

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

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

**V.1 Eligibility**

**V.1.1 Approach to Determining Client Eligibility**

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

**Low Income will be defined for the Weatherization Program in TN as follows:**

Is at or below 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget, except that the Secretary may establish a higher level if the Secretary, after consulting with the Secretary of Agriculture and the Secretary of Health and Human Services, determines that such a higher level is necessary to carry out the purposes of this part and is consistent with the eligibility criteria established for the weatherization program under Section 222(a)(12) of the Economic Opportunity Act of 1964;

Agencies will take applications for the WAP program using the following rules:

All countable sources of income must be verified for all household members (and illegal aliens who may reside in the home). Acceptable forms of verification include check stubs, employment statements, award letters, tax statements and other documents that verify the gross amount of the income from that particular source. Proof of income eligibility and associated documentation must be included in the client file.

Definition of Income Used to Determine Eligibility Income refers to total annual cash receipts before taxes from all sources, with the exceptions noted below. Income data for a part of a year may be annualized in order to determine eligibility.

**Countable Income**

- Money
- Wages and Salaries before **any** deductions (exception: earnings for a child under age 18 are not counted)
- Regular payments from Social Security, Railroad Retirement, Unemployment Compensation, Strike Benefits from union funds, Workers Compensation, Veteran's payments, training stipends, alimony, and military family allotments
- Private pensions, government employee pensions (including military retirement pay), and regular insurance or annuity payments
- Dividends and/or interest
- Net rental income and net royalties
- Periodic receipts from estates or trusts
- Net gambling or lottery winnings

The following cash receipts are **not** considered sources of income for the purposes of determining applicant eligibility:

- Capital gains
- Any assets drawn down as withdrawals from a bank
- Money received from the sale of a property, house, or car
- One-time payments from a welfare agency to a family or person who is in temporary financial difficulty
- Tax refunds
- Gifts, loans or lump-sum inheritances
- College scholarships
- One-time insurance payments, or compensation for injury
- Non-cash benefits, such as the employer-paid or union-paid portion of health insurance
- Employee fringe benefits, food or housing received in lieu of wages
- The value of food and fuel produced and consumed on farms
- The imputed value of rent from owner-occupied non-farm or farm housing
- Depreciation for farm or business assets
- Federal non-cash benefit programs such as Medicare, Medicaid, Supplemental Nutrition Aid Program (SNAP, previously known as Food Stamps), school lunches, and housing assistance;
- Earned income for a child under the age of 18
- Combat zone pay to the military
- Payments for care of Foster Children
- Reverse Mortgages
- Child Support payments (whether received or paid by the household, further defined in section titled: CHILD SUPPORT

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

**Child Support**

Child Support payments, whether received (payee) by a member of the household or paid (payor) by a member of the household, are not considered sources of income for the purposes of determining applicant eligibility.

- Payee: Where an applicant receives child support from any state program or individual during an applicable tax year, such assistance is not considered income for the purposes of determining eligibility.
- Payor: Where an applicant pays child support through a state program and/or to an individual, such assistance is not considered income for the purposes of determining eligibility (i.e., where an applicant pays Child Support, he or she may not deduct said assistance for the purposes of determining eligibility).

**Citizenship**

The applicant must be a U.S. citizen or legal alien. Citizenship will only be verified for the applicant if considered questionable. If the applicant is a legal alien, alien status must be verified as a condition of eligibility. Any illegal aliens residing in the home will not be considered when determining the income limits based on household size. However, any income of an illegal alien who is a household member will be counted as available to the home when determining eligibility.

<http://www.tn.gov/sos/acts/107/pub/pc1061.pdf> This is the link to "Tennessee Eligibility for Verification Entitlements Act", as requested by our DOE project officer.

**Residency**

All applicants must be residents of Tennessee, and all units to be weatherized must be located in Tennessee.

Describe what household eligibility basis will be used in the Program

The total countable income of the household must be equal to or less than 200% of the federal poverty level for the household size. If the income exceeds 200% of poverty, the household not is not eligible to receive services.

Any household that has one or more members who receive or has received Low-Income Home Energy Assistance Program (LIHEAP), Temporary Assistance for Needy Families (TANF – known as *Families First* in Tennessee) or Supplemental Security Income for the Aged, Blind or Disabled (SSI) in the twelve (12) months preceding the application for WAP is considered to meet income limits. Verification of receipt of benefits is required. The household may be the renter or owner of the unit to be weatherized. The unit to be weatherized must meet program guidelines.

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

The applicant must be a U.S. citizen or legal alien. Documentation of citizenship is required for every applicant, without regard to race, religion, gender, ethnicity or national origin, per the Tennessee Eligibility Verification for Entitlements Act <https://law.justia.com/codes/tennessee/2014/title-4/chapter-58/>. This is the link to "Tennessee Eligibility for Verification Entitlements Act", as requested by our DOE project officer. This applies to any application or recertification application filed October 1, 2012 or later.

If the applicant is a U.S. citizen, acceptable forms of verification are:

- A valid driver license or photo identification license issued by the Tennessee Department of Safety, or;
- A valid driver license or photo identification license issued by another state where the issuance requirements are at least as strict as those in Tennessee, or;
- An official birth certificate issued by a U.S. State, jurisdiction or territory, including Puerto Rico, U.S. Virgin Islands, Northern Mariana Islands, American Samoa, Swains Island, Guam, (Exception: Puerto Rican birth certificates issued before 7/1/10 shall not be recognized), or;
- U.S. government-issued certified birth certificate, or
- A valid, unexpired U.S. passport, or;
- A U.S. certificate of birth abroad (DS-1350 or FS-545), or;
- A report of birth abroad of a citizen of the U.S. (FS-240), or;
- A certificate of citizenship (N560 or N561), or;
- A certificate of naturalization (N550, N570 or N578), or;
- A U.S. citizen identification card (I-197 or I-179), or;
- Any successor document of subdivisions ( ( c ) (4)- (9), or;

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

- A social security number that has been verified with the Social Security Administration in accordance with federal law.

If the applicant claims legal alien status, the following documentation is required:

- Two (2) forms of documentation of identity and immigration status, as determined by the United States Department of Homeland Security to be acceptable for verification through the SAVE program.
- If the applicant is unable to provide two (2) forms of acceptable documentation, then the applicant must present at least one (1) document that can then be verified through the SAVE program.

Citizenship status must be declared on the application form for all additional household members, but it does not have to be verified. Any household member who is not a U.S. citizen or legal alien by their own statement will not be included when determining the number of eligible household members in the homes. However, any income they have from countable sources will be considered as available in its entirety to the household when determining household income.

The sub-grantee has the option to request verification of citizenship for additional household members if they feel the status stated on the application is questionable.

### V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

#### **Procedures to Determine That Units Weatherized Have Eligibility Documentation**

Every applicant must complete and sign an application for the Weatherization Assistance program, with a copy of the application retained in the Sub-Grantee's client file. The application must include income and demographic information for all members that reside in the housing unit. Income verification may be provided by the applicant in the form of paycheck stubs, income tax records, bank statements, award letters, dividend or other income distribution receipts, and other methods of documentation. Verification of income that may be obtained for the household from the Family Assistance eligibility system (known as ACCENT) is considered acceptable proof of income. The most recent income verification that is obtained from the ACCENT system that was entered within the last 12 months is considered valid unless the applicant or other documentation is in conflict with the information obtained. Only as a last resort and after all other possible sources of documentation have been exhausted, can the household self-certify their income. Prior to allowing a household to self-certify, the case file must contain evidence of the various attempts made to obtain eligibility documentation. Self-certification must be provided through a signed, notarized statement by the potential applicant that verifies he/she has no other proof of income.

Situations where households report zero income must be carefully explored to determine how the household is surviving on no income. The self - certification of income form will be signed and notarized by the applicant if zero income is reported for the applicant or any household member 18 years old or older.

Documentation may be retained in hard copy or through electronic storage methods. The sub-grantee agency is required to maintain a client file for every applicant. The client file will be retained for 5 years from the date the grant is closed – this includes units where weatherization services been provided, or closed due to subsequent ineligibility or other reason. The sub-grantee must maintain an on-going file of all units that have received weatherization services, including the date the services were provided, in the event of a future reapplication for services.

Multi-Family buildings that have been deemed to meet the eligibility guidelines based on their inclusion on a DOE authorized list will require the building owner or representative to complete a Multi-Family Weatherization Assistance Application. The building owner/representative will also be required to furnish all required resident documentation related to individual unit household demographics and income as part of the application process.

#### **Calculation of Income**

Income eligibility is based on the countable household income for the twelve month period preceding the application, or recertification. Countable income that may have terminated during this timeframe is still countable.

Income documentation must be obtained for a three (3) month period of time preceding or during the time of application processing. Income that was only received during a portion of the twelve month period may be prorated to reflect actual gross amount received during the timeframe. The income verification will then be converted to an annual income amount. If an individual is ineligible based on three (3) months of income verification that is converted to an annualized amount, the household has the option to provide income documentation for the entire year.

**Unemployment income** will be prorated to determine the annualized income, based on the expected number of eligible weeks in the twelve month period. The annual income will be based on the weekly benefit amount multiplied by number of weeks in which a benefit was expected.

Multiply the total of the three months' worth of income by four (4) to obtain an annual amount of income. Total all countable income sources to obtain the total

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

annual income for the household.

**Households That Include a Member Who Receives Families First and/or SSI**

Any household that includes a member who currently receives or has received Families First (Temporary Assistance for Needy Families) or SSI (Supplemental Security Income) in the twelve-month period immediately preceding or during the application for benefits, will be deemed as having met the income eligibility guidelines. However, income information must still be obtained for all household members in order to determine priority status.

**Recertification**

Eligibility will be reviewed on an annual basis for any applicant who has been approved for the program, but who has not had weatherization services initiated. At the point weatherization services have been procured for the unit, annual renewal is no longer required as weatherization work that was begun is to be completed.

Any applicant that fails to comply with the annual recertification process or who is determined to no longer meet program eligibility guidelines, will have their case terminated, and will be removed from the wait list.

Describe Reweatherization compliance

**Reweatherization**

Any home or unit that has received services through the Weatherization Assistance Program since September 30, 1994 will not be eligible for reweatherization unless it has been declared a federal or state natural disaster area, the building has been damaged by fire, flood, or act of God, and repair of the damage to the weatherization materials is not paid for by insurance or other funds. The building must also have been deemed salvageable by the local authorities.

Homes that received services under the Weatherization Assistance Program on or prior to September 30, 1994 may be eligible to receive services again. A new energy audit must be conducted, which takes into account the current building status. Reweatherization building units must be tracked and reported separately.

Describe what structures are eligible for weatherization

**Building Eligibility**

The building to be weatherized must be the primary residence of the applicant. The applicant may own or rent the unit that is to be weatherized. If the applicant is renting the unit, the building owner must agree to have the building weatherized, and must sign a landlord agreement. Ownership of the building or manufactured home must be documented. The property must be located in Tennessee.

The unit may be a stick-built or prefabricated building. However, if the unit is a mobile home, it must be stationary. A mobile home trailer that can be moved to multiple locations is not eligible.

A building unit is not eligible for weatherization services, based on applicant statement or other known information or documentation, if any of the following situations apply:

- Currently listed for sale, through either a real estate agent or privately
- Condemned or in the process of being condemned
- Unoccupied (other than a temporary absence)
- Secondary or vacation homes
- Designated for acquisition or clearance by a Federal, State or local program
- The resident has been or is in the process of being evicted
- The property has been foreclosed or is in the process of foreclosure
- Applicant is deceased or no longer residing in the home, and a spouse does not currently reside in the unit who is willing to assume applicant status
- Property owner refuses to allow removal of unvented space heater that serves as primary heating source
- Which has been weatherized after September 30, 1994 with WAP funds, and does not meet exceptions that permit it to be reweatherized.

If any of the above circumstances become known to the agency for either a pending or approved applicant, the application will be denied, or the case will be closed with no further services to be provided. If the home is in the process of having weatherization services installed, each home must be evaluated on a case by case basis to determine the best way to bring closure. Typically, measures that have already been initiated by the

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

weatherization installer will be completed and inspected, along with related health and safety or repair measures.

Tennessee will exercise caution in dealing with non-traditional type dwelling units such as shelters, apartments over businesses, etc. to ensure they meet Program regulations on whether the unit is, in fact, eligible. Consideration on weatherizing these types of units will be discussed with sub-grantees and if necessary, approved by the DOE Project Officer prior to weatherization.

Describe how Rental Units/Multifamily Buildings will be addressed

**Rental Units – Single Family**

If the applicant rents the home to be weatherized, the building owner or his agency must provide written permission before weatherization services can be provided. A landlord agreement that provides this permission and ensures the accrual of benefits to the occupant, must be signed by the landlord or his authorized agent, and a copy maintained for documentation purposes.

**Multi-Family Buildings**

A building that has multiple (two or more) living units under a single roof is considered a multi-family building, regardless if renter or owner occupied. A single unit within a multi-family building cannot be weatherized as the entire building must be considered when providing weatherization services.

Before services can be provided, the multi-family building must be determined to meet minimum eligibility standards regarding the number of units with eligible applicants. These standards are:

- Multi-family units with four or less units must have a minimum of 50% of all units occupied by an eligible household.
- Multi-family units with five or more units must have a minimum of 66% of all units occupied by an eligible household.

If a building is included on the most recent DOE building lists with either USDA or HUD established eligibility, then the minimum occupancy eligibility standards are considered to have been met. The building is still subject to all other eligibility requirements. For a building not included on one of the DOE published lists, eligibility for residents of the units must be determined to establish if the minimum number of units for the size of the building meet the income guidelines. Unoccupied units at the time of eligibility determination cannot be used to meet the minimum occupancy standards, although they are counted in the total number of units within the building. If the minimum occupancy eligibility standards are not met, then no unit in the building may receive weatherization services under the program.

The building owner(s), or his authorized agent, must complete and comply with a multi-family building landlord agreement document. The owner of a multi-family building with renter occupied units will not be required to participate financially in the cost of providing the weatherization services under the program. No undue or excessive enhancements shall occur to the value of the building as a result of the weatherization services provided. Once services have been provided, the building owner may not increase the current rent charged per unit within the building for a minimum of three (3) years. The benefits of the weatherization work must accrue to the tenants, as outlined in the multi-family building agreement.

If services are provided, the weatherization of the entire building must be addressed, to include both common areas and residential living space. The maximum amount of DOE funds that can be spent will be \$7,541 multiplied by the number of residential units currently occupied by eligible households as established by the sub-grantee. If sufficient funds are not available to address the entire building when it is selected based on priority, then the building must remain on the wait list until funding is available.

Eligible multi-family units will be sent to the DOE Project Officer to review before the job is to be posted for bids.

Describe the deferral Process

The decision to defer or terminate weatherization services to an eligible low-income household is difficult but necessary in some cases. Many problems encountered in low-income housing are beyond the scope of the weatherization program. When a weatherization project is deferred, work must be postponed until certain problems can be resolved or alternative sources of assistance can be identified and secured. A job that was deferred could be completed at a later date if the deferral conditions identified are remedied. In some circumstances, a home may be beyond repair, or conditions may never be remedied. This home would result in termination of the applicator. Specific steps must be followed for each situation, as outlined below.

All reasonable precautions against performing work on homes that will subject workers or clients to health and safety risks must be performed. Before beginning work on the residence, the agency must take into consideration the health concerns of each occupant, the condition of the dwelling,

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

and the possible effect of work to be performed on any particular health or medical condition of the occupants. When an occupant's health is fragile and/or the work activities would constitute a health or safety hazard, the occupants at risk will be required to leave the home during these work activities. If the client cannot, or will not, leave the home during the work hours, the job would be deferred.

**Deferral:**

Existing conditions under which a dwelling unit should be determined as **Deferred** include, but may not be limited to, the following:

- Elevated carbon monoxide levels where abatement is not possible using WAP funds;
- Existing moisture problems that cannot be resolved within program guidelines;
- House with sewage or other sanitary problems that not only endanger the customers but the workers who will perform the Weatherization work;
- Occupant's health condition;
- Building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and these conditions cannot be resolved in a cost effective manner;
- Mechanical systems that have been "red-tagged" and cannot be resolved within the scope and funding restrictions of WAP;
- Any existing condition that could endanger the health and/or safety of the work crew or subcontractor and cannot be safely abated;
- When toxic substances are discovered which cannot be addressed by the WAP, the coordinator should report the problems to the client and indicate that activity must cease until the identified condition has been corrected. This may include the existence of lead-based paint or asbestos containing materials that would have to be disturbed during the installation process.
- Unlawful activities are occurring in the dwelling that could endanger the customers or the crews. **Example:** A home may have housed a methamphetamine lab. For a list of addresses that have been identified by law enforcement for meth activity see the following web address: <http://www.justice.gov/dea/seizures/index.html>
- When structural, wiring or plumbing problems exist which make the project unfeasible, the client should be notified of the problem(s) and no further Weatherization activities should occur until such time as these conditions have been adequately addressed.
- When a dwelling is infested with insects, rodents, etc., activities should cease until the condition has been remedied.
- Condition of the home, and the contents within, prohibit the ability to weatherize the home.
- Homes using un-vented gas heaters as a primary heating source are not eligible for services until suitable measures have been accomplished to minimize the health and safety risks associated with un-vented heating systems. If the client/landlord refuses the removal of un-vented gas heaters, the job would be terminated without services provided.
- Health and Safety funding has been temporarily exhausted, and weatherization work cannot proceed without addressing the associated health and safety issues that would be necessary in order to effectively perform the work or as a result of the weatherization work to be performed.
- Initiation of eviction or foreclosure proceedings for the property will require deferral of weatherization services. In the event the household is evicted, or foreclosure of the property is completed, the job will be terminated, rather than deferred.

**Termination:**

In some situations, the issue cannot be resolved even if the job is deferred. In these situations, the Weatherization case should be terminated. If a case is terminated without weatherization services being provided, the client has the right to reapply in the future. If services were provided prior to termination, any future application would be considered a request for Reweathering of the home.

- The unit is currently listed for sale or under a sale contract, either through an agency or privately.
- The home is condemned or in the process of being condemned.
- The property has been foreclosed.
- The property has been designed for acquisition or clearance by a Federal, State or local program.
- Customer is uncooperative, abusive, or threatening to contractor, subcontractors, auditors, inspectors, or others who must work on or visit the house
- Applicant is deceased, and there is not a spouse remaining in the home who agrees to assume applicant status.
- Applicant is no longer permanently residing in the home. A temporary absence that can reasonably be expected to last three months or less, and where the applicant expects to return to the home, will not require termination. In the case of an applicant who is no longer residing in the home on a permanent basis, an applicant's spouse who still resides in the home may resign the application and continue to receive services, provided the household continues to meet eligibility requirements.
- The household has been evicted.
- The home is currently unoccupied, other than a temporary absence of the only household member.
- Client/Landlord refuses to allow the removal of the unvented space heater that serves as a primary heating source.
- There is not a reasonable expectation that the conditions that prevent weatherization activities can be alleviated within a reasonable period of time.

**Notification:**

When **deferral** of Weatherization services is necessary, the Sub-Grantee must take the following actions:

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

- A Notice of Deferral must be sent to the client. This notice should clearly state the conditions which must be corrected before weatherization work can proceed, and define a reasonable time period by which the corrections must be completed.
- The deferral notice must contain notification of the right to appeal the decision, and how those rights may be initiated.
- Clients must be informed immediately both verbally and in writing of any serious imminent hazards.
- Clients must be informed of any no-cost or low-cost immediate measures that should be taken to mitigate the hazard.
- Sub-Grantees shall work with the client to assist in identifying and accessing available resources that can help to address the situation that required deferral
- Clients must be notified that they should contact the agency once the existing conditions have been remedied. Upon notification, the agency will return the application status to "active" and place the client back on the list for services. Another pre-energy audit may be necessary before the job can be bid out.

When **termination** of Weatherization services is necessary, the Sub-Grantee must take the following actions:

- A termination notice will be sent to the client that gives the reason for the termination.
- The termination notice will contain notification of appeal rights and how those rights may be initiated.
- If the current address of the applicant is unknown, mail the notice to the last known address.
- In the event of death, send the notice to the next of kin if known. Otherwise, mail the notice to the address of the deceased.
  - Document the client file with verification of death

**Documentation of Deferral:**

Postponement of services does not mean that the case is closed. The deferral of an eligible dwelling unit must be properly documented so that no confusion exists about why WAP services were postponed. At a minimum, the following information related to the deferral must be documented in the client file:

- Date of deferral
- Clear and concise description of the problems encountered in the home and action required to alleviate the issue before weatherization can proceed
- Documentation of client notification of any condition that could impact the household's health and/or safety. A copy of the notices sent to the applicant should be retained.

The agency must track all deferrals to determine if timely action has been taken to alleviate the circumstances which prevented the weatherization from occurring. If the client is unable or unwilling to make the necessary repairs, or if other resources are unavailable to assist with the repairs within a reasonable timeframe, the agency may opt to terminate the application.

**Documentation of Termination:**

A job that is terminated will be closed and the client will not be placed on a deferral list. The termination of an eligible dwelling unit must be properly documented so that no confusion exists about why WAP services were terminated. At a minimum, the following information must be documented in the client file:

- Date of the decision to terminate the case
- Clear and concise description of the reason for termination
- Documentation of notification to Client

**Additional Resources:**

All agencies should aggressively pursue alternative funding to reduce the occurrences of deferral. Agencies should establish open lines of communication with as many other funding sources as possible so that referrals can occur in an efficient manner. The following is a list of potential funding sources to help remedy situations in the home:

- U.S. Department of Housing and Urban Development (HUD) - HOME Program
- HUD – Community Development Block Grant
- U.S. Department of Health and Human Services – Community Services Block Grant
- U.S. Department of Agriculture - Rural Economic Community Development
- State-funded housing and rehabilitation programs
- Low-income program funds provided by local utilities
- City-funded housing and rehabilitation programs
- Donations or financial participation from landlords
- Donations from local churches or community groups

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

- Donations from local businesses, non-profit organizations, or local associations

**V.1.3 Definition of Children**

Definition of children (below age): **6**

**V.1.4 Approach to Tribal Organizations**

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

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

Tennessee does not have any federally or state recognized tribes.

Any applicant that is a member of a tribal organization will be treated the same as any other low-income applicant. Such applicants will need to apply through the Sub-Grantee agency that serves their county of residence.

**V.2 Selection of Areas to Be Served**

Where possible, it is Tennessee's intent that every county within the state will be served. Funding allocations will be provided based on the percentage of the State's low-income population that resides within a county. Each county will have a single sub-grantee to administer the DOE Weatherization Assistance Program on behalf of the Grantee. Each sub-grantee will have a defined service area that will consist of one or more counties. Funding will be provided to the sub-grantee based on the county allocation(s) for their service area. Approved applicants will be served in order of priority, based on funding availability. If remaining funds are insufficient to serve the next applicant on the priority list for the service area, that sub-grantee will go to the next person who can be served within the funding limitations.

Sub-grantees have the option to shift funds from one county to another as necessary based on applicant need, with approval from their Board and the State. When a sub-grantee determines they have a sufficient number of approved applicants on the wait list for a particular county compared to the amount of funding available, they have the option to temporarily suspend accepting new applications. When additional funds become available, or when the wait list has decreased to a number that can be expected to be served within a reasonable period of time, the sub-grantee will again accept applications. The State is to be notified by the sub-grantee agency whenever they suspend or reopen the application acceptance process. A sub-grantee agency may also petition the state for approval to eliminate some or all of the existing wait list at the beginning of a contract period. If the wait list is cleared, all applicants currently on the wait list must be notified, and provided an opportunity to reapply at the next open application period.

THDA reserves the right to re-allocate funds amongst sub-grantees based on performance and need throughout the year.

In the event that an entity fails to enter into an agreement to serve as a sub-grantee, THDA will work to identify another organization to serve in this sub-grantee role. In the event that no organization can be identified to serve the non-covered area, the funds allocated to the non-covered area will be reallocated to sub-grantees covering the remaining counties in Tennessee.

**V.3 Priorities**

Priority will be given to those households with a vulnerable household member. A vulnerable household member is someone who is elderly or disabled, or is a child less than 6 years of age. In addition, those households that have a high energy burden, based on the percentage of their countable income that is used for home energy costs, or that are considered a high residential energy user, will be given priority in receiving weatherization services. A high energy user is a household whose annual energy costs exceed the average energy costs for low-income households in the South Census Region in the LIHEAP Home Energy Notebook for Fiscal Year 2009.

Priority wait lists will be maintained on a county level, and updated at annual re-verification. An approved household may have a maximum of 100 points. Priority points will be assigned as follows:

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

**Vulnerable Household Members (50 Points Maximum)**

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Household Includes a Member with	Points
Following Characteristic	
Elderly (age 75+)	20
Elderly (age 60-74)	15
Disabled	15
Child under age 6 years of age	15

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If multiple elderly members reside in the household, use the age of the oldest member to determine countable points. A household may be awarded points once per category based on current household composition. For example, if two household members are disabled, only 15 points can be awarded.

**Energy Burden (15 Points Maximum)**

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% of Income Used for Home Energy Costs*	Points
19.01% or higher	15
15.01-19%	10
8.01-15%	5
8% or less	0

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\*Calculated by dividing the annual energy costs by the total countable annualized income for household.

**High Residential Energy User\* (10 Points Maximum)**

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Household Annual Energy Costs**	Points
\$3000 or more	10
\$1900 or more	5
\$1899 or less	0

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\*Average annual energy costs for a low-income household in the south region is \$1,858 (LIHEAP Home Energy Notebook for FY09, table A-3b)

\*\* If energy costs are included in the rent, determine the annual energy costs by dividing the total energy cost for the building by the total number of building units.

Priority points for a multi-family building will be calculated as follows:

- Determine the number of points for each unit occupied by an eligible household
- Divide that number by the total number of units in the multi-family building
- The result is the number of priority points for that building

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[1] [http://www.acf.hhs.gov/programs/ocs/liheap/guidance/information\\_memoranda/FY2009\\_LIHEAP\\_Notebook.pdf](http://www.acf.hhs.gov/programs/ocs/liheap/guidance/information_memoranda/FY2009_LIHEAP_Notebook.pdf)

**V.4 Type of Weatherization Work to Be Done**

**V.4.1 Technical Guides and Materials**

All work done is consistent with its DOE-approved energy audit and Appendix A. All energy conservation measures (ECM) and related incidental repairs for a specific unit will be established through the use of the Weatherization Assistance audit tool (NEAT-MHEA) with the exception of the measures that have been identified as low-cost or no-cost. Health and Safety measures are not required to be cost justified. All measures and incidental repairs performed on client homes must meet the specifications, objectives and desired outcomes outlined in the Standard Work Specifications for Home Energy Upgrades, State and THDA policies and procedures. As needed, updates may be provided in the form of technical

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

assistance memorandums, technical assistance contractors, or through reference to DOE established guidance. The measures identified are the more common measures. This list is not meant to be all-inclusive. The national Standard Work Specifications can be found at <https://sws.nrel.gov/> the Tennessee Specific Standard Work Specifications will be available online and in digital format at [http://wxfieldguide.com/tn/TNWxFieldGuide\\_2018\\_SWS.pdf](http://wxfieldguide.com/tn/TNWxFieldGuide_2018_SWS.pdf). THDA contracted with Saturn Resource Management in PY18 to create a Tennessee specific field guide. Tennessee's current SWS Field Guide is DOE approved through 2021.

THDA is currently seeking approval from DOE for additional materials such as LEDs, water heaters, and refrigerators which are not currently listed within Appendix A of 10 CFR 440.

**Ensuring Quality Work from Quality Control Inspectors, Energy Auditors and Contractors**

All units must receive a complete passing final inspection by a THDA approved QCI auditors. A THDA approved QCI auditor must have a current QCI certification from the Building Performance Institute and must meet all other DOE and THDA auditor requirements.

QCI auditors are required to ensure WAP work has been completed and meets the current technical guidance and SWS. QCIs must attend all mandatory WAP trainings. QCI auditors must retake any classes or trainings that are missed within 6 months of the original training date. If a QCI does not retake the course within 6 months they are no longer eligible to conduct QCI visits until they take the course. QCI's performance is monitored by the THDA T&TA provider.

If there are repeat findings from a QCI additional training will be required. If after successfully passing additional training the QCI continues to have repeat findings, THDA will not accept any final inspections signed by the QCI and the QCI is required to complete the following steps:

Step 1: Counseling - THDA will set up a counseling sessions with the QCI, THDA staff and our T&TA provider.

Step 2: Additional training- As a result of counseling, the QCI must attend and pass mandatory additional training.

Step 3: Removal from the program - If the QCI is unable or unwilling to perform to the standard set by THDA and DOE they will be removed from WAP and no longer able to work in the program for a minimum of two program years. After the completion of the two year period an energy auditor may request to be reinstated into the program. The request to be reinstated must include the corrective action steps that were taken and justification. The request will be approved or denied by THDA.

THDA reserves the right to reject work from a poor performing QCI, Energy Auditor or contractor.

Sub-grantees, contractors, auditors and the entire network are able to view and download the TN WAP Technical SWS from the this link [http://wxfieldguide.com/tn/TNWxFieldGuide\\_2018\\_SWS.pdf](http://wxfieldguide.com/tn/TNWxFieldGuide_2018_SWS.pdf)

By signing the WAP Contract and the "Weatherization Services Contract" the agency and contractor verifies that all WAP work including audits/testing, installation of energy conservation measures, health and safety measures, incidental repair measures, and final inspections will be performed in compliance to the THDA WAP Manual, SWS Filed Guide, and State and Federal requirements.

The WAP Weatherization Services Contract states:

"The contract between the parties consists of the following "Contract Documents" all of which constitute one instrument:

1. The terms and conditions of this Contract document
2. The Contractor's Proposal as specified in the Work Order Bid Form that is affixed to Attachment
3. The standards of the Tennessee Weatherization Standard Work Specifications Field Guide
4. Department of Energy Weatherization Materials Standards
5. Construction Changes as specified in an amended Work Order"

"The Contractor agrees to obtain all required certifications, for self and/or employees on this project, in accordance with program policies and procedures. All work must comply State and Federal WAP requirements and the THDA Standard Work Specifications found at the site [http://wxfieldguide.com/tn/TNWxFieldGuide\\_2018\\_SWS.pdf](http://wxfieldguide.com/tn/TNWxFieldGuide_2018_SWS.pdf)

If a contractor repeatedly fails to meet program expectations they will be be subject to the following corrective action:

Step 1: Counseling - The Sub-grantee will set up a counseling session with the contractor, local agency staff and THDA T&TA provider.

Step 2: Additional training- As a result of counseling, the contractor must attend and pass mandatory additional training.

Step 3: Removal from the program- If the contractor is unable or unwilling to perform to the standard set by THDA and DoE they will be removed from WAP and no longer able to work in the program for a minimum of two program years. After the completion of the two year period a

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

contractor may request to be reinstated into the program. The request to be reinstated must include the corrective action steps that were taken and justification. The request will be approved or denied by THDA.

**Air Sealing**

Air sealing work will be guided by the use of a blower door and digital manometer. The most effective infiltration reduction efforts typically involve sealing leaks between the conditioned space and the unconditioned areas found in the attic or crawl space. The contractor performing the weatherization work will be required to perform necessary air infiltration measures until the unit is properly air sealed as tight as possible. The initial inspection energy auditor will highlight recommended areas to focus air sealing efforts and list them on the work order. While it is a best practice and encouraged that contractors utilize blower-door readings to identify air sealing opportunities, the sub-grantee agency has the flexibility to determine how they will specify it on the work order. The work order shall specify air sealing measures and hold the contractor responsible to conduct air sealing that will achieve a significant CFM reduction. With increased training for auditors and crews on air sealing techniques and CFM reduction, auditors and crews are better prepared to recognize areas to reduce air infiltration. We will continue to highlight air sealing in our training sessions during Program Year 2019.

WPN 13-05 states, *“Air Sealing ... is the exclusive energy conservation measure that is not required to show a post-weatherization individual SIR of 1.0 or greater. The package of weatherization measures, including costs and projected savings for air sealing, must have a post-weatherization SIR of 1.0 or greater.”*

Infiltration Reduction/Air Sealing measure is not required to meet an individual 1.0 SIR as long as the cumulative SIR is 1.0 or higher for the entire project. All other Energy Conservation Measures must provide an individual SIR of 1.0 or higher and the cumulative SIR must be 1.0 or higher. If the contractor's bid amount for Infiltration Reduction/Air Sealing makes the cumulative SIR fall below 1.0 SIR, then the cost for the measure must be negotiated down until the cumulative SIR is 1.0 or higher.

American Society of Heating, Refrigeration and Air Conditioning Engineers (ASHRAE ) Ventilation Standards 62.2-2016 will be followed when performing air sealing to the greatest extent possible. ASHRAE Ventilation standards are included in auditor training, the Tennessee Field Guide and SWS. ASHRAE worksheet calculations are required to be included in the client's file.

If the structural integrity of the unit prohibits the use of the blower door, it may be that the unit is a walk-away and deferred. Living conditions that prohibit the use of the blower door may require deferral until such conditions can be remedied.

**Attic Insulation**

Attic by-passes should be sealed prior to the installation of attic insulation. The amount of attic insulation that can be cost effectively added depends on the level of existing insulation and type of space heating fuel. The final R-Value must achieve at least an R-38 to comply with Tennessee state standards and codes. Attics with structural issues that are beyond the scope of the Weatherization Assistance Program to address may not be able to be insulated in full or at all.

In addition to attic ventilation, costs for attic insulation may include limited incidental repairs that are necessary for the installation and effectiveness of the measure. Such repairs can include, but are not limited to: repairing roof leaks, soffit chutes or insulation dams, patching ceilings and installing attic accesses. The Tennessee Weatherization Field Guide and Standard Work Specifications contains information regarding the proper procedures to follow for attic preparation and installation standards.

**Floor Insulation**

The Weatherization Assistant audit tool determines the appropriate R value and need for insulation for a specific unit. The Tennessee Weatherization Field Guide and Standard Work Specifications define standards and procedures for floor insulation.

The amount of floor insulation that can be cost-effectively added varies with existing levels of insulation, space heating fuel, and foundation type. The recommendations for floor insulation are based on the two most common foundation types in Tennessee: vented crawl spaces and exposed floor (houses whose floor joists rest on pilings and have little or no skirting).

Excessive moisture from frequent rain or high water tables can enter a house through the crawl space and cause mold, mildew and/or structural damage. Plastic sheeting may be installed as ground cover, following the guidance provided in the Tennessee Weatherization Field Guide and Standard Work Specifications. The installation of the plastic vapor barrier will preserve the integrity of the floor insulation by reducing the amount of moisture evaporating from the ground.

**Wall Insulation**

Walls shall be insulated if the cost to insulate is justified. Walls that are already fully insulated or solid masonry, concrete, concrete block or wood will not be insulated.

Exceptions: If any of the following conditions exist, then the wall cavity should not be insulated:

- Active knob and tube wiring is present in the wall cavity

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

- Wall cavity contains HVAC duct, wall furnace or heater
- Wall cavity is next to a fireplace or chimney without sufficient clearance
- Wall cavity space is connected to an unprotected pocket door cavity
- Wall repairs are needed and not able to be performed as part of the weatherization package
- Other situations that may result in a hazardous situation or where the wall cannot be properly prepared due to unique structure of the home.

**Other Insulation**

Insulation of water heaters, HVAC duct work sealing and insulation, and the insulation of hot water pipes in unconditioned spaces are allowable weatherization measures.

**Domestic Water Heater (DWH)**

Replacement of the water heater is permitted, provided the replacement of the existing unit meets minimum SIR value of 1.0 or greater. Replacement units must have an internal insulation value of R-10 or insulation added to achieve a total of value of R-10.

The replacement water heater shall be:

- Either a standard tank or tank-less (aka on-demand) water heater.
- All replacement units must be similarly sized as the original unit that is being replaced.
- All gas and electric DWH replacement shall be Energy Star rated. However certain instances may occur where room volume requirements prohibit the installed of an Energy Star rated tank. These must be approved by THDA and electric storage tanks must meet a .93 UEF.

Solar water heaters are not approved as replacement units in Tennessee at this time.

**Furnace Maintenance, Repair and Replacement**

As part of the pre-energy audit, all heating furnaces will be evaluated, including any duct work present. A furnace may be solid fuel (wood or pellet stove heaters), electric or combustible fuel, such as natural gas, propane or kerosene. If the heating source is wood or pellet, the related chimney must also be evaluated. Maintenance and repair will always be preferable to replacement of an existing unit, whenever possible.

All furnace replacements shall meet the current Energy Star ratings.

**Cooling System Maintenance, Repair and Replacement**

Tennessee's hot, humid climate makes the use of air conditioning vital for many of our clients. As an ECM, maintenance, limited repairs or replacement is allowed, provided the SIR value is equal to or greater than 1.0.

If the cooling system is replaced, the original unit must be removed from the home, and refrigerants disposed in accordance with standard policies and procedures.

All cooling system replacements shall meet the current Energy Star ratings.

**Unvented Space Heaters**

If the unit targeted for weatherization services has an unvented gas or liquid fuel space heater that serves as the primary heat source for the home, this unit must be replaced as part of the weatherization services provided. The home cannot be weatherized under the Weatherization Assistance Program if the client refuses the removal of the primary unvented space heating source or if funding is not available to remove and replace the unit. The unit is to be replaced with a vented, code-compliant heating system that is appropriately sized for the home.

If the unvented gas or liquid fueled space heater is a secondary heat source, it may remain in the home provided it complies with the International Residential Code (IRC) and the International Fuel Gas Code (IFGC). Removal is required, except as secondary heat, unless the unit conforms to ANSI Z21.11.2. Units that do not meet ANSI Z21.11.2 must be removed prior to weatherization, but may remain until a replacement heating system is in place. DOE funds may not be used to replace any unvented space heater that serve as a secondary heat source.

**Electric Baseload/Lighting**

Refrigerator replacements are allowable as an ECM with a SIR of 1.0 or greater. Replacement refrigerators must be Energy Star Rated or equivalent. The existing refrigerator must be removed from the unit and disposed of properly as stated in the Health and Safety Plan. Lighting upgrades are included with the TVA Energy Saver Kits which are not funded by DOE, but are provided to all WAP Clients.

**Door and Window**

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

All doors and windows will be evaluated as part of the pre-energy audit. Only those doors and windows that are part of the building envelope can be repaired or replaced, provided the individual unit meets the necessary cost saving factor to support the decision. Replacement of doors and windows must be cost justified through the energy audit tool, except in rare occasions where these measures will be included as part of air sealing. These circumstances must be well documented in the client file.

**General Heat Waste Measures**

The Tennessee Weatherization Assistance Program will allow the installation of the following measures that are typically acknowledged to be cost effective.

- Water Flow Controllers, including low-flow shower heads
- Furnace or Cooling Filters, up to a one-year supply
- Weather stripping, caulking, plugging, glass patching and other similar measures primarily used to address air infiltration

General Heat Waste measures are limited to \$50 of material cost per unit. Such measures may be installed by the energy auditor or the contractor. It is not necessary to have these measures recommended by the Weatherization Assistant audit tool, nor is a SIR of 1.0 or more required.

**Fuel Switching**

The same non-renewable fuel (electric, natural gas, propane) should be used when replacing furnaces, cooling units or domestic water heaters. On a limited basis, the changing or converting from one primary fuel source to another is only allowed on a case by case situation. Documentation must be on file to justify the reasoning of the fuel switch.

**Incidental Repairs**

The Weatherization Assistance Program is not a home rehabilitation program. Only limited incidental repairs will be permitted. **An incidental repair is a repair that is necessary for the effective performance or preservation of weatherization materials.** Such repairs include, but are not limited to: minimal roof repair or mobile home roof membranes, minimal floor and wall repair, attic access and stairs, mobile home skirting, limited electrical repair, leaking pipes, etc... These repairs must be necessary to preserve the integrity of the weatherization materials. All incidental repairs must be included in the cost savings calculation through NEAT/MHEA, with a final cumulative SIR value of 1.0 or greater for the unit.

Window and door repair/replacements cannot be addressed as incidental repairs.

Items such as porch steps, landings, decks, handrails, ramps or any other repair item that is not associated with the effective performance or preservation of the weatherization materials is not an allowable cost under the Weatherization Assistance Program.

**Permits and Code Compliance**

It is the responsibility of the Sub-Grantee to ensure the contractor obtains all necessary permits and is in compliance with code for the area in which the work is being performed.

**Weatherization Contractors**

Weatherization work will be performed through a combination of contract or crew based workers. Most Tennessee sub-grantees contract weatherization work on a per job basis. As of the writing of this state plan, at least one sub-grantee is in process of hiring crew based workers to supplement meeting their production goals.

Only contractors with a current Tennessee General Contractor or Home Improvement Contractor license and who have successfully completed a Grantee approved training course may be allowed to bid. Licensed contractors who have three or more years of experience in weatherization work may be exempted from the Grantee training course, at the option of the sub-grantee agency. Contractors must have all necessary training and certifications (such as RRP and OSHA) and ensure any employees are also in compliance, as applicable. All contractors must carry an active liability policy in an amount as approved by the sub-grantee agency. Any contractor currently on the federal Excluded Parties List System of suspended and debarred contractors may not participate. Sub-grantee agencies have the option to impose additional contractor qualifications.

If the building to be weatherized includes five or more family units, or if the building exceeds three stories, only those contractors with an active Tennessee Commercial Contractor's license may qualify to perform the work. All other contractor requirements still apply.

Provided the contractor meets the above qualification, the sub-grantee agency has the authority to determine those contractors they wish to approve to bid on the weatherization work awarded through their agency. The sub-grantee agency must ensure they have a sufficient number of approved contractors to ensure competition.

Contractors must sign the "Contract to Provide Services Under the Weatherization Assistance Program." This agreement is provided by the Grantee to the Sub-grantee as a contract for the contractor on each WAP job. By signing the "Contract to Provide Services Under the Weatherization

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

Assistance Program" the contractor performing the work is ensuring quality work and that all terms of the contract will be followed.

Field guide types approval dates

Single-Family: 10/3/2018
Manufactured Housing: 10/3/2018
Multi-Family: 10/3/2018

**V.4.2 Energy Audit Procedures**

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family

Audit Name: Other (specify)

Tennessee is approved to use the Weatherization Assistant (NEAT/MHEA) audit tool by DOE. Approval dates are July 5, 2016 through July 5, 2021.

Approval Date: 7/5/2016

Audit Procedure: Manufactured Housing

Audit Name: Other (specify)

Tennessee is approved to use the Weatherization Assistant (NEAT/MHEA) audit tool by DOE on mobile homes. Approval dates are July 5, 2016 through July 5, 2021.

Approval Date: 7/5/2016

Audit Procedure: Multi-Family

Audit Name: Other (specify)

All Multi-Family audits containing 5 or more units will be sent to DOE for approval prior to bidding. Tennessee will use Weatherization Assistant (NEAT) audit tool for use on multi-family buildings that contain up to 25 individually heated/cooled units.

Approval Date:

Comments

**Audit Tool Approval**

THDA received audit tool approval on July 5, 2016. THDA received verification from DOE on 3/20/2018 to use WAPez developed by TVA which is integrated with NEAT MHEA for energy audits.

**Energy Auditors**

Energy audits will only be conducted by energy auditors that meet minimum qualification standards as defined by THDA. An energy auditor may be a sub-grantee employee or a contractor of the sub-grantee agency. Tennessee requires every home to have an energy audit performed prior to weatherization services being provided in order to determine the appropriate measures for that specific unit. Sub-grantees are encouraged to hire Energy Auditors that already have completed BPI Certification. It is required for an Energy Auditor to be BPI Energy Auditor Certified within 6 months of employment. All Energy Auditors must have a BPI Energy Auditor Certification and meet the other requirements of DOE and THDA WAP. All Quality Control Inspectors must have a BPI QCI Certification. Any individual hired by a sub-grantee as a QCI must be certified within one year of employment. All final energy audits/ QCI inspections must be conducted by a QCI certified auditor that meets all other DOE and THDA WAP requirements.

**Single Family**

The audit tool approved by DOE for use on single family units in Tennessee is the Weatherization Assistant (NEAT/MHEA). DOE approval of the tool was obtained July 5, 2016. Each Energy Conservation Measure (ECM), except air sealing (WPN 13-05), must have a Savings-to-Investment Ratio (SIR) value of 1.0 or greater in order to be cost justified.

As part of the energy audit, the auditor is to perform a blower door test on the unit, and document the pre-weatherization reading in the field notes. If the auditor is unable to perform a blower door test due to the conditions present in the unit, he/she must document the reason why it is unable to be performed. The inability to perform a blower door test may result in a deferral situation until such a time as the blower door test can be conducted. Additional diagnostic tests will be conducted as necessary for the specific unit.

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

The energy audit recommended measures are used to build the work order for the unit. If measures have to be removed from the work order due to costs exceeding the cap per unit, those measures with the lowest SIR value will be removed first (with the exception of air sealing/CFM reduction measures), along with any incidental repair that is tied to the ECM that is being deleted from the work order. Whenever measures are added or removed, the SIR value must be recalculated to ensure both individual ECM and cumulative SIR values meet minimum standards. The actual cost of the measure as bid must also be compared to insure that SIR requirements continue to be met.

**Manufactured Homes**

The audit tool approved by DOE for use on mobile home units in Tennessee is the Weatherization Assistant (NEAT/MHEA). The audit tool approved by DOE for use on single family units in Tennessee is the Weatherization Assistant (NEAT/MHEA). DOE approval of the tool was obtained July 5, 2016.

**Multi-Family**

Any multi-family project containing 5 or more units will be sent to the DOE PO before work is started. The Weatherization Assistant (NEAT) audit tool will be used for any multi-family building with less than 25 units that are individually heated and cooled. The entire building will be considered when conducting the pre-weatherization audit, and recommended cost effective measures for the entire building will be identified.

All Multi-Family units that don't meet the approved criteria must be submitted separately for approval prior to commencing work. If the Multi-Family building contains units that are not individually heated and/or cooled, or if there are 25 or more living units within the building, the job will be submitted to the Project Officer for review and approval prior to commencement of weatherization work.

The multi-family building (to include all living units and common spaces) will have the weatherization work awarded following the single bid process, with the job to be awarded to the lowest, qualified bid submitted.

**Weatherization Contractors**

Weatherization work will be performed through contracts by sub-grantee agencies. All contractors must meet the training and certification requirements listed in the THDA WAP Manual. All contractors and crews must be approved by THDA. Only contractors with a current Tennessee General Contractor or Home Improvement Contractor license and who have successfully completed a Grantee approved training course may be allowed to bid. Licensed contractors who have three or more years of experience in weatherization work may be exempted from the Grantee training course, at the option of the sub-grantee agency. Contractors must have all necessary training and certifications (such as RRP and OSHA) and ensure any employees are also in compliance, as applicable. All contractors must carry an active liability policy in an amount as approved by the sub-grantee agency. Any contractor currently on the federal Excluded Parties List System of suspended and debarred contractors may not participate. Sub-grantee agencies have the option to impose additional contractor qualifications.

If the building to be weatherized includes five or more family units, or if the building exceeds three stories, only those contractors with an active Tennessee Commercial Contractor's license may qualify to perform the work. All other contractor requirements still apply.

Provided the contractor meets the above qualification, the sub-grantee agency has the authority to determine those contractors they wish to approve to bid on the weatherization work awarded through their agency. The sub-grantee agency must ensure they have a sufficient number of approved contractors to ensure competition.

Contractors must sign the "Contract to Provide Services Under the Weatherization Assistance Program." This agreement is provided by the Grantee to the Sub-grantee as a contract for the contractor on each WAP job. By signing the "Contract to Provide Services Under the Weatherization Assistance Program" the contractor performing the work is ensuring quality work and that all terms of the contract will be followed.

**Weatherization Work Job Awards**

All units to be weatherized will follow a THDA approved bid process, with the job being awarded to an agency approved contractor. All awards must comply with Federal and State procurement requirements. Sub-grantees have the option to negotiate the costs or work to be performed when the bid exceeds the maximum amount permitted under the program, following the priority list for removal of measures. The job is not considered to be "awarded" until there is a fully executed contract that includes the scope of the work to be performed for that specific unit.

In the event the qualified contractor withdraws his bid, the sub-grantee may award the contract to the next contractor, with the same policies and procedures to be applied as described above. If the contractor defaults on the contract and fails to perform the work – either all or in part – the agency will have to re-evaluate the work that remains to be performed and rebid the job.

Contractors who make an error in the submission of their bid have the option to honor the price as quoted, or to withdraw their bid. Under no circumstances will the bid error be corrected and the cost of the work to be performed increased as a result of the contractor's error when preparing their submitted bid.

**Change Orders**

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

Occasionally, there may be additional weatherization work identified as needed after the initial audit or after the work has been awarded to a contractor. Change orders for additional work that is not charged to health and safety must also meet minimum SIR values. Change orders must be approved prior to the additional work being performed by the contractor.

**V.4.3 Final Inspection**

Tennessee currently has 16 QCI certified inspectors. There is a mix of staff and contracted QCI inspectors in Tennessee. There are some agencies that do not have the capability to have multiple QCI inspectors/auditors on staff. Agencies that use the same auditor for their initial audits and QCI inspections will have monitoring increased to 10% of units. Tennessee allows sub-grantees to use QCI certified inspectors on a contract basis.

Once the contractor has notified the sub-grantee that all work on a unit has been completed, the sub-grantee will assign a qualified Quality Control Inspector energy auditor to perform a post-inspection audit. Every WAP unit must receive a final inspection by a certified QCI ensuring that all work meets the minimum specifications outlined in the SWS in accordance with 10 CFR 440. The purpose of the post-inspection audit is to ensure that all required measures (ECMs, incidental repairs, health and safety items) were installed in the building in accordance with program guidelines. The post-inspection should be driven by the initial work order, the awarded contract that specifies the work to be performed and any change orders that have been approved for the job.

If the QCI energy auditor determines that all required work has not been performed, or has not been performed in accordance with program standards, the contractor will be notified of the necessary corrections to be made. The contractor will not be paid additional funds for correcting the original work and bringing it up to program standards. Once corrected, another inspection will be performed. All completed work must be inspected by an approved agency auditor and passed before the job can be considered completed. Contractors will not be paid until work has passed inspection. Every client file must have a final QCI inspection form that certifies that the unit had a final inspection and that all work met the required standards. The form must be signed by a certified QCI. If a unit has received both a final inspection and has also been monitored by THDA, two certification forms will be available in the client file - one for each inspection.

Sub-grantee agencies have the option to incorporate contractor penalties related to failed inspections or a contractor's failure to complete the work by the timeframe outlined in the contract. If a penalty is applied, the payment made to the contractor will be reduced by that amount. The reduced cost for the weatherization work will be invoiced to the Grantee, with the amount of the applied penalty defined.

If the final inspection cannot be performed due to the client's unwillingness to allow the auditor access to the home, or other circumstances beyond the agency's control, the job can be closed after sufficient effort has been made to conduct a final inspection. In this situation, the contractor may be paid, but the job cannot be counted as a completed unit for purposes of meeting production goals.

Following is the contract clause to ensure the THDA SWS Field Guide is used:

The Grantee shall perform all WAP activities and carry out all fiscal responsibilities in accordance with THDA WAP policies and procedures; the Standard Work Specifications and THDA SWS Field Guide and subsequent technical guidance; all applicable U.S. Department of Energy regulations and policies, and all applicable Office of Management and Budget (OMB) circulars (collectively, the "Program Requirements").

**V.5 Weatherization Analysis of Effectiveness**

Every unit will have an energy audit performed utilizing the WAPez software which runs the Weatherization Assistant (NEAT/MHEA) audit to identify the most effective measures for that particular home. In addition, Tennessee plans to continue the partnership with the Tennessee Valley Authority to evaluate the impact the weatherization work had on the energy costs for the home. This partnership will require THDA to provide TVA with pre and post weatherization data for the unit and TVA provides energy saving kits to all WAP clients. TVA will evaluate the measures installed and the pre-weatherization energy costs and the post-weatherization energy costs. There will be no cost to the program for this evaluation. Please see attached document to the SFR- 424 titled WAP TVA Energy Kit Effectiveness.

THDA will also conduct a cost analysis across the state in order to provide updates to our measure cost library. The analysis will include obtaining contractors actual cost and averaging them for the state.

The results of the Quality Assurance Reviews are incorporated into training plans that are to be provided both statewide and on an agency basis. Continued monitoring of progress and work performed will inform the next steps in development of training. A copy of the THDA WAP monitoring tools are attached to the SF-424.

THDA works with CHP and THDA monitors in order to identify areas that need additional training. We create training opportunities that focus on correcting concerns/ findings from the monitoring visits.

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

Areas that need improvement or additional training are outlined and tracked by our T&TA provider and incorporated in our auditor and crew training. Based on monitoring from WAP-17 we will be providing additional training on HVAC systems, Health and Safety, blower door guided air sealing and duct sealing.

**V.6 Health and Safety**

Tennessee will track and report health and safety expenditures separately, and these funds will not be considered in the average cost of the unit. Sub-grantee agencies will be provided a specific dollar amount equal to 14.81% of their Program Operation funding that may be used to address health and safety issues as permitted in Tennessee's health and safety plan. Funds may only be spent in homes where weatherization work is being performed, although there is not a limit per home. Only those health and safety items that are necessary in order to effectively perform or as a result of weatherization work will be permitted. See the Health and Safety Plan template is attached to SF-424.

**V.7 Program Management**

**V.7.1 Overview and Organization**

The Tennessee Housing Development Agency (THDA) has been designated by the Governor as the State's administering agency for the Weatherization Assistance Program (WAP), effective with PY2012. Local agencies, including community action agencies, human resource agencies, not-for-profits, and other public entities, will contract with THDA to provide weatherization assistance in each of Tennessee's ninety-five counties. THDA's intent is to provide Wx services statewide but funding limitations may prevent weatherization work from occurring in each county every program year.

The Weatherization Assistance Program (WAP) was established under Title IV of the Energy Conservation and Production Act and amended by the National Energy Conservation Policy Act, the Energy Security Act, the Human Services Reauthorization Act of 1984, and the State Energy Efficiency Programs Improvement Act of 1990. The program is administered and funded at the federal level by the U.S. Department of Energy (DOE). This program is designed to assist low-income households in reducing their fuel costs and to contribute to national energy conservation through increased energy efficiency and consumer education. Weatherization measures provided by this program will reduce heat loss and energy costs by improving the thermal efficiency of dwelling units occupied by low-income households.

All allocations to local agencies are subject to Congressional appropriation (and/or Federal Court orders) and subsequent allocations to the State by the DOE. In the event anticipated Federal funds are not obtained and continued at the levels indicated in this Plan, the Department reserves the right to reduce all agency allocations accordingly. In no event shall funds be provided for reimbursement of WAP agencies where federal funds are not available for such purposes. Tennessee has allocated 10% of LIHEAP funds to operate a LIHEAP based weatherization program. LIHEAP-Wx will be subject to some DOE rules.

Funding allocations to sub-grantee agencies will be provided based on the percentage of low-income population within a county. This percentage will be determined using a three year rolling average of the Census data (Small Area and Income Poverty Estimates). This funding formula will be updated annually, using the most recent three years' worth of data available at the time. The Grantee will monitor expenditures during the fiscal year. Sub-grantees who are not on track to fully expend their allocated funds within the fiscal year may have their funds returned to the Grantee for reallocation. Any funds that are unspent at the end of the fiscal year will be recaptured by the State, and reallocated at the Grantee's discretion.

Sub-grantee agencies are expected to meet performance and quality standards, as defined by the State. Failure to meet these standards can result in termination of the sub-grantee agency.

All funds available to Tennessee's WAP will be administered in accordance with DOE rules and regulations and State policies and procedures. Local agencies will be required to adhere to these and other applicable federal regulations, including the Accounting Manual for Recipients of Grant Funds in Tennessee, published by the State of Tennessee's Comptroller of the Treasury; and the Tennessee Weatherization Assistance Program policies and procedures.

**Pollution Occurrence Insurance (POI)**

Tennessee does not require sub-grantees to purchase Pollution Occurrence Insurance (POI). However, it is an allowable expense if a sub-grantee opts to purchase this insurance.

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

**Caps on Expenditures**

Each single-family home will be limited to \$7,541 in DOE funding to perform weatherization services (ECMs, Incidental Repairs, Health & Safety) on a single family home. Expenditures for a multi-family building are limited to the number of units occupied by an eligible household multiplied by \$7,541. The Grantee reserves the right to provide approval to exceed these caps on a case by case basis. The State average per unit will not exceed the maximum permitted by DOE.

**Client Education**

Client education will be provided to clients by the sub-grantees, auditors and contractors. The state will provide a basic client education review sheet that is to be covered with all clients that will address their specific lifestyle and provide an opportunity to discuss specific issues noted during the client interview and home inspection. As standard health and safety issues are covered during the initial inspection by the sub-grantee, information will be provided on the measures that are scheduled to be installed. Clients will be asked to disclose any known or suspected health and safety concerns on the Tennessee WAP Client Education Checklist. The Tennessee WAP Client Education Checklist must be retained by the Sub-grantee in the client's file. If there are health and safety concerns, or other concerns, noted by the client during the client education process, those concerns will be brought back to the Sub-grantee's program manager. The Sub-grantee will notify THDA if the client's concerns cannot be answered. THDA will seek guidance from the DOE Project Officer if the client's concerns cannot be answered at the Grantee level.

The Tennessee Housing Development Agency intends to partner with TVA (Tennessee Valley Authority) to obtain client education kits that support energy conservation practices. This will be provided at no cost to the client. Additionally, no DOE funds will be used. This kit will contain products and materials that inform clients of basic energy conservation practices to help them further reduce their energy costs. All sub-grantee agencies will participate in consumer education activities.

**Policy Advisory Committee**

The Policy Advisory Committee (PAC) serves to advise the Grantee agency not only on issues specifically related to the Weatherization Assistance Program but will also provide guidance to the Grantee agency on how it can be more effective through the promotion and modeling of energy conservation practices as they do business. The PAC consist of members named by the Grantee agency, each of whom will serve time limited terms. The Policy Advisory Committee (known as The Energy Efficiency and Weatherization Advisory Board) consists of individuals who have been involved in the program in some capacity, in a technical or operational capacity, energy provider representatives, individuals involved in property development, and individuals who represent the low-income and elderly population served. A representative from THDA is a non-voting member.

**V.7.2 Administrative Expenditure Limits**

Sub-grantees are authorized to budget up to 6% of their total fiscal year allocation for administrative costs subject to approval by THDA. A sub-grantee with an annual allocation less than \$350,000 may be permitted to allocate an additional 5% of their funds for administrative costs, subject to approval by THDA.

The Tennessee Housing Development Agency will retain 4% of the federal funding allocation for its own administrative costs.

**V.7.3 Monitoring Activities**

The Community Programs Division of THDA is responsible for the administration of the WAP in Tennessee. Currently, the Community Programs Division has a Program Monitor responsible for monitoring WAP. Technical Monitoring is conducted by Community Housing Partners and a THDA Housing Program Coordinator. THDA's Internal Audit Division will conduct the Fiscal Monitoring of the WAP. Housing Program Coordinators will monitor WAP invoices.

An estimated amount of 5% of the grantee admin funds are used for program monitoring, and about 40% of the T&TA funds are used for technical monitoring. THDA will monitor in accordance with the approach outlined in WPN 16-4 which includes but is not limited to the following;

**Programmatic and Management Monitoring**

Each Sub-Grantee agency will have an on-site monitoring visit performed annually, at a minimum. Sub-grantee agencies will be monitored for compliance with federal and state policies and procedures, and where applicable, compliance with the sub-grantee's approved operational plan. A sample of case files that is a mix of denials, approved-wait list, in process and completed will be reviewed at this visit for the following, although this list is not meant to be all inclusive:

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

- Correct determination of eligibility and notification provided, including the annual recertification where applicable
- Case documentation
- Identification of reweatherized units, and agency method for tracking homes that have been weatherized
- Compliance with rental property requirements and eligibility
- Compliance with multi-family building policies
- Compliance with Historic Preservation guidelines
- Correct calculation of priority and priority standards followed
- Pre-audit and appropriate identification of measures in accordance with program policies, utilizing the state approved audit tool and review of the generated work order to ensure quality and detail provided
- Procurement of work
- Post-Audit inspection process
- Measures invoiced in correct budget category (ECM, Incidental Repairs, H&S)
- Client Education
- Timeliness
- Database accuracy and timeliness of data entry
- Compliance with program policies and procedures
- Use of standard, mandatory templates
- Customer satisfaction

In addition to the review of case files, the following information will also be reviewed at the annual visit:

- Conduct inventory of any equipment (original purchase price of \$5000 or more) purchased with DOE funds.
- Review staff and contractor qualifications and contracts, if applicable, to determine compliance with program requirements and sub-grantee's operational plan
- Review sub-grantee's process of tracking and addressing quality and workmanship concerns and findings for staff, auditors and contractors.
- Review process for contract payment
- Review the agency procedures for identification of staff performance and subsequent corrective action to address any deficiencies
- Using the the Weatherization Manual / Operational Plan that each sub-grantee must sign and submit to the Grantee on an annual basis for review and approval, monitor for compliance with the Plan.
- The sub-grantee's most recent annual audit
- Review findings from Grantee's technical inspections and corrective action plans that have been implemented to address any concerns
- Procurement process complies with federal and state requirements, and follows procedures outlined in the sub-grantee's operational plan
- Budget management of funds
- Compliance with production goals
- Contract compliance
- Timely and accurate submission of reports and invoices
- Identification of Training and Technical Assistance needs

This list is not meant to be all-inclusive, and may be expanded as necessary to ensure compliance with both federal and state program guidelines.

**Financial Monitoring**

In addition to an annual on-site financial monitoring visit to each sub-grantee agency, all invoices submitted for payment will undergo a fiscal desk review prior to any payment being authorized. This desk review will include 100% of all invoices and the documentation that supports the amount invoiced. The invoice and supporting documentation will be reviewed and approved by multiple staff persons prior to submission to THDA's fiscal department for payment. Any invoice item that lacks sufficient back-up documentation will not be paid until documentation is provided that justifies the amount invoiced. Additionally, any invoiced expense that is not an allowable expense will be disallowed, and deducted from the amount to be paid.

Every sub-grantee agency will have an annual on-site financial compliance review conducted by THDA staff. At minimum, this monitoring visit will review the following items:

- Financial Management and Accounting Systems and Operations
- A review of the most recent annual audit conducted for the sub-grantee agency. Any additional audits related to WAP that have been conducted within the last twelve (12) months will also be reviewed
- Payroll and personnel
- Equipment, defined as any item with an initial cost of \$5000 or more that was purchased with DOE-WAP funds (vehicles are not permitted to be purchased with DOE-WAP funds under Tennessee's policies)
- Procurement
- Invoicing (supported by fiscal desk reviews mentioned earlier)
- Record Retention

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

- Contract compliance
- Follow-up on issues from prior monitoring visits, reports, desk reviews and other sources

**Technical Monitoring**

THDA will conduct a post-inspection of five percent (5%) or more of all completed units per Sub-Grantee agency during the fiscal year. Sub-grantee's that do not have an independent QCI to conduct the final inspection THDA will increase monitoring to ten percent (10%) of completed units. This inspection will be performed by a certified Quality Control Inspector and performed by a THDA employee or a contractor acting on behalf of the Grantee. Weatherization activities will be monitored to ensure compliance with the guidelines provided in the Standard Work Specifications and the Tennessee Weatherization Field Guide, the Health and Safety Plan, technical assistance memorandums and the WAP Policies and Procedures Manual. Post-inspections will also serve as an opportunity to provide technical assistance as appropriate.

To the extent possible, units to be inspected by THDA will be selected from the units included on the sub-grantee's monthly invoice, and inspected prior to being reported to DOE as completed. All work is reviewed to ensure that the SWS, THDA SWS Field Guide and all WAP quality guidelines were followed. Any unit found to be deficient will be required to be corrected. Findings related to technical assistance visits will be tracked on a sub-grantee, auditor and contractor level to help identify exceptional as well as poor performance and workmanship. These results will be used to identify training and technical assistance needs for our continuous quality improvement process. Technical monitoring will review the work of the auditor, contractors, and the QCI. If there are repeat findings from the same QCI the local agency will be notified and the QCI will be placed on a corrective action plan including increased training.

THDA will monitor for the training and certifications requirements of WAP contractors and auditors during the technical monitoring visit.

**Monitoring Reports and Corrective Action Plans**

Within thirty (30) days following every on-site program or financial monitoring visit, a report that details the findings of the visit, including any identified best practices will be provided to the sub-grantee agency. The Sub-Grantee will be required to provide a written Corrective Action Plan (CAP) that addresses all identified findings and concerns. The CAP must provide the actions the local agency has taken or plans to take, along with a timeline for implementation, to address and alleviate the concerns. If the Sub-Grantee disagrees with any findings in the monitoring report, they may provide rebuttal as part of their CAP. The CAP is not final until it has been reviewed and all corrective action plans and/or rebuttals accepted by the Grantee agency. If there are questioned costs identified as part of the monitoring visit, and these costs are not successfully resolved during the CAP process, these costs will be recovered from the next invoice. If they cannot be recovered from a subsequent invoice, the Sub-Grantee agency will be required to make payment arrangements with THDA for the questioned costs.

Compliance with Corrective Action Plans will be monitored through desk reviews, communication with the Sub-Grantee, and subsequent monitoring visits. Sub-Grantees with significant deficiencies identified may receive additional monitoring visits as necessary. Sub-Grantees who continue to have sub-standard performance that is not successfully addressed by corrective action may have funding reduced, be placed on probation or face termination and no longer be allowed to participate in the program.

**Reporting**

Within thirty (30) days from the end of the program year, THDA will create a report that provides a summary of each Sub-Grantee's financial reviews, program monitoring reports and any outstanding issues. This report will provide an overview of each Sub-Grantee's needs, strengths and weakness. This report will be utilized as a planning document, and will be made available to DOE upon request.

As mandated by federal guidance, THDA will also provide to DOE a report that includes successes and significant problems identified through monitoring. This narrative report will be incorporated within the mandated *T&TA, Monitoring and Leveraging Report*. This annual report will be submitted within thirty (30) days from the end of the reporting period.

In addition to DOE reporting requirements related to monitoring, State Policy 22 requires an annual report of Subrecipient Monitoring. THDA will provide a summary of all Sub-Grantee monitoring, including findings and recommendations to the Tennessee Department of Finance and Administration.

**Technical and Programmatic Monitoring Schedule**

Once production is underway, we plan on visiting 2 subgrantees per month for programmatic and technical monitoring. Throughout the year we will monitor each subgrantee at least once. Based on monitoring findings and outcomes THDA will conduct additional visits as needed. Based on production we will conduct annual fiscal monitoring visits for subgrantees. Fiscal Monitoring is conducted by the THDA Internal Audit division and averages 1-2 subgrantee visits per month. The THDA WAP monitoring tools can be found attached the SF-424. The THDA WAP Monitoring and Corrective Action procedures can also be found attached to the SF-424.

1st Qtr (7/18- 9/18)

SWHRA, SCHRA, BCCAA, MDHA

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

2nd Qtr (10/18- 12/18)

HREC, MCCA, CMCCA, SCHRA

3rd Qtr (1/19-3/19)

DHRA, CITY OF MEMPHIS

4TH Qtr (4/19- 6/19)

SETHRA, KKCCAC, UCHRA, UETHDA, ETHRA

**V.7.4 Training and Technical Assistance Approach and Activities**

Tennessee Housing Development Agency's training plan will follow the Tier 1 and Tier 2 training categories as outlined in the WPN 15-04 "Quality Work Plan", Section 4 and as required, will meet the National Renewable Energy Laboratory (NREL) Job Task Analysis (JTA) for which the worker is employed. Following is a description of the training to be provided and a tentative time line for completing each training activity. Subgrantees are encouraged to recertify their weatherization workers in accordance with this training plan, as needed, and at least 6 months prior to the expiration of the individuals' certification date to ensure an adequate supply of QCI's as well as all other occupational specialties requiring certification. The major objective of Training and Technical Assistance is to provide Subgrantees with the information and training required to administer and operate in compliance with DOE and State rules and regulations. The majority of the Subgrantees are anticipated to have at least one QCI person on staff but some may contract with an independent QCI contractor and still others may use shared QCI resources from adjacent/network agencies.

THDA has recognized and evaluated training needs based on monitoring reports and requirements. THDA has reviewed all subgrantee monitoring reports with our T&TA provider and trainings are developed based on the needs of the subgrantee and/or individuals. There has been a general Health and Safety Training created due to the needs assessment of the WAP subgrantee and monitoring visits.

THDA's T & TA contract was procured in 2017 through an RFP process. THDA is using Community Housing Partners as their IREC-accredited Tier 1 and Tier 2 training provider.

THDA and CHP review the sub-grantee's energy audits to check for consistency across sub-grantees. If an agency is showing lower energy savings than the average; THDA will address this issue with increased training on the audit tool. THDA will discuss the importance of energy savings during auditor and sub-grantee trainings.

**Tier 1 Training - must be completed at least every 2 years**

**Quality Control Inspector** - training and certifications 2014-Present

Continual QCI training will be conducted annually or, as needed, for new auditors and for continuing education credits

QCI for new auditors – Classroom with field exercises – 5 day course – to include all associated travel costs, book/materials etc.

QCI Testing - to include all fees, written/field for new auditors and auditors that are seeking QCI certification. If a staff auditor for a Sub-grantee is unable to pass the QCI exam on the first attempt the Sub-grantee can request that the Grantee pay for the auditor's second attempt. Permission to take the exam a second time will be granted after a satisfactory request is submitted. Sub-grantees can also request for the staff auditor to attend additional QCI training. If the auditor is unable to pass the QCI exam after the additional training and the second exam attempt, then the auditor will be responsible to pay for the exam using other funding sources.

**Energy Auditor**- training for the Energy Auditor Job Task will take place Fall 2018- Spring 2019. Energy Auditor training will be held as a weeklong class for current energy auditors and other qualified individuals within the THDA WAP network.

**Retrofit Installer Technician** – Training for RIT has taken place with contractor trainings in PY2015-17. The Tier 1 RIT training will be available on an individual basis during PY2017. The RIT statewide training will be planned in PY2018.

**Crew Leader**- Training for Crew Leaders will be available during PY2018.

**Tier 2 Training**

Single-issue, short-term, training to address acute deficiencies in the field such as dense packing, crawlspace, ASHRAE 62.2-2016, etc. Conference trainings are included in this category. Tier 2 training is also implemented based on issues found during monitoring visits. Classes will be labeled as mandatory if there are multiple repeat findings due to lack of experience or training.

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

In addition to IREC accredited Tier 1 training providers, several non-IREC accredited training providers are located throughout the state/country (i.e. State, regional and/or nation meetings/conferences; Technical Colleges; other for/nonprofit organizations; etc). Tier 2 training courses are provided throughout the year and dependent upon the individual Training Providers' schedule. Subgrantees are reminded that any out of state training activities must be approved in advance by Tennessee Housing Development Agency.

The following are available and considered Tier 2 training:

- Statewide Meetings/Conferences
- Home Performance Conference
- Energy OutWest (DOE Regional Conference)
- CHP Energy Solutions Research and Training Center
- Southface Energy Institute
- Everblue Energy Inc.
- Other for-profit and nonprofit Organizations

Tier 2 Training Courses including but not limited to:

- ASHRAE 62.2 (2016) - Residential Ventilation
- Audit Assessment
- Blower Door & Duct Testing
- Building Science
- CAZ - Zone Pressure Diagnostics
- Client Education
- CPR & Standard First Aid
- Crew Leader
- Dense Pack Walls
- Diagnostics - Energy Auditor Testing Equipment
- HVAC Fundamentals
- Infrared Thermography
- Lead-Safe Weatherization
- Manufactured Housing - Fundamentals
- NEAT/MHEA
- OSHA 10 - Construction
- Renovator - Initial Course
- Retrofit Installer Technician
- Weatherization Management

Technical Assistance includes:

Field Guide Updates— THDA anticipates ongoing costs for updating the Tennessee Field Guide and Tennessee SWS as needed.

The T & TA contractor will assist in the following: Implementation of a Quality Work Plan, review of field guide to align with SWS along with different formats for distribution and use by sub-grantees and contractors (attachments to contracts, etc. and confirmation of distribution), assessment of readiness for QCI examination, and the development of training plan, including but not limited to training outlined above, as well as Tier 1 and Tier 2 training.

The T & TA contractor will perform the role of "Independent QCI" for monitoring program year 2019 with the intent to have this function assisted by THDA QCIs during program year 2019.

**Mandatory Training for all WAP Auditors:**

- Retrofit Installer Technician Field Mentoring
- Manufactured Housing Field Mentoring
- Energy Auditor House Diagnostics Field Mentoring
- NEAT / MHEA / ASHRAE Field Mentoring
  
- OSHA 10

Additional training curriculum for new auditor certification may be approved on a case-by-case basis by THDA.

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

Percent of overall trainings

Comprehensive Trainings:	<input type="text" value="50.0"/>
Specific Trainings:	<input type="text" value="50.0"/>

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	<input type="text" value="0"/>
Percent of budget allocated to Crew/Installer trainings:	<input type="text" value="0"/>
Percent of budget allocated to Management/Financial trainings:	<input type="text" value="0"/>

**V.8 Energy Crisis and Disaster Plan**

THDA WAP is in compliance with WPN 12-07 in the event of a natural disaster that impacts the operations of the Weatherization Assistance Program, the following disaster plan will be enacted. The following plan will be executed upon a federal or state declaration of disaster for a specific area within the state.

- Identify those current clients who reside in a disaster area. A current client is one who has applied for and been determined eligible for the Weatherization Assistance Program.
- If the client resides in a disaster area, the WAP agency must contact the client to determine if the home has sustained any damage. If the client states the home was not damaged in the disaster, document the case file to reflect their statement, along with the date of the contact and the name of the agency representative who spoke to the client. No further action is required, and standard WAP procedures will be followed.
- If the client states damage occurred, document the contact in the client file, and follow the disaster plan guidance based on the current job status for the home.

**Job Not Yet Begun – Home Still on Wait List**

The job is not considered to have begun if the applicant has been approved for the WAP, but is still on the wait list pending selection for service. Contact the applicant to determine if damage has occurred to the home. If there is no damage, document the case file, and no further action is required. If the home is destroyed or condemned, or if the applicant has moved without intending to return once repaired, close the WAP case.

If the home is damaged and requires repair, the home remains on the wait list. Determine if the home is eligible for extra priority points as a result of the disaster and adjust accordingly. Document the client file with relevant information and action taken.

**Jobs in Process**

Identify those current clients who have a WAP job in process. A job is considered to be in process if any of the following actions have taken place:

- A. A pre-energy audit has been completed;
- B. The job has been awarded to a contractor;
- C. Installation of weatherization measures has begun

However, there has not been a completed and passed post-energy audit performed as the final inspection by the sub-grantee agency for these jobs, nor has the job been closed or marked as completed.

**Home Damaged; Job Not Yet Awarded or Begun**

If the home had a pre-energy audit performed, but the job has not yet been awarded, do not award the job. If it is determined that the home was destroyed or condemned, or if the client is no longer residing in the home and does not intend to return once repaired, close the case and document the file.

If the home was not destroyed, conduct another pre-energy audit to determine if the condition of the home permits the weatherization work to continue, and the weatherization measures to be installed. If home repairs are necessary due to damage, these repairs are to be completed utilizing funds other than DOE (insurance, disaster relief funds, personal funds or loans, funds from other programs, etc...) prior to the energy audit being

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

**(Grant Number: EE0007951, State: TN, Program Year: 2019)**

performed. The weatherization measures work may be deferred pending repair. Upon repair, the home may be audited, and the weatherization work may proceed based on the current audit recommendations, and following current WAP guidelines and policies.

**Home Damaged: Job Had Been Awarded, But Not Yet Completed with Final Inspection**

If the installation of weatherization measures was in process (work had begun, but the post-audit inspection had not been completed), and the contractor had not yet completed the work, determine if home was destroyed. If destroyed, the contractor is to invoice the agency for only those measures installed in the home at the time of the disaster. No post inspection is required, but the agency must confirm the home was destroyed and an audit is not possible due to damage. This home cannot be counted as a completed unit; however DOE Weatherization funds may be used to pay for audit and contractor costs.

If the home was not destroyed, and repairs are necessary due to damage, these repairs are to be completed utilizing other funding sources. Another energy audit will be required once repaired to establish the current status of the home, and the appropriate energy measures based on that status. The job may need to be deferred until necessary renovations are completed prior to weatherization taking place. The contractor may be paid for all measures installed at the point of the disaster, with a post-audit to be conducted on the measures if possible. It may be necessary to re-bid the job if the work to be performed changes significantly or there is a long delay before the job can be finished while waiting on repairs. Do not close the job until all weatherization work is completed. Depending on the amount of work to be performed following the disaster, the job may need to be re-bid.

Items that had been installed, but were subsequently destroyed due to the natural disaster and not covered by the homeowner's insurance or other funding sources, including disaster relief benefits, may be included in the subsequent audit and work order. The change order process must be followed to accommodate the newly defined measures. Please note: Throughout this process, DOE funds may only be used for those energy related incidental repairs. WAP is not designed to be a renovation program.

**Home Damaged: Re-Weatherization of Previously Completed Units**

A home that has been weatherized prior to the disaster, but which was damaged by a federal or state declared disaster, may reapply for re-weatherization services without regard to the date previously weatherized. A new energy audit is required. All other eligibility conditions will apply, and the job must be reported as a re-weatherization.

**Additional Priority Provided**

Current clients in a disaster area may be provided priority services, with 15 additional points provided to disaster victims. These points are added to the points already provided to vulnerable household members as part of the priority point system. Additional priority points will only be provided upon verification of a FEMA assigned number for that client/residence for the specific disaster.

New applications for WAP following a disaster may also receive an additional 15 priority points as a disaster victim provided:

- The existing structure was damaged (not destroyed or condemned) in the disaster, and;
- The application is received within four (4) months from the date the disaster occurred, and;
- The applicant provided verification of an assigned FEMA number for the specific disaster.

**Points to Remember**

- If a weatherization job that was in process or completed was damaged in the natural disaster, the sub-grantee agency must determine if the homeowner has insurance or other funds available to cover the costs of repairs. Weatherization funds may not be used if the damage was covered by insurance or other funding sources. Weatherization funds may only be used to address eligible weatherization activities, as currently allowed in Tennessee's policies and procedures.
- If possible, local agencies will coordinate the weatherization work efforts for the home to gain efficiencies. This does not negate the requirement to perform a pre-energy audit based on current unit circumstances.
- Personnel that are paid from DOE funds are not allowed to perform disaster relief work in the community. They are permitted to perform work related to protecting the DOE investment, such as securing and protecting weatherization materials and equipment and agency program files and records when the disaster initially occurs.
- The maximum amount of funds that may be spent per unit is capped at \$7,541. This includes both pre-disaster and post-disaster work with the exception of jobs that are considered re-weatherization. This cap may only be exceeded with prior approval from the State.