

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0007920		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address KANSAS HOUSING RESOURCES CORP 611 S KANSAS AVENUE TOPEKA, KS 666033803		4. Program/Project Start Date 07/01/2019	5. Completion Date 06/30/2021

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DOE 2019 & 2020 WAP Formula Funds	81.042	\$ 0.00		\$ 6,183,757.00		\$ 6,183,757.00
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 6,183,757.00	\$ 0.00	\$ 6,183,757.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRA TION	(2) GRANTEE T&TA	(3) SUBGRANTE E ADMINISTRA	(4) PROGRAM OPERATIONS	
a. Personnel	\$ 103,534.00	\$ 98,445.00	\$ 0.00	\$ 0.00	\$ 201,979.00
b. Fringe Benefits	\$ 49,149.00	\$ 49,732.00	\$ 0.00	\$ 0.00	\$ 98,881.00
c. Travel	\$ 980.00	\$ 54,187.00	\$ 0.00	\$ 0.00	\$ 55,167.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 25,839.00	\$ 26,361.00	\$ 0.00	\$ 0.00	\$ 52,200.00
f. Contract	\$ 4,960.00	\$ 44,000.00	\$ 338,941.00	\$ 3,735,621.00	\$ 5,523,530.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 124,725.00	\$ 127,275.00	\$ 0.00	\$ 0.00	\$ 252,000.00
i. Total Direct Charges	\$ 309,187.00	\$ 400,000.00	\$ 338,941.00	\$ 3,735,621.00	\$ 6,183,757.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 309,187.00	\$ 400,000.00	\$ 338,941.00	\$ 3,735,621.00	\$ 6,183,757.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

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SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 6,183,757.00	\$ 0.00	\$ 6,183,757.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) HEALTH AND SAFETY	(2) LIABILITY INSURANCE	(3) FINANCIAL AUDITS	(4) SUBGRANTE E T&TA	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 201,979.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 98,881.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 55,167.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 52,200.00
f. Contract	\$ 635,195.00	\$ 22,239.00	\$ 55,302.00	\$ 687,272.00	\$ 5,523,530.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 252,000.00
i. Total Direct Charges	\$ 635,195.00	\$ 22,239.00	\$ 55,302.00	\$ 687,272.00	\$ 6,183,757.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 635,195.00	\$ 22,239.00	\$ 55,302.00	\$ 687,272.00	\$ 6,183,757.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0007920, State: KS, Program Year: 2019)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Community Action, Inc (Topeka)	\$595,054.00 55
East Central Kansas Economic Opportunity Corp. (Ottawa)	\$1,620,141.00 179
North Central Regional Planning Commission (Beloit)	\$837,577.00 88
South Central Kansas Economic Development District (Bel Aire)	\$2,421,798.00 259
Total:	\$5,474,570.00 581

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	581
Rewatherized Units	0

Note: Planned units by quarter or category are no longer required, no information required for persons.

Average Unit Costs, Units subject to DOE Project Rules		
VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	581
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	581
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)		
F	Total Funds for Program Operations	\$3,735,621.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	581
H	Average Program Operations Costs per Unit (F divided by G)	\$6,429.64
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$6,429.64

IV.3 Energy Savings

Method used to calculate savings: ☒ WAP algorithm ☐ Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	581	29.3	17023
Prior Year Estimate	272	29.3	7970
Prior Year Actual	265	29.3	7764
Method used to calculate savings description:			

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0007920, State: KS, Program Year: 2019)

IV.4 DOE-Funded Leveraging Activities

For the current Program Year, KHRC will not be engaging in any DOE funded leveraging activities.

Other Funding Sources

For the current Program Year, KHRC will receive 15 percent of the State of Kansas LIEAP allocation. The LIEAP funds are used according to DOE rules, with the exception of additional measures as identified in the Weatherization Subgrantee's Procedures Manual. (Revision date 2020)

IV.5 Policy Advisory Council Members

☐ Check if an existing state council or commission serves in this category and add name below

Beth Pauley	Type of organization: Other Contact Name: Dorothy Barnett Phone: 7854240444 Email: pauley@climateandenergy.org
Brian Dreiling	Type of organization: Utility Contact Name: Phone: 7856251453 Email: bdreiling@mwenergy.com
David Carter	Type of organization: Other Contact Name: Phone: 7855324998 Email: dcarter@ksu.edu
Hilary Lukens	Type of organization: Unit of State Government Contact Name: Phone: 7852965833 Email: hilary.lukens2@ks.gov
Kimberly Bailey	Type of organization: Utility Contact Name: Phone: 8667162068 Email: kimberly.bailey@westarenergy.com
Maria Lopez	Type of organization: Utility Contact Name: Phone: 8166541726 Email: maria.lopez@evergy.com
Scott Anglemeyer	Type of organization: Non-profit (not a financial institution) Contact Name: Scott Anglemeyer Phone: 7852340878 Email: scott@kacap.org

IV.6 State Plan Hearings (Note: attach notes and transcripts to the SF-424)

Date Held	Newspapers that publicized the hearings and the dates the notice ran
01/10/2019	On January 10, 2019, Weatherization Grantee and Subrecipient Weatherization Directors attended a State Plan planning webinar to review WPN 19-1, the annual application package, and to identify focus areas of review for the 2019 State Plan Application.
02/14/2019	The Kansas Register ran the Notice for Public Meeting on February 14, 2019. On February 27, 2019 a public hearing was held to gather input from the general public on the development of the 2018 State Plan. No comments were received. The public hearing transcript is attached.
03/19/2019	Weatherization Subrecipients and PAC members were emailed the draft proposal on March 19, 2019 and a meeting with these stakeholders was held on March 27, 2019 to discuss the proposed changes to the State Plan and to gather their input.
03/28/2019	The Kansas Register ran the Notice for Public Hearing on March 29, 2019. The Public Hearing was held on April 11, 2019. The Public Hearing transcript is attached. No additional comments were received.
01/08/2020	On January 8, 2020, Weatherization Grantee and Subrecipient Weatherization Directors discussed focus areas of review for the 2020 State Plan Application during a quarterly Weatherization Directors' Meeting.
02/13/2020	The Kansas Register ran the Notice for Public Meeting on January 30, 2020. On February 13, 2020, a public hearing was held to gather input from the general public on the development of the 2020 State Plan. The public hearing transcript is attached.

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0007920, State: KS, Program Year: 2019)

04/07/2020	Weatherization Subrecipients and PAC members were emailed the draft proposal on March 24, 2020 and a meeting with these stakeholders was held on April 7, 2020 to discuss the proposed changes to the State Plan and to gather their input.
04/15/2020	The Kansas Register ran the Notice for Public Hearing on April 2, 2020. The Public Hearing was held on April 15, 2020. The Public Hearing transcript is attached.

IV.7 Miscellaneous

“Recipient Business Officer”: Christine Reimler, 785-217-2023, creimler@kshousingcorp.org

“Recipient Principal Investigator”: Scott Kuhn, 785-217-2048, skuhn@kshousingcorp.org

In 2019, DOE WAP utilized the American Customer Satisfaction Index (ACSI) to survey Grantees and Subrecipients. The intent of the survey was to provide the WAP network with a mechanism for improving program management and delivering maximum benefits to WAP clients. KHRC took the results of the ACSI and created a PY2020 ACSI Action Plan. This document will be attached to the SF-424.

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

(Grant Number: EE0007920, State: KS, 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

Definition of income used to determine eligibility:

Renters or homeowners whose income 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, shall be eligible for weatherization assistance in Kansas. In addition, households which contain a member who has received cash assistance payments under Title IV or XVI of the Social Security Act or applicable state or local law during the 12-month period preceding the determination of eligibility for weatherization assistance shall be eligible for weatherization assistance.

Describe what household eligibility basis will be used in the Program

Household Eligibility:

A dwelling unit shall be eligible for weatherization assistance if it is occupied by an eligible family unit whose income is at or below 200 percent of the poverty level and the structure is eligible as outlined in V.1.2 Approach to Determining Building Eligibility.

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

Qualified Aliens Eligibility for Benefits:

Subrecipients shall ensure that DOE weatherization services shall only be provided to eligible populations. All client files will contain an Eligibility Certification statement as found in the Kansas Subrecipient Procedures Manual. Subrecipients are directed to review <https://www.acf.hhs.gov/ocs/resource/liheap-im-hhs-guidance-on-the-use-of-social-security-numbers-ssns-and-citizenship-status-verification>.

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:

The applicant must provide evidence or income documentation satisfactory to the outreach worker that the household meets the eligibility requirements. The documentation must be maintained in the client file and made available for inspection by the agency employee and state staff. Applicant income must be verified for the one-year period prior to the certification month. Income data for a part of a year may be annualized in order to determine eligibility—for example, by multiplying by four the amount of income received during the most recent three months. The method of calculation is to be determined by the Subrecipient in accordance with WPN 20-3 and the Subrecipient Procedures Manual and should be uniformly applied. Applications on file for one year or more must be recertified for the year prior to pre-inspection. Applicant eligibility verification shall be documented in the file and shall include, as a minimum, (1) which 12-month period was considered, (2) a list of all sources of applicant income, (3) documentation of income from each source for the period(s) being considered, and (4) the date and initials of the agency employee verifying income.

Tax forms may be used to verify income only if the certification period is from January through December. Certification of self-employed individuals will include the use of a notarized statement declaring their income for the previous 12 months. Applicants who have undocumented or zero income must provide a notarized statement declaring their income, or lack thereof, for the previous 12 months.

Describe Reweathering compliance

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

Reweatherization:

No dwelling unit may be weatherized (1) which is designated for acquisition or clearance by a federal, state or local program within 12 months from the date weatherization would be scheduled to be completed; or (2) which has been weatherized since September 30, 1994. An exception is allowable for a unit, which has been weatherized since September 30, 1994, if it has been damaged by fire, flood or act of God and repair of the damage to weatherization materials was not covered by insurance.

Dwelling units partially weatherized under this program or under other federal programs during the period September 30, 1975 through September 30, 1994 may receive further assistance for weatherization. Homes which are eligible for reweatherization under 10 CFR 440.18(e) (2) may be reweatherized at the discretion of the Subrecipient weatherization director. Subrecipients are instructed not to repeat weatherization measures which were previously completed unless those measures are no longer effective. All reweatherized units must meet current weatherization standards on completion. The state will assure through monthly review of production that reweatherizations do not exceed ten percent of the state's completed dwelling units. Reweatherizations have averaged less than one percent over the past three years.

In the event of a natural disaster which results in damage to low-income homes, Subrecipient and state staff will evaluate the damage to determine the appropriate role for the Weatherization Assistance Program in relief efforts. See section V.8.

During scheduled on-site monitoring visits, K-WAP staff reviews a sample of client files to assure they were eligible for weatherization. In addition, K-WAP staff reviews annual Subrecipient CPA reports for findings related to ineligible units. In each case, the K-WAP recoups weatherization funding for ineligible units.

Describe what structures are eligible for weatherization

Eligible Structures:

Every dwelling weatherized must meet both the client eligibility and the building eligibility requirements. Eligible structure types include: single family, manufactured housing, multifamily buildings, and shelters.

Structures are ineligible for weatherization grant funds if they are condemned, scheduled for demolition, or designated for acquisition or clearance by a Federal, State, or local program within twelve months from the date of weatherization scheduled completion.

Structures will be assessed for compliance with the State Historic Preservation Officer (SHPO) Programmatic Agreement (PA). Weatherization services or select measures may not be eligible on certain homes as identified by a Section 106 review.

Structures will be assessed to ensure that weatherization measures will be effective. The expected lifetime of measures and their benefit will be taken into consideration when assessing structure eligibility. Conditions which constitute such limitations may include, but are not limited to:

- If remodeling or rehabilitation of the property (either planned or in progress) is substantial enough to degrade the effectiveness of weatherization.
- If the conditions of structural or mechanical systems of the home are such that it is not safe and possible to install or complete core measures; i.e., furnace safety and efficiency inspections and repair, blower door guided envelope air sealing, insulation.
- If it is not possible to improve the condition of the structure sufficiently to allow the installation of the core measures with the maximum \$500 for incidental repair, or with coordinated rehabilitation funding.
- If, at a minimum, health and safety items cannot be addressed.

If conditions exist which preclude the weatherization of the structure, a brief written description of the conditions should be supplied to the client. This notification should be coupled with the notification that weatherization assistance is postponed or deferred until such time that the problem conditions have been resolved. The agency should inform the client of a "reasonable" amount of time for the resolution of the problem conditions. The client will also be informed of their right to appeal the deferral. See Deferral Standards.

Subrecipients will exercise caution in dealing with non-traditional type dwelling units to ensure that they meet program regulations on whether the unit is, in fact, eligible. The weatherization of non-stationary campers and trailers that do not have a mailing address associated with the eligible applicant is not allowed. The use of a post office box for non-stationary campers or trailers does not meet this requirement.

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

Describe how Rental Units/Multifamily Buildings will be addressed

Rental Units:

Renter occupied housing units are eligible for weatherization services if they meet all other eligibility requirements. Signed permission from the owner of each eligible dwelling unit must be obtained and documented in the client file prior to performing any inspections, tests, or weatherization measures on a dwelling. Rent to own and contract for deed arrangements shall be considered rental properties.

K-WAP does not require landlord contributions to provide weatherization services. However, funding restrictions (i.e. excessive health and safety or incidental repairs, or other funding limitations) may require a landlord contribution to allow comprehensive weatherization work to proceed. Landlord contributions should be sought for the weatherization of multifamily complexes to maximize the benefits to the low income clients and to stretch limited WAP funding, when feasible

In compliance with 10 CFR 440.22, the following procedures shall be used in the weatherization of rental dwellings:

1. Subrecipients shall use the financial assistance guidelines for dwelling units to determine eligibility.
2. Subrecipients shall obtain a signed agreement (Landlord Rental Agreement) from the owner/landlord of the building or his designated agent authorizing the work to be done and, if applicable, agreeing to the landlord's financial participation in weatherization costs. Subrecipients should develop a detailed description of the weatherization measures authorized and costs assigned to the landlord and the agency. Rents shall not be raised solely due to the weatherization assistance provided under this part. The agreement shall include a provision that the landlord agrees not to raise the rent for at least one year from the time the work is completed, unless raising the rent is based on factors unrelated to the weatherization improvements. The client shall be provided a copy of the signed agreement. The K-WAP will not use a lien on landlord property.
3. In order to weatherize an entire multi-family building, the building must have at least 66 percent program eligibility rate (50 percent duplex or four-plex) including those units that will become eligible within 180 days under a federal, state or local government program for rehabilitating the building or making similar improvements to the building. On a case-by-case basis, with prior approval from DOE, certain eligible types of large multi-family buildings may be eligible for weatherization if as few as 50 percent of the units were certified as eligible for weatherization. This exception applies only to those large multi-family buildings where an investment of DOE funds would result in significant energy-efficiency improvement because of the upgrades to equipment, energy systems, common space, or the building shell.
4. The maximum amount of grant funds which can be spent for multifamily weatherization is determined the same way as in single-family owner-occupied units, which is by managing the average cost per unit. For reporting purposes, all units receiving weatherization must be reported as "completed units."
5. Approved measures that are applicable to multi-family units should be assessed, prioritized and implemented in an energy savings/cost effective manner appropriate to the particular building.
6. A building which is totally vacant may be weatherized only in conjunction with a federally funded rehabilitation project, and with the assurance that at least 66 percent of the units will be leased to income eligible tenants. If the building is partially occupied, vacant units may be weatherized if 66 percent of the total units are occupied by eligible tenants.
7. No undue or excessive enhancements shall accrue to the value of weatherized dwelling units in Kansas. Weatherization measures to be completed on rental units, as on owner units, must be cost-effective, as determined by an individualized REM/Design audit. The state may recoup costs of excessive weatherization measures.
8. Subrecipients shall document how the benefits of weatherization services accrue primarily to the low-income tenants residing in the rental unit if the tenants do not directly pay their own primary heating bill. Examples and guidance can be found in WPN 16-5.
9. Subrecipients shall include in their rental agreements the address and telephone number of the Legal Aid Society office(s) serving their areas, as well as a statement that Legal Aid is responsible for arbitrating landlord-tenant disagreements arising from weatherization activities completed on the units.
10. Shelters are eligible for weatherization activities, as follows:
 - a. "Shelter" is defined as a dwelling unit or units whose principal purpose is to house on a temporary basis individuals who may or may not be related to one another and who are not living in nursing homes, prisons or similar institutional care facilities.
 - b. For the purpose of determining how many dwelling units exist in a shelter, the minimum size for each dwelling unit within the shelter shall be 800 square feet of living space, or each floor of the shelter may be counted as a dwelling unit.

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

Describe the deferral Process

Deferral Standards:

Deferral may be necessary if health and safety issues cannot be adequately addressed through this guidance. The decision to defer work in a dwelling is difficult but necessary in some cases. This does not mean that assistance will never be available, but that work must be postponed until the problems can be resolved and/or alternative sources of help are found. In the judgment of the Subrecipients, which include crews and contractors, any conditions that exist, which may endanger the health and/or safety of the workers or occupants, should be deferred until the conditions are corrected. Deferral may also be necessary where occupants are uncooperative, abusive, or threatening. Crews and contractors are expected to pursue all reasonable options on behalf of the client.

Subrecipients will develop guidelines and a standardized form for such situations.* The form will include the client's name and address, dates of the audit/assessment and when the client was informed, a clear description of the problem, conditions under which weatherization could continue, the responsibility of all parties involved, and the client(s) signature(s) indicating that they understand and have been informed of their rights and options and have the opportunity to appeal. All deferred weatherization applications and jobs shall be entered into the Hancock system and the corresponding deferral reason selected from the available options.

*Disclaimer notices are currently in place for lead paint, mold, asbestos, hazard identification, occupant pre-existing or potential health conditions, and radon.

*Disclaimer notices are currently in place for lead paint and mold found in homes when needed.

Deferral conditions may include:

1. The client has known health conditions that prohibit the installation of insulation and other weatherization materials.
2. The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and the conditions cannot be resolved cost-effectively.
3. The house has sewage or other sanitary problems that would further endanger the client and weatherization installers if weatherization work were performed.
4. The house has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by local or state building officials or utilities and cannot be remedied by weatherization funds.
5. Moisture problems have developed signs of mold.
6. Dangerous conditions exist due to high carbon monoxide levels in combustion appliances, and cannot be resolved under existing health and safety measures.
7. The client is uncooperative, abusive, or threatening to the crew, subcontractors, auditors, inspectors, or others who must work on or visit the house.
8. The extent and condition of lead-based paint in the house would potentially create further health and safety hazards.
9. If, in the judgment of the energy auditor, any condition exists which may endanger the health and/or safety of the work crew or subcontractor, the work should not proceed until the condition is corrected.
10. The property has vermiculite insulation that will be disturbed.
11. The property has suspected asbestos containing materials in less than good condition or where the material is non-intact or where the material may be disturbed.
12. The utilities to the property have been disconnected by the utility company.
13. The combined price of required H&S measures exceeds the average H&S expenditure to the extent that the agency cannot balance the expenditure to maintain the required H&S percentage. In this instance, the agency may defer the home until additional funds are located to lower the expenditure to within the average.
14. The property is currently listed for sale and/or the eligible occupant will be moving.

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

15. The property has a significant remodel in progress.

V.1.3 Definition of Children

Definition of children (below age): **19**

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.

In accordance with federal rule, the State of Kansas recommends that tribal organizations not be treated as local applicants eligible to submit an application to operate a Weatherization Assistance Program. Native Americans will receive assistance as eligible individual applicants under program guidelines.

V.2 Selection of Areas to Be Served

Each Subrecipient listed in this application is a public or private nonprofit agency, including Community Action Agencies (CAAs), units of local government, and an economic development district.

Each existing Subrecipient was selected initially by criteria set forth in 10 CFR 440.15. (See map of areas attached.) Every year an analysis is completed on each Subrecipient's performance, including the review of monitoring visits and resolution of findings, production reports, expenditures in relationship to units completed, the quality of weatherization services provided, annual CPA audit reports, and general staff observations from interactions with Subrecipient staff and clients. On the basis of each Subrecipient's performance, a written closeout report is issued each year, requiring responses to noncompliance issues.

The WAP Subrecipient Procedure Manual describes procedures for the state's response to Subrecipient noncompliance, including recoupment or reduction of funding, subgrant probation, and subgrant termination.

The entire geographical area of the Grantee shall be served by the Weatherization Assistance Program. This requirement will be accomplished with a combination of DOE and other funds, as available, and may require multiple program years.

Allocation of funds to Subrecipients and across budget categories will be based on the base formula as available from KHRC. The base formula is based on the 2014-2018 American Community Survey 5-year Estimates.

Redistribution Provision: If Subrecipients are unable to expend their funds in a timely manner, KHRC/K-WAP retains the right to allow for re-allocation of funds to Subrecipients and across budget categories using the same formula as originally proposed or any other funding plan that meets the needs of targeted Kansas citizens without holding additional public hearings. Active management and re-allocation of the grant allows the grant to be fully expended during the budget period.

V.3 Priorities

K-WAP and Kansas weatherization Subrecipients give priority to three groups of households: those with low-income elderly clients, those with low-income clients who have disabilities, and those with low-income families with children 18 years of age or under. The weatherization Subrecipients seek actively and aggressively to identify the households, which include these priority groups. Their outreach methods include media advertising, networking with Area Agencies on Aging, the Kansas Department of Children and Families, homeless shelters, public housing authorities, other providers, and word of mouth. Subrecipients market their services in key locations where low-income residents are provided services.

Subrecipients have developed procedures for serving clients by priority. These priorities include:

1. Elderly persons (age 60 or over)
2. Persons with disabilities (any individual who has a physical or mental disability which constitutes or results in a substantial handicap to the individual's

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

employment; or a person who has a record of having, or is regarded as having, a physical or mental impairment which substantially limits one or more of the individual's major life activities; or someone who has a disability which would make the individual eligible to receive disability insurance benefits or supplemental security income from the Social Security Administration or developmentally disabled assistance from the Department of Health and Human Services)

3. Families with children 18 years old or under

Emergencies may take precedence over all other priorities. Emergencies are defined as life-threatening housing conditions, and they shall be documented as such in client files.

The timing of service to an applicant that is in a priority category may be set so services can be coordinated with another funding source.

Taking into consideration the above priority groups, subrecipients are encouraged to direct services to those geographic regions that did not receive weatherization benefits in the previous program year.

Weatherization Subrecipients are sensitive to the issues of high-energy burden and high residential fuel usage. The State of Kansas continues to explore ways to establish these categories for use in identifying priorities, however consistently and efficiently obtaining utility bill information from the numerous investor-owned, public, cooperative, and municipal utilities across the state remains a programmatic burden. Until verifiable utility information is readily and consistently available across the state, high energy burden and high energy users will not be a priority for eligibility.

V.4 Climatic Conditions

The National Oceanic and Atmospheric Administration's account of climatic conditions from the National Climatic Data Center reported that Kansas' 30-year average (1981-2010) heating degree days was 5,159 and its average cooling degree days was 1,359. The data file is attached for four representative weather stations. Based on the cooling degree-days, the state has approved specific cooling measures which are determined cost-effective by the REM/Design audit. The REM/Design audit utilizes the four provided climatic zones across Kansas to factor in climatic variances within the state.

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

Prioritization of weatherization measures to be performed on a dwelling unit have been established according to 10 CFR 440.21, Standards and Techniques for Weatherization. Energy audits will be conducted on each dwelling unit covered by the state's weatherization program.

Weatherization measures approved in Kansas, as justified by an individualized REM/Design audit H&S policy, or GHW list, include:

1. Diagnostic combustion appliance testing.
2. Measures to reduce infiltration.
3. General heat waste measures: water heater tank wrap, water heater pipe insulation on the first six feet, water pipe insulation in unconditioned areas, low-flow faucet aerators, low flow showerheads, replacement of furnace or air conditioner filters, and duct sealing and insulation when located outside the thermal boundary.
4. Installation of a smart thermostat.
5. Necessary repairs or replacement of primary heating unit.
6. Installation of attic insulation up to R-38.
7. Installation of dense-pack wall insulation.

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

8. Installation of floor insulation up to R-30.
9. Installation of interior or exterior storm windows over single-glazed, loose fitting primary windows.
10. Installation of wire or fabric sunscreen.
11. General cooling measures; including, air conditioning replacement.
12. Installation of other measures necessary to protect installed weatherization materials.
13. Necessary health and safety repairs.
14. Installation of LED lamps and fixtures
15. Refrigerator replacement.
16. Installation of primary windows and exterior grade doors.
17. Necessary repairs or replacement of water heater.
18. Installation of foundation wall and rim and band insulation up to R-19.
19. Slab edge insulation up to R-10.

All weatherization materials must meet the latest standards for weatherization as published in 10 CFR 440 Appendix A. Additional materials that are approved for use that are not included in Appendix A are LED lamps and fixtures and refrigerators. Subrecipients shall give preference in their purchases to products containing the highest level of recovered or recycled materials practicable.

In accordance with WPN 15-4, all measures installed will meet the objectives and desired outcomes of the Standard Work Specification as adopted and outlined in the Kansas SWS Field Guide and accompanying Supplemental Specifications for Manufactured Housing. All work must also be performed in accordance to the DOE approved energy audit procedures and 10 CRF 400 Appendix A.

The current SWS field guide for single family structures is approved for use through June 21, 2021. The supplemental guide for manufactured housing is approved for use through December 10, 2022. KHRC will update and align the single-family field guide with the current SWS standards for this housing type during PY2020. The updated Kansas SWS Field Guide will be submitted to DOE for review and acceptance during the first few months of 2021. The SWS field guide for single family structures is followed for small multifamily projects.

These documents currently contain the language for all the desired outcomes, specifications, and objectives required to complete weatherization work on single family and manufactured homes. These standards shall also apply to the small garden style multifamily buildings common to the state. A digital, dated version of the field guide and supplement has been provided to all Subrecipients and is available for all contractors and the public on the KHRC Weatherization Website: <https://kshousingcorp.org/forms>

Supporting photographs and how-to practices for specifications will be updated on an ongoing process and provided as new dated versions of the guide on the website.

Proposed changes and clarifications should be submitted to KHRC. All SWS primary language updates will be reviewed and incorporated on an annual basis. Annual and critical updates will be communicated with an effective date to all Subrecipients for distribution to crews and contractors.

All Grantee and Subrecipient agreements and vendor contracts will contain language which clearly communicates the expectation for quality work and the requirement to be in compliance with the Kansas SWS Field Guide. A signed contract that includes confirmation of receipt and understanding shall be sufficient and binding.

Activities or projects not included in the list of Categorical Exclusion activities in Section 2.9 of WPN 20-1 will require a NEPA environmental questionnaire submission for review.

Field guide types approval dates

Single-Family: 6/21/2018

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

Manufactured Housing: 12/10/2019 Multi-Family:

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family Audit Name: Other (specify) REM/Design audit (February 26, 2016) Approval Date: 2/26/2016

Audit Procedure: Manufactured Housing Audit Name: Other (specify) REM/Design audit (February 26, 2016) Approval Date: 2/26/2016
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Audit Procedure: Multi-Family Audit Name: Other (specify) Small Multi-Family (Up to 25 individually heated and cooled units per building) REM/Design audit (February 26, 2016) Large Multi-Family/High Rise: TREAT (on a case by case DOE approval basis) Approval Date:

Comments

K-WAP has received DOE's (5) year audit approval and it is valid through February 26, 2021. To allow time for the development, submission, and approval, KHRC has begun work to update energy audit procedures to align with WPN 19-4. The target date for submitting updated procedures to DOE for review and acceptance is August 1st, 2020.

In no case may a weatherization energy conservation measure (ECM) be installed that shows an SIR of less than 1.0, with the sole exceptions of top plane air sealing and or manufactured home duct boot and trunk sealing which will be eligible if the cumulative house SIR package is equal to or greater than 1.0. Subrecipients must also demonstrate good judgment in determining the appropriateness of some measures that show an SIR of 1.0 or above, assuring they manage to the average cost per unit, and balancing between providing more services to fewer households and providing appropriate services to more households.

Multi-family units comprise a smaller percentage of eligible units within Kansas, with the majority of these units being small complexes. Small multi-family buildings are buildings with 25 dwellings or fewer per building and units must be individually heated and/or cooled. These individually heated units will be modeled in REM/Design as individual units using the same field auditing and modeling procedures as detached single-family units. Large multifamily buildings (26+ units) or those buildings with a shared heating/cool systems may be weatherized on a case-by-case approval by DOE. The audit and assessment procedures must be appropriate to the dwelling type and each audit and all supporting documentation will be submitted to the DOE Project Officer for pre-approval.

V.5.3 Final Inspection

No dwelling unit may be reported to the Department of Energy as completed until the Subrecipient, or its authorized representative, has conducted a final inspection and certified that applicable work has been completed in a professional manner and in accordance with the priority determined by the audit procedures. Final inspections shall include post-weatherization blower door tests, mechanical inspections, and worst case draft tests.

Every DOE WAP unit reported as a completed unit must receive a final inspection ensuring that all work meets the minimum specifications as outlined in the Kansas SWS Field Guide. The individual who performs this final inspection shall be a certified Home Energy Professional Quality Control Inspector (QCI). Every client file must have a 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

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

certified QCI. The inspection must include an assessment of the original audit and confirm that the measures called for on the work order were appropriate and in accordance with K-WAP procedures.

To meet the Quality Work Plan inspection requirement, every agency shall have on staff a certified QCI. Additional WAP inspection staff are encouraged to work towards QCI certification. Where or when an agency does not have a certified QCI on staff to meet the requirement or inspection demands, a contracted certified QCI may be used with the written approval from KHRC. This contracted QCI may be an independent contractor or an arrangement with a network certified QCI may be established. All certified QCI inspectors working within K-WAP must maintain a valid copy of their certification with KHRC.

Due to the size of many Subrecipient agencies, the desire to have a completely independent QCI may not be realistic. It will be acceptable to have the same individual conduct the audit and perform the final inspection. However, the final inspector shall not be involved in any of the actual work on the home. Because this model does not allow for an independent review of the audit on every home, the percentage of monitoring shall be at least 10 percent.

A part of monitoring will be to ensure that final inspectors are QCI certified and are inspecting to the Kansas SWS Field Guide. Inspectors found not upholding the high quality of work expectations and standards will be written up. Corrective action plans will be required to be developed and implemented and will be tracked to resolution.

V.6 Weatherization Analysis of Effectiveness

Subrecipient effectiveness is assessed through multiple measures. Onsite monitoring requirements, as described in V.7.3 Monitoring Activities, provide ideal conditions during which Subrecipients may be evaluated and areas in need of improvement can be identified. In addition to the formal monitoring reporting that tracks deficiencies and findings and outlines how to make improvements, monitoring visits allow for a comprehensive review of the agency. Such review may include technical and financial systems and procedures, follow up on previous training outcomes and identification of future training needs, and the sharing of “Best Practices” at all levels of operation.

Monthly desk top budgetary reviews enable the grantee to analyze Subrecipient performance and productivity on an ongoing basis.

The K-WAP air sealing effectiveness is calculated using data provided from pre- and post-blower door measurements. This analysis provides K-WAP with information on each agency and weatherization auditor which allows staff to identify significantly high and/or significantly low performers. K-WAP staff analyzes the data for T&TA purposes that allows them to compare effectiveness within a Subrecipient’s area and between Subrecipients. The need for additional T&TA may be identified through these comparisons.

T&TA funds are made available and utilized throughout the K-WAP network to allow for continuous improvement. For current certified inspection staff, the use of continuing education units (CEUs) are used to maintain certification and to ensure on-going acquisition of knowledge and information about new procedures, materials, and trends. The specific certification will dictate the CEU requirements (i.e. BPI Energy Auditor requires 24 CEUs over 3 years).

Each Subrecipient is provided an annual award closeout report that is an analysis of their performance and effectiveness. The report may include the review of monitoring visits and resolution of findings, production reports, expenditures in relationship to units completed, the quality of weatherization services provided, annual CPA audit reports, general staff observations from interactions with Subrecipient staff and clients, the number of counties served, and agency average cost expenditures as compared to entire state averages. This annual review allows Grantee staff to review and compare Subrecipients’ productivity and effectiveness.

Success Stories - Each agency will be expected to develop a total of two “success stories” that occurred throughout the Program Year. The story should be accompanied with pictures of the dwelling or work in progress and if at all possible the unit’s resident. KHRC can be contacted for the appropriate consent forms for potential written publication and use of the picture(s).

V.7 Health and Safety

The Health and Safety Plan Template is attached to the SF-424 Page.

V.8 Program Management

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

V.8.1 Overview and Organization

In 1992, the Kansas Weatherization Assistance Program was located in the Housing Development Division, of the Kansas Department of Commerce & Housing. In 2003, the State of Kansas Governor's Executive Reorganization Order created a stand-alone agency. The agency is now the Kansas Housing Resources Corporation (KHRC), effective July 1, 2003. A KHRC organization chart is attached.

As well as the Weatherization Assistance Program, the KHRC administers the HOME, Community Services Block Grant (CSBG), Emergency Solutions Grant (ESG), and Low Income Housing Tax Credit (LIHTC); Section 8 Housing projects, and the State Housing Trust Fund. The K-WAP has developed mutually beneficial relationships with HOME program modules, ESG, and LIHTC.

The K-WAP also obtains client information and shares data with the Low Income Energy Assistance Program (LIEAP), located in the Kansas Department of Children and Families, in an effort to target the users who utilize the utility assistance program. A distinct agency, the Kansas Corporation Commission, houses the Energy Division, funded by the State Energy Program.

V.8.2 Administrative Expenditure Limits

The State of Kansas shall not exceed the ten percent maximum administrative allocation. The K-WAP shall not exceed the five percent maximum and its Subrecipient agencies shall not exceed the remaining five percent administrative allocation. To ensure the compliance of the 10 percent maximum federal mandate, K-WAP has written policies and procedures which require that K-WAP costs are monitored and maintained against the approved agency budget. All costs are reviewed and approved by the program director or fiscal officer prior to authorization to expend funds. Subrecipient administrative costs are controlled by the approved budget and narrative, which is a part of the signed grant agreement. All administrative costs which are determined unallowable, as a result of a resolved agency or CPA audit, shall be recouped by the K-WAP.

An exception to exceed the ten percent total administrative requirement shall apply to Subrecipients funded at less than \$350,000 of DOE funds. Subrecipient agencies are required to submit justification for administrative funds in excess of five percent of the total grant, with state approval based on the individual Subrecipient needs.

V.8.3 Monitoring Activities

In accordance with 10 CFR 440, K-WAP has the responsibility to perform monitoring and oversight of the program implementation and work performed by all its Subrecipients. This responsibility includes ensuring that grant funds are expended in accordance with applicable law, including regulations contained in 10 CFR 440; applicable OMB circulars, Financial Assistance regulations 2 CFR 200 and 2 CFR 910; Weatherization Program Notices, and other procedures that DOE may issue. The purpose of monitoring will be to assure weatherization programs are being managed within federal and state guidelines and that eligible low-income families are receiving high-quality and appropriate weatherization of their homes. Approximately 35% of the Grantee T&TA funds will be allocated for program oversight and travel by state monitors. The remaining T&TA budget will be used for onsite training, mandatory trainings, trainers, or passed down to Subrecipients for approved individual T&TA activities. Additional funding sources may be utilized for special T&TA or monitoring activities as needed.

To fulfill this requirement K-WAP will conduct comprehensive monitoring of each Subrecipient at least once a year, utilizing the following approach:

A. Approach:

1. Programmatic and Management Monitoring
 - a. K-WAP staff will conduct a programmatic and management review during annual one to three day on-site compliance monitoring visits utilizing the Programmatic and Management Compliance Monitoring Instrument found in the WAP Subrecipient Procedure Manual. Monitoring will be completed by the Weatherization Program Manager or Field Specialist.
 - b. Training and Technical Assistance will be provided as identified as needed or as requested during this monitoring visit.
2. Subrecipient Production Monitoring

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

- a. Subrecipient and home inspection monitoring will be conducted during one- to four-day on-site visits by the Weatherization Field Specialist or Program Manager. All grantee field monitoring will be performed by a certified Quality Control Inspector (QCI). For larger subrecipients several visits may be needed. K-WAP will inspect a minimum of ten percent of completed homes, filling out a Home Inspection Monitoring Instrument (see WAP Subrecipient Procedure Manual) for all homes inspected. Monitoring forms will certify that all work met the required standards and will be signed by the QCI. A signed and dated form stating the above will be made part of the permanent client file. In progress units will be monitored annually.
- b. The effectiveness, safety, workmanship, overall appearance, and compliance with field standards will be evaluated during the monitoring visit.
- c. Dwelling units inspected will be selected from a list of reported projects that will allow a comprehensive sample.
- d. Inspection visits may focus on problem areas identified in previous monitoring reports to ensure that problems have been corrected.
- e. Units which demonstrate satisfactory completion of weatherization measures and compliance with the SWS specifications will be identified as "Pass" units; those units in which weatherization measures were completed but could have benefitted by "Best Practices" or other recommendations will be identified as "Pass with Comments" and T&TA or suggestions for the future will be made. Units on which weatherization measures either were not completed, were completed unsatisfactorily, or not in compliance with the SWS specifications will be identified as "Rework" units. If significant deficiencies are discovered, such as health and safety violations, poor quality installation of materials, or major measures missed, the Subrecipient will be required to take appropriate corrective action to resolve the outstanding issues in a timely manner. As a general rule, no additional DOE WAP funds can be charged for "Reworks" on homes that have already been reported to DOE as completed, weatherized units. "Reworks" identified on units that are reported as completed to DOE will be addressed on a case by case basis in accordance with WPN 11-3. Corrective action may require the removal of that unit from submitted reports or the use of non-DOE funds to correct the issue.
- f. Noncompliance items or issues not resolved may result in K-WAP's recoupment of funds.
- g. Subrecipients receiving a high number of "Reworks" will be monitored more frequently and will have a higher percentage of homes examined until the Grantee can be assured that all deficiencies are resolved. Once procedures are in place to prevent reoccurrences, typical monitoring will resume.
- h. Contractors found to be repeatedly failing to perform adequately may be disqualified from future work if additional worker training fails to correct issues and concerns. Subrecipients will first contact underperforming contractors by telephone to try to resolve concerns. If concerns continue, the Subrecipient will initiate a written request for corrective action. Persistent concerns or deviations from specified requirements may result in withheld payments, contract probation, or contract termination.
- i. Training and Technical Assistance will be provided as identified as needed or as requested during this monitoring visit.

3. Financial Monitoring

- a. K-WAP staff will conduct a fiscal review during annual two- to three-day on-site compliance monitoring visits by the Fiscal Monitor, utilizing the Fiscal Monitoring Tool and the accompanying Fiscal Monitoring Guide as found in the Subrecipient Procedures Manual.
- b. Sensitive or significant noncompliance findings, such as waste, fraud, or abuse will be reported to DOE immediately.
- c. Issues not resolved may result in disciplinary action, included recoupment of disallowed costs, grant probation, or grant termination. See Subrecipient Procedures Manual: High Risk.

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

d. Training and Technical Assistance will be provided as identified as needed or as requested during this monitoring visit.

4. K-WAP staff will review monthly financial and production reports for each agency.

a. If irregularities or deviations from planned activities are found, K-WAP staff will contact Subrecipient agency staff for an explanation or correction. This contact will usually be by telephone or email first; if not resolved by telephone or email, K-WAP will initiate a written request for action.

b. If irregularities or deviations occur over several months, K-WAP may withhold payments until they are corrected. Long-term irregularities or deviations from planned activities may result in grant probation and grant termination. See Subrecipient Procedures Manual: High Risk.

c. Sensitive or significant noncompliance findings, such as waste, fraud, or abuse will be reported to DOE immediately.

5. K-WAP staff will review the latest financial audit of agency financial activities by the close of the program year.

a. If the reports note program findings, K-WAP will require responses and, if appropriate, corrective action.

b. Depending on the severity of any problems reported, a Subrecipient may receive a follow-up monitoring review, concentrating on prior deficiencies and required corrective actions.

c. Issues not resolved in a timely manner may result in recoupment of disallowed costs, grant probation, and grant termination. See Subrecipient Procedures Manual: High Risk

d. Sensitive or significant noncompliance findings, such as waste, fraud, or abuse will be reported to DOE immediately.

B. **Exemplary Agencies.** Previous guidance suspended the designation of “Exemplary” Subrecipients so this status will not be utilized.

C. **Visit.** Monitoring visits will be scheduled at the convenience of KHRC and the Subrecipient through written correspondence. After the monitoring review is complete, the monitor will brief the Subrecipient, usually through an exit briefing, on the observations and monitoring assessments generated by the monitoring visit. Any issues that present imminent danger to people will be discussed and must be resolved immediately.

Sensitive or significant noncompliance findings, such as waste, fraud, or abuse will be reported to DOE immediately.

Within 30 days after each visit, a written report will be prepared for the Subrecipient that describes the current monitoring assessment (identifying any findings, concerns, recommendations, commendations, and best practices) and any corrective actions, if applicable. The Subrecipient has the right to respond in writing and present additional supporting documentation, clarification, and information as to why a particular finding(s) should be waived. If necessary, the Subrecipient will have 35 calendar days to respond with an acceptable corrective action plan.

Subrecipient noncompliance or repeated unresolved findings may result in disciplinary action, including recoupment of disallowed costs, grant probation, or grant terminations. See Subrecipient Procedures Manual: High Risk. Noncompliance and unresolved findings will be reported to the DOE Project Officer.

D. **Tracking and Analysis.** Tracking and analysis of monitoring visiting will be conducted to ensure resolution and improvement. All corrective action items will be tracked to completion and will conclude with a close out letter.

Annually, K-WAP staff will summarize each of its Subrecipients’ reviews and monitoring reports to identify each Subrecipient’s needs, strengths, and weaknesses. The results of this monitoring analysis will be considered during annual planning and assessment of T&TA needs. An annual risk assessment of each Subrecipient will also be included the analysis.

E. **Reporting.** A narrative report including successes and significant problems will be reported to DOE in the *T&TA, Monitoring, and Leveraging Report*. This report will include at a minimum: the Subrecipients monitored, and major findings (waste, fraud, and abuse) and resolutions, trends with respect to findings, concerns, or other issues, needed T&TA, Subrecipients that are considered high risk and a corrective action plan, and outcome activities involving T&TA and monitoring training.

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

Monitoring Activities planned for the Program Year

A tentative monitoring schedule for the 2020 program year follows:

<u>Subrecipient</u>	<u>Date</u>
CAI	April 6-7
ECKAN.....	April 20-22
NCRPC	May 4-5
SCKEDD	May 17-20

V.8.4 Training and Technical Assistance Approach and Activities

T&TA activities are intended to maintain or increase the efficiency, quality, and effectiveness of the Weatherization Program at all levels. Such activities will be designed to maximize energy savings, minimize production costs, improve program management and operational efficiencies, improve crew/contractor work quality, increase client satisfaction, and to reduce the potential for waste, fraud, abuse and mismanagement.

T&TA funding will be available for Grantee and Subrecipient use. Funds may be used to pay salary, travel, and operational and contractual costs for monitoring, obtaining and maintain certifications, training, training support, and providing or receiving programmatic and technical assistance. T&TA funds may also be used to train contractors participating in the program provided a retention agreement is obtained.

The K-WAP will use the following methods to provide T&TA:

1. K-WAP staff will provide T&TA through onsite, written, and telephone communication with Subrecipient staff.
2. Staff will provide specific T&TA on automated audit inspection procedures as a regular component of the on-site Programmatic and Management and production monitoring visits.
3. K-WAP staff or contractor(s) will provide on-site or offsite T&TA as needed. Need may be identified by the Subrecipient staff, Grantee monitoring visits, QA review visits, DOE Project Officer monitoring visits, internal state audits, IG reports, or by K-WAP staff as the result of observation for resolution of problems, or to meet updates required by DOE.
4. K-WAP and Subrecipient staff will participate in national activities as they are planned. K-WAP will assure staff are able to attend these meetings and will encourage Subrecipient staff to take advantage of training opportunities by funding Subrecipient attendance with T&TA funds available to the K-WAP.
5. K-WAP staff will attend DOE mandated activities/events, NASCSP events, State Weatherization Directors' meetings, national DOE sponsored conferences, and other staff development trainings as needed or required. Continuing education and conference attendance ensure Grantee effectiveness in administering and implementing the grant.
6. Quarterly Weatherization Directors' Meetings will be scheduled to address areas of common concern with regard to training and policy for current initiatives and future program requirements. T&TA needs will be identified through feedback from the Subrecipients.
7. Annual subrecipient closeout reports compare subrecipient production numbers, expenditures, average cost per unit expenses, and H&S expenses to statewide averages. Unusually high or low expenditures will receive further review and may identify additional T&TA needs.
8. The K-WAP air sealing effectiveness is calculated using data provided from pre- and post-blower door measurements. This analysis provides K-WAP with information on each agency and weatherization auditor which allows staff to identify significantly high and/or significantly low performers. K-WAP staff analyzes the data for T&TA purposes that allows them to compare effectiveness within a Subrecipient's area and between Subrecipients. The need for additional T&TA may be identified through these comparisons.
9. Kansas requires successful completion of its certification training for all auditors and inspectors. The state allocates T&TA funds to each Subrecipient for the mandated trainings as needed. When a Subrecipient agency is unable to hire a certified weatherization auditor, the state will allow an on-boarding period, during which the new hire must complete his/her auditor certification requirements. See the Subrecipient Procedures Manual for more information. During the on-boarding period, all audits and inspections must be supervised by a certified weatherization auditor/inspector until training and certification requirements are met. Alternatively, an agency without a certified auditor/inspector may subcontract with a certified auditor/inspector. For current certified staff, use of continuing education credits to maintain BPI certification will be funded through T&TA funds.

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

10. Effectiveness of T&TA activities will be evaluated by formal evaluation forms completed by participants to statewide training workshops, state monitoring staff's observation and reporting of improvement in work standards and reporting, informal comments by workshop participants, agency directors, and others, and by disbursement of surveys to Subrecipients and contractors.

11. Annual training is provided on a variety of topics for the K-WAP network. Training is mandatory as announced. Annual training typically includes fiscal and technical training and may include training tracks at the annual Kansas Housing Conference. See below for additional annual activities.

In accordance with WPN 15-4 and Memorandum 034, T&TA activities for WAP field staff are to be designed as Comprehensive (Tier 1) or Specific (Tier 2) training. Comprehensive (Tier 1) training is comprehensive, occupation specific training which follows the curriculum aligned with the Job Task Analysis (JTA) for that occupation. Specific (Tier 2) training is issue specific, short-term trainings to address specific skills or tasks.

WAP field staff are only those technical staff members directly employed by Grantee and Subrecipient agencies, such as auditors, agency crew members, and inspectors. Contractors and contract auditors and inspectors are not explicitly included, but may be eligible for T&TA funded training as long as a retention agreement is obtained. Contracted installers are not to be considered part of WAP field staff for the purpose of targeted T&TA activities.

Comprehensive (Tier 1) training will be closely aligned with credentialing requirements for the given task (i.e. energy auditor or QCI). Auditor and QCI training will be based on a three-year training cycle. Individualized training plans will be allowed to be structured in the manner best suited for each agency, but most plans will focus on receiving intensive 1-2 week trainings every three years. This time table is consistent and conducive to receiving intensive training in anticipation of re-certifications exams. Comprehensive, (Tier 1) training for crew based Retrofit Installer/Technician and Crew Leaders will be provided to agency employed crew members within 18 months of hire and within every 5 years thereafter. There are no Retrofit Install/Technician or Crew Leader testing or certification requirements at this time. Specific (Tier 2) training will be obtained on an as-needed basis and on a rolling basis to fulfill certification CEU requirements.

Comprehensive (Tier 1) training must be provided by a DOE approved accredited training program. Currently, IREC accredited training centers are the only training centers that meet this requirement. Training will be provided by the contracted training provider in the manner best suited for the situation but will primarily be a hybrid of distance learning and in person training. Santa Fe Community College has become a valued IREC accredited training provider for the QCI certification and will be a K-WAP recommendation for Comprehensive (Tier 1) training.

Specific (Tier 2) training will be provided on an as-needed basis. The specific need and technical expertise required will determine the training provider. State technical staff or network partners such as the Kansas Building Science Institute (KBSI) can provide specialized and short-term training. Attendance in specialized training is mandatory as announced. Non-compliance may result in elevated risk status, state certification suspension, or contract termination.

Client education has been provided over the years by different methods in each area of the state, ranging from detailed discussions with clients during pre- and post-inspections to access to program-related publications and handouts. As the program has become more technology-oriented, state staff encourages Subrecipient staff to use the technology to demonstrate energy-saving techniques and to explain the outcome of poor energy habits and bad energy decisions. Training related to lead-based paint hazards and radon will be on-going to meet DOE requirements. A quarterly module-training format has worked well for Kansas's T&TA activities. The state will continue to build its training plan in quarter modules, with efforts to avoid major disruptions during peak production months.

Tentative activities planned for the 2020 Program Year follow:

First Quarter (July- September):

- Kansas Weatherization Directors' Meeting July 22, 2020
- Kansas Housing Conference August 26-28, 2020
- NASCSP Annual Conference September 28-October 2, 2020
- QCI/Energy Auditor Certification, as needed

Second Quarter (October — December):

- Kansas Weatherization Directors' Meeting October 21, 2020
- On-site T&TA, as needed
- Inspector's Retreat TBA
- Retrofit/Installer Training, as needed TBA

Third Quarter (January — March):

- NASCSP Winter Conference TBA
- Kansas Weatherization Directors' Meeting January 13, 2021

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

- On-site T&TA, as needed
- Kansas State Plan Development Meetings Jan/Feb 2021

Fourth Quarter (April — June):

- PAC Meeting April 2021
- Kansas Weatherization Directors' Meeting April 2021
- On-site T&TA, as needed
- Inspector's Retreat - May 2021

Percent of overall trainings

Comprehensive Trainings:

Specific Trainings:

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:

Percent of budget allocated to Crew/Installer trainings:

Percent of budget allocated to Management/Financial trainings:

V.9 Energy Crisis and Disaster Plan

The K-WAP allows a great deal of flexibility in its program under normal operation. An energy crisis, as issued by federal, state, or local officials, offers Subrecipients the opportunity to use existing procedures to prioritize weatherization for income qualified households within the impacted territory. Households with no heating unit, households with unusually high energy costs, households with certain health and safety problems, or households with other emergencies such as extremely leaky homes, may be prioritized as a second consideration to the priorities set forth in Section V.3 Priorities.

During an energy crisis, K-WAP Subrecipients may consider any income qualified household an emergency that has no working furnace or whose furnace is tested unsafe, or that demonstrates its energy costs constitute a high burden, or whose energy consumption is unusually high. Classification as an emergency enables a Subrecipient to place that household at the top of the list for weatherization services.

As an emergency, the K-WAP Subrecipient may make emergency repairs, including furnace replacement and repair of serious air leaks, and schedule other needed repairs at a later date. If at all possible, the Subrecipient should complete the emergency units within the current program year. If it is not possible, however, the state will work with the Subrecipient agency to assure the work can be completed during the following program year.

The state will allow Subrecipients to purchase or lease temporary heating sources for use in energy crises. Subrecipients may use program funds for storage of the units and to increase liability insurance, as needed. Subrecipients will be responsible for maintaining the safety of the units.

As needed, the state may redirect funds from T&TA to provide additional allowable measures required to meet an energy crisis.

Kansas General Disaster Response Plan (Reference WPN 12-7):

Policy: For weatherization purposes, a disaster is determined by a Presidential or Gubernatorial order declaring either a Federal or State Emergency. The crisis may be naturally occurring or man-made and generally will involve at least three phases: the crisis itself, the clean-up, and the rebuilding of the affected area. It is not uncommon for weatherization work to be suspended during the crisis and early clean-up phase until basic community services such as electricity, water, food and medical supply activities can be returned closer to normal.

The disaster time period may be from several days to a month or more and this period can have a critical impact on program operations.

This "General Disaster Response Plan" addresses the needs of the affected low-income clients and also takes into consideration the limited funds available in weatherization.

Procedures:

- 1. General Disaster Response Plan:** A General Disaster Response Plan will include:

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

- a. contact and coordination with the appropriate disaster site leadership in charge to explain the role and resources that weatherization can provide;
- b. availability and use of grantee and/or local agency staff, equipment and resources;
- c. consideration for the preservation of local agency (Subrecipient) weatherization files, records, materials and equipment if they would be at risk.

2. Notify A DOE Project Officer As Soon As Possible Regarding the Disaster: Contact DOE staff by telephone, then provide a follow-up in writing (email is fine). Discussion by telephone allows DOE staff to explore ideas and options that may be available using weatherization resources and begin to explore whether the currently approved state plan adequately addresses the circumstances and possible proposed actions.

3. Assess Circumstances And Determine The Need To Develop And Submit An Event-Specific Disaster Response Plan: Assess the needs of the affected Subrecipients, and identify potential assistance available from other Subrecipients in the network that may be willing to volunteer assistance.

Verbal agreements within the scope of the grant can be made to clarify details and expedite early action during the disaster and early stages of clean-up. The grantee shall follow-up with DOE staff on verbal understandings and agreements in writing (email) promptly afterward.

Event Specific Disaster Response Plan

The “Event Specific Disaster Response Plan” will provide as much of the applicable reporting element information upfront as available and establish the estimated timeframe and end-date for DOE assistance.

It will clearly specify when the reporting will be provided to DOE as part of the proposed disaster plan (i.e., 30 days after the approved end-date for DOE weatherization assistance.) If an extension of the end-date is requested, the request will indicate the circumstances and provide updated reporting information.

Examples of Eligible Activities:

- a. Reweathering - The Program Regulation allows any previously weatherized home “damaged by fire, flood or act of God” to be re-weatherized, without regard to date of weatherization, where local authorities deem the dwelling salvageable as well as habitable and if the damage to materials is not covered by insurance or some other form of compensation.
- b. Health and Safety - In the normal course of weatherization or re-weatherization, the cost of eliminating health and safety hazards, elimination of which is necessary before the installation of weatherization materials or the result of weatherization activities, is allowable. To the extent that the services are in support of eligible weatherization work, such expenditure would be allowable. For example, debris removal at a dwelling unit so that the unit can be weatherized would be an allowable cost. Please note that the average cost per dwelling unit limit continues to apply.
- c. Incidental Repairs – In the normal course of weatherization or re-weatherization, the cost of incidental repair costs to protect or aid in the installation of weatherization materials and are part of the total allowable expenditure. All incidental repair costs shall be documented as such in the client files and be tied to an energy conservation measure or group of measures. The overall cost must receive and SIR of 1+. Incidental repair costs may not exceed a maximum of \$500 per dwelling unit for labor and materials.

The Subrecipients may exceed the \$500 limit, if certain requirements are met, by submitting a written waiver request to the KHRC/WAP staff for written approval. The written request must include the total amount to be expended and must include the REM/Design audit to ensure that the overall group of measures receives and SIR of 1+. The written request for a waiver can be submitted by e-mail as long as all pertinent information is submitted to KHRC/WAP staff for approval.

d. Protection of DOE investment- Weatherization personnel can be paid from DOE funds to perform functions related to protecting the DOE investment. Such activities include: securing weatherization materials, tools, equipment, weatherization vehicles, or protection of local agency weatherization files, records and the like during the initial phase of the disaster response. Using DOE funds to pay for weatherization personnel to perform relief work in the community as a result of a disaster is not allowable.

Local agencies may use weatherization vehicles and/or equipment to help assist in disaster relief provided the WAP is reimbursed according to the Financial Assistance Regulations 2 CFR 200.

e. Priority – It would be permissible to consider households located in the disaster area, as a priority as long as the households are eligible and meet one of the priorities established in regulation and are free and clear of any insurance claim or other form of compensation resulting from damage incurred from the disaster. Inclusion of these households as a priority must be outlined in the Disaster Response Plan.

Summary Statement

Planning and Reporting Elements: If the General Disaster Response Plan is utilized and/or an Event-Specific Disaster Response Plan is approved, the grantee will report to the DOE Project Officer on the use of Weatherization resources and the DOE grant will include, at a minimum:

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

(Grant Number: EE0007920, State: KS, Program Year: 2019)

- a. A description of the disaster including the counties/local weatherization agencies affected. It will include the state emergency management website that tracks disasters;
 - b. A description of the types of DOE weatherization assistance, the scope and costs of weatherization activities performed.
 - c. The timeframe of the disaster. The date it started, when it was declared a disaster, and the (proposed or approved) end-date for DOE weatherization assistance;
 - d. An explanation of how disaster-related costs are being tracked by type of activity and summary of DOE disaster-related expenditures and programmatic reporting information. For example, the number of homes and persons assisted under the Disaster Response Plan provisions;
 - e. Any other applicable items as determined by KHRC or DOE.
- Reporting will be sent to the DOE Project Officer by email.