monitoring.

Mechanical Systems Contractor: Connecticut law requires licensure by the State Board of Occupational Licensing in several areas relevant to working on combustion appliances and

heating systems. Skilled workers such as electricians, plumbers, heating professionals, and home improvement contractors must currently hold all required state or local licenses and credentials. Applicable licenses include: Heating, Piping and Cooling; Plumbing; Electrical work; Duct work (sheet metal)

See Connecticut state statute: Section 20-332 et. Seq., and Professional Licenses Department of Consumer Protection (4) Occupational Licensing for additional information.

In addition to State licensure, the Subgrantee has responsibility to ensure that technicians doing mechanical systems work also possess the knowledge and competencies required specifically by WAP. This means that contractors must participate in training on Wx program protocols and that program methods are followed in the installation and repair of mechanical systems.

The State and/or the Subgrantee may provide mandatory training in the different areas relating to the responsibilities of the mechanical systems contractor.

Attendance records for all training must be maintained by the Subgrantee for review by the State during monitoring.

Program Administration: Training of WAP Program Administrators including State staff, Subgrantee program Coordinators/Managers, and fiscal staff is essential to the success of the CT-WAP. To continue to improve the knowledge and skills of Program Administrators, the State provides periodic training on topics relating to areas such as: fiscal management, program management, human resources, program policies and procedures, and other topics. Additionally, staff may be encouraged to attend various national and regional meetings. Program administrative training may sometimes be mandated.

Weatherization Program Coordinator/Manager: WAP Coordinator/Manager is responsible for the day-to-day administration of CT-WAP at the Subgrantee level. The list of Coordinator/Manager needed areas of knowledge includes program administration, policies and procedures, applicable laws, rules and regulations, and technical protocols and methods. They also include the business of Wx: budgetary and other fiscal requirements; procurement rules; inventory control; human resources and training needs. The Program Coordinator/Manager must be able to manage the Wx staff, contractors, and manage a small construction/production-focused operation.

Program Coordinators/Managers must attend the following trainings: DOE LSW; ASHRAE 62.2 2013; OSHA 30; Envelope Professional Training; Weatherization Crew Worker Level I; Weatherization Crew Worker II training

Training designed to improve the management of the program may also be required. Training may include workshops at conferences featuring all aspects of program operations from quality assurance to financial management.

The State encourages Weatherization Coordinators/Managers to attend the various national and regional meetings and to attain BPI certification.

Attendance records for all training must be maintained by the Subgrantee for review by the State during monitoring.

Weatherization Directors Meeting: Meetings/teleconferences with the Weatherization Directors who manage local programs across Connecticut and the State staff will be held on a quarterly basis. These meetings are not only a vital forum for the formulation of policy, but also provide an opportunity for the interchange of ideas related to Wx. This opportunity also provides effective training among the various state and local program grant partners. Meetings are also held in partnership with the utility company partners in the program who administer ratepayer-funded programs in coordination with the WAP grant, including the Home Energy Solutions – Income Eligible (HES-IE) program.

TRAINING RESPONSIBILITIES: A meaningful training curriculum works when all of the stakeholders participate fully in both the training, and in suggesting ways in which the curriculum may be designed and improved.

Subgrantee Responsibilities: The Subgrantee is responsible for tracking compliance to training requirements for all individuals at the local level, and for reporting on training participation in the State monitoring process. Subgrantees should also provide information and suggestions regarding the training curriculum as local needs are identified.

Training Plan and Budget: Prior to the development of the State Plan, the State works with Subgrantees to determine training needs and plan for that Program Year's State sponsored training activities. Subgrantees may submit additional request to the State for training activities not outlined in the State Plan. Subgrantees may also obtain training for their staff and/or contractors through their T&TA funding. Subgrantee sponsored training requires a training request and State approval.

Training Compliance Monitoring: It is the Subgrantee's responsibility to maintain records confirming that all certification, licensing, and training are current. Subgrantees must maintain an inventory of all training attended by individuals working on the weatherization program, whether it is with the Subgrantee itself or its contractors. Subgrantees must also track all contractors' licenses for all contractors working in areas that require licensing.

The State will monitor the participation by Subgrantees and Subgrantee contractors to ensure compliance with certification, licensing, and training requirements. Wx measures installed by untrained personnel, whether employed by the Subgrantee or by its contractors, may result in questioned and/or disallowed costs for the entirety of Wx work completed on a unit.

Retention Agreement: Pursuant to DOE's Weatherization Program Notice 12-1, dated January 31, 2012, T&TA funds may also be used to train contractors at the Subgrantee level participating in the Program. In making the determination to pay for contractors' training, Subgrantees must secure a retention agreement in exchange for the training. The retention agreement shall require that contractors will work in the Program for a specific amount of time and must align with the cost of the T&TA provided.

Contractor Responsibilities: Given the continuous evolution of residential Wx practices, it is important for all individuals to maintain a strong knowledge of current best practices in the industry. Connecticut's contractors agree in contractual assurances that their Wx employees will participate fully in training appropriate to their work, as required by the Subgrantee and the State.

Contractors are also required to maintain current and proper licenses, and certifications, as required by law for their particular work.

The companies administering the Home Energy Solutions-Income Eligible (HES-IE) programs also participate in this process. Each of the Subgrantees also receive T&TA funds in their annual budget allocations, and are encouraged to explore training and technical assistance opportunities that would specifically benefit their own staff and subcontractors. Requests must be submitted to the State in writing for prior approval. All auditors and inspectors must complete and pass the BPI Certification training before they can either perform energy audits or conduct unit inspections.

Client education is one of the most important parts of the audit process because it has been proven to significantly increase the potential for energy savings in the homes that are weatherized. All auditors and inspectors are trained in effective techniques of client education.

V.9 ENERGY CRISIS AND DISASTER PLAN

Connecticut has developed a State Response Framework, which outlines the roles and interactions of the state government with local, federal, and tribal governments, nongovernmental response organizations and other private sector partners, the media, and the public in implementing emergency response and recovery functions in times of crisis. The Framework describes actions to be taken and general responses to disasters that have risen to state action. The Framework does not identify WAP as a resource for crisis or disaster response.

The State acknowledges that the use of WAP funds during a disaster is limited, as outlined in WPN 12-7.