

**BUDGET INFORMATION - Non-Construction Programs**

|  |  |   |                                  |
|--|--|---|----------------------------------|
| 1. Program/Project Identification No.<br>EE0007950                                       |  | 2. Program/Project Title<br>Weatherization Assistance Program |                                  |
| 3. Name and Address<br>STATE OF SOUTH DAKOTA<br>910 E. Sioux Ave<br>PIERRE, SD 575014517 |  | 4. Program/Project Start Date<br>07/01/2019                   | 5. Completion Date<br>06/30/2021 |

**SECTION A - BUDGET SUMMARY**

| Grant Program<br>Function or<br>Activity<br>(a) | Federal<br>Catalog No.<br>(b) | Estimated Unobligated Funds |                    | New or Revised Budget |                    |                 |
|---|-------------------------------|-----------------------------|--------------------|-----------------------|--------------------|-----------------|
|   |                               | Federal<br>(c)              | Non-Federal<br>(d) | Federal<br>(e)        | Non-Federal<br>(f) | Total<br>(g)    |
| 1. Federal 2019-2020<br>Combined Budget         | 81.042                        | \$ 115,000.00               |                    | \$ 4,452,788.00       |                    | \$ 4,567,788.00 |
| 2.  |                               |                             |                    |                       |                    |                 |
| 3.  |                               |                             |                    |                       |                    |                 |
| 4.  |                               |                             |                    |                       |                    |                 |
| 5. TOTAL  |                               | \$ 115,000.00               | \$ 0.00            | \$ 4,452,788.00       | \$ 0.00            | \$ 4,567,788.00 |

**SECTION B - BUDGET CATEGORIES**

| 6. Object Class Categories | Grant Program, Function or Activity |                                   |                                  |                     | Total<br>(5)    |
|----------------------------|-------------------------------------|-----------------------------------|----------------------------------|---------------------|-----------------|
|                            | (1) DOE                             | (2) GRANTEE<br>ADMINISTRA<br>TION | (3) SUBGRANTE<br>E<br>ADMINISTRA | (4) GRANTEE<br>T&TA |                 |
| a. Personnel               | \$ 0.00                             | \$ 105,384.00                     | \$ 0.00                          | \$ 0.00             | \$ 105,384.00   |
| b. Fringe Benefits         | \$ 0.00                             | \$ 30,388.00                      | \$ 0.00                          | \$ 0.00             | \$ 30,388.00    |
| c. Travel                  | \$ 0.00                             | \$ 0.00                           | \$ 0.00                          | \$ 24,000.00        | \$ 24,000.00    |
| d. Equipment               | \$ 0.00                             | \$ 0.00                           | \$ 0.00                          | \$ 0.00             | \$ 0.00         |
| e. Supplies                | \$ 0.00                             | \$ 0.00                           | \$ 0.00                          | \$ 0.00             | \$ 0.00         |
| f. Contract                | \$ 0.00                             | \$ 0.00                           | \$ 306,406.00                    | \$ 30,800.00        | \$ 4,408,016.00 |
| g. Construction            | \$ 0.00                             | \$ 0.00                           | \$ 0.00                          | \$ 0.00             | \$ 0.00         |
| h. Other Direct Costs      | \$ 0.00                             | \$ 0.00                           | \$ 0.00                          | \$ 0.00             | \$ 0.00         |
| i. Total Direct Charges    | \$ 0.00                             | \$ 135,772.00                     | \$ 306,406.00                    | \$ 54,800.00        | \$ 4,567,788.00 |
| j. Indirect Costs          | \$ 0.00                             | \$ 0.00                           | \$ 0.00                          | \$ 0.00             | \$ 0.00         |
| k. Totals                  | \$ 0.00                             | \$ 135,772.00                     | \$ 306,406.00                    | \$ 54,800.00        | \$ 4,567,788.00 |
| 7. Program Income          | \$ 0.00                             | \$ 0.00                           | \$ 0.00                          | \$ 0.00             | \$ 0.00         |

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| 1. Program/Project Identification No.<br>EE0007950                                       |  | 2. Program/Project Title<br>Weatherization Assistance Program |                                  |
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| SECTION A - BUDGET SUMMARY                      |                               |                             |                    |                       |                    |                 |
|---|-------------------------------|-----------------------------|--------------------|-----------------------|--------------------|-----------------|
| Grant Program<br>Function or<br>Activity<br>(a) | Federal<br>Catalog No.<br>(b) | Estimated Unobligated Funds |                    | New or Revised Budget |                    |                 |
|   |                               | Federal<br>(c)              | Non-Federal<br>(d) | Federal<br>(e)        | Non-Federal<br>(f) | Total<br>(g)    |
| 1.  |                               |                             |                    |                       |                    |                 |
| 2.  |                               |                             |                    |                       |                    |                 |
| 3.  |                               |                             |                    |                       |                    |                 |
| 4.  |                               |                             |                    |                       |                    |                 |
| 5. TOTAL  |                               | \$ 115,000.00               | \$ 0.00            | \$ 4,452,788.00       | \$ 0.00            | \$ 4,567,788.00 |

| SECTION B - BUDGET CATEGORIES |                                     |                           |                          |                            |                 |
|-------------------------------|-------------------------------------|---------------------------|--------------------------|----------------------------|-----------------|
| 6. Object Class Categories    | Grant Program, Function or Activity |                           |                          |                            | Total<br>(5)    |
|                               | (1) SUBGRANTEE<br>T&TA              | (2) PROGRAM<br>OPERATIONS | (3) HEALTH AND<br>SAFETY | (4) LIABILITY<br>INSURANCE |                 |
| a. Personnel                  | \$ 0.00                             | \$ 0.00                   | \$ 0.00                  | \$ 0.00                    | \$ 105,384.00   |
| b. Fringe Benefits            | \$ 0.00                             | \$ 0.00                   | \$ 0.00                  | \$ 0.00                    | \$ 30,388.00    |
| c. Travel                     | \$ 0.00                             | \$ 0.00                   | \$ 0.00                  | \$ 0.00                    | \$ 24,000.00    |
| d. Equipment                  | \$ 0.00                             | \$ 0.00                   | \$ 0.00                  | \$ 0.00                    | \$ 0.00         |
| e. Supplies                   | \$ 0.00                             | \$ 0.00                   | \$ 0.00                  | \$ 0.00                    | \$ 0.00         |
| f. Contract                   | \$ 418,550.00                       | \$ 2,845,891.00           | \$ 711,473.00            | \$ 58,396.00               | \$ 4,408,016.00 |
| g. Construction               | \$ 0.00                             | \$ 0.00                   | \$ 0.00                  | \$ 0.00                    | \$ 0.00         |
| h. Other Direct Costs         | \$ 0.00                             | \$ 0.00                   | \$ 0.00                  | \$ 0.00                    | \$ 0.00         |
| i. Total Direct Charges       | \$ 418,550.00                       | \$ 2,845,891.00           | \$ 711,473.00            | \$ 58,396.00               | \$ 4,567,788.00 |
| j. Indirect Costs             | \$ 0.00                             | \$ 0.00                   | \$ 0.00                  | \$ 0.00                    | \$ 0.00         |
| k. Totals                     | \$ 418,550.00                       | \$ 2,845,891.00           | \$ 711,473.00            | \$ 58,396.00               | \$ 4,567,788.00 |
| 7. Program Income             | \$ 0.00                             | \$ 0.00                   | \$ 0.00                  | \$ 0.00                    | \$ 0.00         |

**BUDGET INFORMATION - Non-Construction Programs**

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|--|--|---|----------------------------------|
| 1. Program/Project Identification No.<br>EE0007950                                       |  | 2. Program/Project Title<br>Weatherization Assistance Program |                                  |
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**SECTION A - BUDGET SUMMARY**

| Grant Program<br>Function or<br>Activity<br>(a) | Federal<br>Catalog No.<br>(b) | Estimated Unobligated Funds |                    | New or Revised Budget |                    |                 |
|---|-------------------------------|-----------------------------|--------------------|-----------------------|--------------------|-----------------|
|   |                               | Federal<br>(c)              | Non-Federal<br>(d) | Federal<br>(e)        | Non-Federal<br>(f) | Total<br>(g)    |
| 1.  |                               |                             |                    |                       |                    |                 |
| 2.  |                               |                             |                    |                       |                    |                 |
| 3.  |                               |                             |                    |                       |                    |                 |
| 4.  |                               |                             |                    |                       |                    |                 |
| 5. TOTAL  |                               | \$ 115,000.00               | \$ 0.00            | \$ 4,452,788.00       | \$ 0.00            | \$ 4,567,788.00 |

**SECTION B - BUDGET CATEGORIES**

| 6. Object Class Categories | Grant Program, Function or Activity |     |     |     | Total<br>(5)    |
|----------------------------|-------------------------------------|-----|-----|-----|-----------------|
|                            | (1) FINANCIAL<br>AUDITS             | (2) | (3) | (4) |                 |
| a. Personnel               | \$ 0.00                             |     |     |     | \$ 105,384.00   |
| b. Fringe Benefits         | \$ 0.00                             |     |     |     | \$ 30,388.00    |
| c. Travel                  | \$ 0.00                             |     |     |     | \$ 24,000.00    |
| d. Equipment               | \$ 0.00                             |     |     |     | \$ 0.00         |
| e. Supplies                | \$ 0.00                             |     |     |     | \$ 0.00         |
| f. Contract                | \$ 36,500.00                        |     |     |     | \$ 4,408,016.00 |
| g. Construction            | \$ 0.00                             |     |     |     | \$ 0.00         |
| h. Other Direct Costs      | \$ 0.00                             |     |     |     | \$ 0.00         |
| i. Total Direct Charges    | \$ 36,500.00                        |     |     |     | \$ 4,567,788.00 |
| j. Indirect Costs          | \$ 0.00                             |     |     |     | \$ 0.00         |
| k. Totals                  | \$ 36,500.00                        |     |     |     | \$ 4,567,788.00 |
| 7. Program Income          | \$ 0.00                             |     |     |     | \$ 0.00         |

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

(Grant Number: EE0007950, State: SD, Program Year: 2019)

**IV.1 Subgrantees**

| Subgrantee (City)                               | Planned Funds/Units                 |
|---|-------------------------------------|
| Interlakes Community Action Agency (Madison)    | \$1,161,331.00<br>124               |
| Northeast SD Community Action Agency (Sisseton) | \$888,872.00<br>92                  |
| Rural Office of Community Services (Lake Andes) | \$1,098,906.00<br>115               |
| Western SD Community Action Agency (Rapid City) | \$1,228,107.00<br>129               |
| <b>Total:</b>                                   | <b>\$4,377,216.00</b><br><b>460</b> |

**IV.2 WAP Production Schedule**

| Weatherization Plans                  | Units |
|---------------------------------------|-------|
| Total Units (excluding reweatherized) | 460   |
| 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   | 460            |
| C  | Total Units Reweatherized   | 00             |
| D  | Total Dwelling Units to be Weatherized and Reweatherized (B + C)        | 460            |
| 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                                      | \$2,845,891.00 |
| G  | Total Dwelling Units to be Weatherized and Reweatherized (from line D)  | 460            |
| H  | Average Program Operations Costs per Unit (F divided by G)              | \$6,186.72     |
| I  | Average Vehicles & Equipment Acquisition Cost per Unit (from line E)    | \$0.00         |
| J  | Total Average Cost per Dwelling (H plus I)                              | \$6,186.72     |

**IV.3 Energy Savings**

|   |       |                            |                |
|---|-------|----------------------------|----------------|
| Method used to calculate savings: <input checked="" type="checkbox"/> WAP algorithm <input type="checkbox"/> Other (describe below) |       |                            |                |
|   | Units | Savings Calculator (MBtus) | Energy Savings |
| This Year Estimate  | 460   | 29.3                       | 13478          |
| Prior Year Estimate   | 229   | 29.3                       | 6710           |
| Prior Year Actual   | 190   | 29.3                       | 5567           |

**Method used to calculate savings description:**

South Dakota's estimated energy savings for 2019-2021 are shown on the following algorithm:

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

**(Grant Number: EE0007950, State: SD, Program Year: 2019)**

|   |               |
|---|---------------|
| <b>DOE Program Amount</b>   |               |
| (A) Total DOE State Weatherization Allocation   | \$4,567,788   |
| (B) Total Cost associated with Administration, T&TA, H&S, Audits, Liability Ins.  | \$1,721,900   |
| (C) Subtract the amount entered in line (B) from line (A), for total Federal (DOE) funds available to weatherize homes    | \$2,845,888   |
| (D) Estimated State Average Cost per Home -   | \$6,221       |
| (E) Divide the amount entered on line (C) by the amount entered on line (D), for Total Estimated Homes to be Weatherized- | 457.          |
| (F) Multiply (E) by 29.3 MBtu for Total Annual Estimated  |               |
| Energy Savings resulting from DOE appropriated fund   | 13,404 MBtu's |

**IV.4 DOE-Funded Leveraging Activities**

**IV.5 Policy Advisory Council Members**

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

|                      |  |
|----------------------|--|
| Barbara Garcia       | Type of organization:<br>Contact Name:<br>Phone: 6052096313<br>Email: <a href="mailto:bkgrcsd@gmail.com">bkgrcsd@gmail.com</a>   |
| Cecilia Fire Thunder | Type of organization: Other<br>Contact Name: Native Americans, elderly, disabled and low-income populatio<br>Phone: 6054072470<br>Email: <a href="mailto:c.firethunder@gmail.com">c.firethunder@gmail.com</a>  |
| Holly Bodenstedt     | Type of organization:<br>Contact Name:<br>Phone: 6057605249<br>Email: <a href="mailto:hsboden@vyn.midco.net">hsboden@vyn.midco.net</a>   |
| Hugh Grogan          | Type of organization: Other<br>Contact Name: elderly, disabled, native american, and low-income population<br>Phone: 6053383833<br>Email: <a href="mailto:hubert.grogan@gmail.com">hubert.grogan@gmail.com</a> |
| Jesse Ronning        | Type of organization: Other<br>Contact Name:<br>Phone: 6056929415<br>Email: <a href="mailto:jjronning@swiftnet.net">jjronning@swiftnet.net</a>   |
| Linda I. Wordeman    | Type of organization: Other<br>Contact Name:<br>Phone: 6053913408<br>Email: <a href="mailto:sodakholdings@gmail.com">sodakholdings@gmail.com</a>   |
| Patricia Johnson     | Type of organization: Other<br>Contact Name:<br>Phone: 6056600759<br>Email: <a href="mailto:prairiewindscounseling@outlook.com">prairiewindscounseling@outlook.com</a>   |

**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   |
|------------|--|
| 04/22/2020 | Notice of Public Hearing will run in the following newspapers- Aberdeen American News, Sioux Falls Argus Leader, Pierre Capital Journal, and Rapid City Journal. The Notice is also posted on the DSS Website for Public Hearings. |

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

(Grant Number: EE0007950, State: SD, Program Year: 2019)

**IV.7 Miscellaneous**

**Recipient Business Officer**

Bill Regynski  
bill.regynski@state.sd.us  
700 Governors Drive  
Pierre, SD 57501  
605-773-5182

**Recipient Principal Investigator**

David Gall  
david.gall@state.sd.us  
910 E. Sioux Ave  
Pierre, SD 57501  
605-773-4131

**American Customer Satisfaction Index (ACSI) Narrative:**

The State has made significant strides in addressing the timeframe it takes for the payments to be made, when a voucher is received by the State, it will be processed within 2 business days and sent to the Social Services Finance Office, once they verify, it is then sent to the Bureau of Finance and Management for Payment.

Currently, there is an annual meeting in Pierre with CAP technical staff and the State Technical Monitor to discuss best practices.

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

**(Grant Number: EE0007950, State: SD, 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

According to the 2000 census there are 95,112 households with income at or below 200% of poverty level. As allowed in DOE regulations, the State of South Dakota sets its weatherization eligibility limit at 200% of the federal poverty level.

Describe what household eligibility basis will be used in the Program

Any household that is currently receiving LIEAP assistance is automatically income eligible for Weatherization. All other households seeking Weatherization will be determined using DOE regulations on income eligibility.

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

Lawfully admitted aliens with permanent residence must present documentation showing they have been so classified from Immigration and Naturalization(INS). Alien status is normally verified through annotations made by INS on Forms I-94, I-151, I-551, Passport, G-641, or I-688. If the INS document does not clearly indicate the alien's eligible or ineligible status, the SAVE process must be utilized.

**V.1.2 Approach to Determining Building Eligibility**

Procedures to determine that units weatherized have eligibility documentation

Prior to the weatherization of a unit, documentation shall be placed in the client file verifying that the unit is occupied by a family who has income at or below 200% of poverty level. Household income will not be verified for the Weatherization Assistance Program if the household has been certified as LIEAP eligible during the current program period. For eligibility purposes the client file must contain -

- 1) Weatherization application or supplemental form used to gather information for individuals eligible through LIEAP
- 2) ELIGIBILITY: method of eligibility determination;
- 3) Verification of ownership;
- 4) Landlord Agreement signed by property owner or agent prior to the installation of weatherization measures.

Describe Reweatherization compliance

Units weatherized prior to September 30, 1994 may receive additional assistance. These dwelling units will receive a new energy audit which takes into account any previous energy conservation improvements to the dwelling. To ensure that homes that were weatherized after September 30, 1994 do not again receive Weatherization services the subgrantees maintain a file tracking all the homes that have been weatherized. In addition, the inspector puts a sticker in the home during the final inspection in a location that would be seen during a future audit.

Describe what structures are eligible for weatherization

Single family site built homes, manufactured homes, owner occupied multi-unit buildings, and rental units containing commercial property.

Describe how Rental Units/Multifamily Buildings will be addressed

Rental buildings shall be treated the same as owner-occupied buildings by utilizing Weatherization Energy Audits in determining appropriate measures to be performed.

Subgrantees must receive written permission from the owner (or authorized representative) to weatherize the building. Subgrantees are required to use their agency Rental Agreement for each rental weatherization project.

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

(Grant Number: EE0007950, State: SD, Program Year: 2019)

A building containing rental units may be weatherized if not less than 66 percent (50 percent for a duplex and four-plex) of the units in the building are eligible units or will become eligible within 180 days under a Federal, State or local government rehabilitation program. In these large multi-family buildings, if 50% or more of the units are certified as eligible, weatherization may occur. This exception applies only to those large multi-family buildings where an investment of DOE funds would result in significant energy-efficiency improvements. The State of South Dakota will seek DOE approval prior to starting the process of weatherizing a multifamily building. The Priority Matrix will be utilized to determine if a multi-family building is eligible for Weatherization services.

DOE/HUD Multi-Family Agreement-

Program Guidance 17-4-

<https://energy.gov/sites/prod/files/2017/06/f34/WPN%2017-4%20HUD%20Multifamily%20Final.pdf>

If the entire building is not eligible for weatherization, because there are not enough units occupied by eligible families, service to the entire building shall be deferred.

**Owner Occupied Multi-Unit Buildings**

If all units in a multi-unit building are separately owned and occupied by individual owners, then each unit shall be treated as a separate single family building. If the entire building is not determined eligible, then work on common area measures (shared water heaters, heating systems, laundry appliances, etc.) is not allowed.

**Landlord Contributions**

The written permission of the owner or authorized agent of a single family dwellings must be obtained before weatherization can occur. In the case of renter occupied dwellings, the goal of the Weatherization project is to assist low income tenants as much as possible without excessive or undue enhancement for the property owner. A Weatherization Assistance Program Landlord Agreement must be signed by the landlord or authorized agent and placed in the client file giving permission for the agency to work on the unit. These agreements include provisions that:

o the landlord agrees to render 1/3 of the cost for the weatherization activities **prior to** work beginning on the home UNLESS the landlord income is less than 200%. If the landlord contribution is waived, the sub grantee will verify and document the landlord income in the client file.

o the rent will not be increased solely due to the weatherization improvements

o the landlord shall not evict the tenant so long as the tenant complies with the present lease agreement

South Dakota Weatherization Manual Revised 02-24-2011 1

South Dakota shall require that all landlord contributions be applied directly toward the cost of weatherizing the landlord's property.

A building containing rental units may be weatherized if not less than 66 percent of the units in the building are eligible units or will become eligible within 180 days under a Federal, State or local government rehabilitation program. These multi-family units are a low priority.

**Landlord Agreement**

Each Grantee shall have a Landlord Agreement before weatherizing any rental units.

A Landlord Agreement, signed by the owner or the rental agent, shall be placed in rental unit client file and shall include the following:

1) The landlord and tenant give authorization to the Grantee;

to install, or have installed, weatherization materials in the dwelling;

to access the property at reasonable times to work on or inspect the dwelling;

2) The landlord agreement shall affirm;

the property is not presently being offered for sale;

rent shall not be raised for a period of two years solely due to the increased value because of the weatherization of the unit;



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

(Grant Number: EE0007950, State: SD, Program Year: 2019)

no undue or excessive enhancement will occur to the value of dwelling units;

to cooperate with the Grantee in connection with the rental property;

Tenants must be notified in writing of the formal complaint process. If there is a violation of the landlord agreement the tenant must first notify the Grantee for resolution. If the complaint is not resolved at the Grantee level the tenant may submit a written request for investigation to the:

Office of Energy Assistance

910 E Sioux Ave

Pierre, SD 57501 10 CFR 440.22 (3)(i)

**Rental Units Containing Commercial Property**

If a building contains a rental unit(s) and is also used for commercial purposes, only the part of the building that is occupied by an eligible person may be weatherized. Grantees may not weatherize commercial property. Where a measure will need to be installed on both the eligible unit and commercial area to be effective (i.e. framing sidewall insulation) the grantee shall charge the portion associated with the eligible unit to the program and charge the portion associated with the commercial area to the property owner. The amount charged to the property owner may not be counted toward the owner contribution if an owner contribution is required. If the property owner declines the measure or declines to pay for the portion associated with the commercial area the unit shall be deferred.

**Group Homes**

Grantees may weatherize eligible, private, not-religious, nonprofit or publicly owned long-term group homes. Group homes are facilities that provide housing for families and individuals, such as Community Based Care Facilities that provide housing for elderly and disabled persons. These are eligible when they meet the dwelling unit and separate living quarter's requirements.

South Dakota Weatherization Manual Revised 02-24-2011 2 South Dakota Weatherization Manual Revised 02-24-2011 3

Grantees must review the building and establish the number of dwelling units in the building. If the group home has a central kitchen used by the occupants, each living area does not qualify as separate living quarters. For the purpose of determining how many dwelling units use the guidelines under Temporary Shelters.

Group homes are not automatically eligible because they are licensed as Community Based Care Facilities.

**Describe the deferral Process**

Weatherization service shall be denied when the building is not eligible or there are no weatherization measures to complete.

Applicants may appeal a denial of service utilizing the Grantees appeal process

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. Local Grantees, which include crews and sub-contractors, are expected to pursue reasonable options on behalf of the dwelling owner, including referrals, and to use good judgment in dealing with difficult situations. Grantees should not defer service simply because of the presence of a hazard. Every effort should be made to identify other resources to address the identified hazards. Whenever appropriate, educational information on how to address the hazard should be shared with the occupant.

A written deferral policy must be established by the local Grantee. The deferral policy should outline the procedures followed when weatherization

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

**(Grant Number: EE0007950, State: SD, Program Year: 2019)**

measures may not be installed in a dwelling unit. When service is deferred the owner or occupant should be given a reasonable timeframe to correct the problem.

Examples of reasonable timeframes would be thirty days for housekeeping concerns or ninety for major remodeling work. Deferral conditions may include:

- 1) Standing water, mold, friable asbestos, deteriorated lead-based paint surfaces or other hazardous materials which cannot be addressed by the weatherization work.
- 2) Evidence of infestations of rodents, insects, and/or other vermin.
- 3) Un-vented space heater(s) that may have a harmful effect on the air quality of the home.
- 4) Disabled or inoperable heating plant at the time of the initial inspection.
- 5) Unsecured pets that may prevent workers from safely completing their work.
- 6) The presence of sewage or animal feces in the home.
- 7) Improperly stored chemicals, combustible materials, or other fire hazards that present a danger to the occupants or the workers.
- 8) Maintenance or housekeeping practices that limit the access of workers to the dwelling or create an unhealthy work environment.
- 9) Major remodeling is in progress, which limits the proper completion of major weatherization measures.
- 10) HUD funded dwellings, at the time of completion, will not meet applicable HUD Lead-Based Paint standards.
- 11) Electrical or plumbing hazards that cannot be addressed as a part of weatherization services.
- 12) Threat(s) of violence or abusive behavior to worker(s) or household member(s) during the weatherization process.
- 13) The illegal presence or use of any controlled substance in the home during the weatherization process.
- 14) Occupant has known health conditions that prohibit the installation of insulation or other weatherization materials.
- 15) Occupants refusal of required ventilation to meet ASHRAE 62.2

**Units Undergoing Remodeling:**

Units undergoing remodeling, which have untreated remodeled areas that directly affect the weatherization process, shall not be weatherized. The client's application shall remain a part of the Grantees records until recertification is necessary. Weatherization of the unit may proceed if remodeling is completed to the standards of a completed dwelling unit and the client qualifies for the program at the time of that completion.

A Deferral of Service Notification must be used to document and notify applicants of conditions that require the deferral of service. The applicant must receive a written notification within five working days of the decision to defer service. Included with the notice must be the grantee's applicant appeal procedures.

**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.

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Low-income members of an Native American Tribe will receive benefits equivalent to the assistance provided to other low-income persons.

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

The four agencies listed below offer weatherization services to all tribal and non-tribal homes in all 66 counties in South Dakota.

AGENCY: Interlakes Community Action Agency, P.O. Box 268, Madison, S.D.

Counties Served: Brookings, Clark, Codington, Deuel, Grant, Hamlin, Kingsbury, Lake, McCook, Minnehaha, Miner, Moody.

AGENCY: Northeast SD Community Action Agency, 104 Ash St E., Sisseton, SD

Counties Served: Beadle, Brown, Campbell, Day, Edmunds, Faulk, Hand, Hughes, Hyde, Marshall, McPherson, Potter, Roberts, Spink, Stanley, Sully, Walworth.

AGENCY: Rural Office of Community Services, P.O. Box 547, Wagner, SD

Counties Served: Aurora, Buffalo, Bon Homme, Brule, Charles Mix, Clay, Davison, Douglas, Gregory, Hanson, Hutchinson, Jerauld, Jones, Lincoln, Lyman, Mellette, Sanborn, Todd, Tripp, Turner, Union, Yankton.

AGENCY: Western SD Community Action Program, 1844 Lombardy Dr., Rapid City, SD

Counties Served: Bennett, Butte, Corson, Custer, Dewey, Fall River, Haakon, Harding, Jackson, Lawrence, Meade, Pennington, Perkins, Shannon, Ziebach.

**V.3 Priorities**

Priority shall be given to identifying and providing weatherization assistance to households receiving low-income energy assistance.

Priority shall be given to the following households;

- Households with elderly persons 60 or older,
- Households with disabled persons,
- Families with children not exceeding age 19.

Once a home has been determined a priority household, the subgrantees will utilize the Priority Matrix to assist in determining the order in which households will receive Weatherization assistance.

Breakdown of how the priority households will be determined is attached as Priority Matrix.pdf

For multi-family units, all occupied dwelling units within the building will have a priority score determined. Those individual scores are added up, then divided by the total number of dwelling units in the building.

**V.4 Climatic Conditions**

Weather bureau statistics show that most portions of South Dakota have average wind speeds of 15 miles per hour and experience wind speeds of 25 miles per hour at least thirty percent of the time throughout the year. In populated areas, heating degree days range from less than 6,300 to over 8,500. Elevations in these area's range from less than 1,200 to over 5,200 feet.

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**V.5 Type of Weatherization Work to Be Done**

**V.5.1 Technical Guides and Materials**

South Dakota Weatherization Materials-  
South Dakota Weatherization Field Guide - <http://wxfieldguide.com/sd/>  
South Dakota Policy and Procedures Manual

South Dakota contracted with Saturn Resouce Management to update the South Dakota Weatherization Field Guide to include the Department of Energy Standard Work Specifications and is currently doing the first review. The updated field guide was completed in 2019.

All Weatherization work completed must meet or exceed all local and state building codes. The following activities fall within the scope of this program and shall be considered for Weatherization. Energy conservation measures must prove cost effective, showing an SIR of 1.0 or greater, by NEAT/MHEA/TREAT energy audits before measures can be installed. All materials used will conform to 10 CFR 440, Appendix A.

All Subgrantees have received the updated Weatherization Field Guide containing the approved DOE SWS specifications (attachment FieldGuideReceipts.pdf) and all agreements and vendor contracts contain language which clearly documents the SWS specifications for work quality (attachment Flowdown Requirements.pdf).

Field guide types approval dates

Single-Family: 1/7/2019  
Manufactured Housing: 1/7/2019  
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)

South Dakota received conditional approval in June 2014.

Approval Date: 5/28/2015

Audit Procedure: Manufactured Housing

Audit Name: Other (specify)

South Dakota received conditional approval in June 2014.

Approval Date: 5/28/2015

Audit Procedure: Multi-Family

Audit Name: Other (specify)

Since multi-family completions reported to DOE do not exceed 20% of overall production South Dakota will request approval for multi-family units on a case-by-case basis.

Approval Date:

Comments

NEAT/MHEA audits are residential and manufactured energy audits developed and /or tailored by Oak Ridge National Laboratories (ORNL) for the U.S. Department of Energy for use in the Weatherization Assistance Program. The NEAT/MHEA Audits as approved by the Department of Social Services and DOE shall be used by all South Dakota agencies in determining the correct priority of weatherization improvements for each dwelling unit. Each audit analysis will remain in the client file. Prices paid for materials and labor is to be updated annually or when a significant change in a factor occurs. The NEAT/MHEA Audits are approved waiver audits which when used, allows local Weatherization agencies to vary from the 40% minimum materials requirement for each home the audit is applied to. The NEAT or MHEA audit is required on all homes/modular homes completed and thus the 40% materials minimum will not apply.

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In carrying out Weatherization projects, first priority is given to stopping infiltration by repairing broken windows, patching roofs and walls, caulking cracks and joints and weather-stripping doors and windows; a second priority is given to installing a balanced combination of cost effective energy conserving home improvements including insulation of attics, floors, walls, foundations, water heaters and exposed heating ducts, furnace replacements, etc. The Weatherization activities will be based upon NEAT/MHEA calculations and is limited to approved weatherization measures with a savings to investment ratio (SIR) of 1.0 or greater. Weatherization Measures shall not be implemented where the SIR of that measure is lower than 1.0.

All energy improvements must have a "stand alone" SIR of at least 1.0. Landlord contributions cannot be applied to a measure which will reduce the overall cost and increase the measures SIR thus making the measure cost effective.

Multi-family unit completions make up less than 20% of all Weatherized homes in South Dakota. Subgrantee's must submit a written request to the Grantee to seek approval to Weatherize a multifamily unit. South Dakota will then seek DOE approval prior to any work being completed.

#### **V.5.3 Final Inspection**

Each local Weatherization agency shall establish internal control systems to ensure that no dwelling unit will be reported to the state as complete until the local agency has performed a final inspection and certified that all work has been completed in a professional manner in accordance with approved priority procedures by a certified Quality Control Inspector. Prior to submitting a unit to the State office as a completion, the unit will be inspected by a sub-grantee QCI that did not perform the installation of measures. The QCI inspection sheet signed by the individual performing the final inspection and by the occupant of the unit must be placed in the client file. This inspection sheet must contain information stating that all measures have been properly installed and all the weatherization work has been completed in a professional manner and in accordance with 10 CFR 440.21(b).

Each subgrantee will provide proof documentation to the State showing individuals that are a certified QCI.

Due to limited funding, South Dakota will be utilizing the DOE prescribed QCI option of Independent Auditor/QCI. This has been the process for years in South Dakota and the grantee reviews the State Monitor QCI findings to ensure agencies are meeting standards.

All QCI inspections must meet all the standards set forth in the South Dakota Weatherization Field Guide. Failure to adequately inspect homes utilizing the field guide will result in follow-up work to ensure all work was completed as outlined in the field guide, and continued failure to adequately inspect homes would lead to further disciplinary actions.

#### **V.6 Weatherization Analysis of Effectiveness**

South Dakota receives a monthly data file from each subgrantee which is imported into South Dakota's Weatherization Database that is used to track number of homes weatherized, number of people assisted, type of home weatherized, and basic demographics of the household members. This allows South Dakota to ensure

production goals are being met by the Subgrantee and homes are being Weatherized in accordance with the State Plan.

South Dakota also conducts technical monitoring on no less than 10% of the homes Weatherized. To go along with the Technical Monitoring, South Dakota recently developed a Technical Monitoring Database that will be used to track findings within homes and give feedback to the agency that was monitored. South Dakota, with assistance from the subgrantee's has categorized findings based on 11 categories-

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- a) Windows
- b) Doors
- c) Ventilation
- d) HVAC (Furnace)
- e) Water Heaters
- f) Base Load Measures
- g) Health & Safety
- h) Client Education
- i) Infiltration
- j) Insulation
- k) Client File

Using these categories, South Dakota will better be able to target areas where further training is needed. Also, the State or Federal rule that the finding is based on is cited and included in the report to assist the subgrantee in locating the specific rule that lead to the finding.

The State of South Dakota is also utilizing data from the Weatherization Assistant Database created by Oakridge Laboratories. Weatherized homes are posted to an FTP site by the subgrantee's and the State then imports these homes into their own database. This data is then exported and analyzed to view the average cost savings of the program.

These Databases are used together to determine the effectiveness of the program overall and help determine where further training may be required to assist in continuous quality improvement.

## **V.7 Health and Safety**

These guidelines have been developed to address the health and safety of individuals receiving weatherization services, sub grantee staff, contractors of sub grantees and grantee staff. For 2019-2020, South Dakota is requesting 15.60% of DOE funds (25.00% of Program Operations) to remedy health and safety hazards, which are necessary before, or because of, the installation of weatherization materials. Justification for the amount budgeted is attached as H&S Justification.pdf. This percentage is based on subgrantee's estimates and is necessary to meet ASHRAE 62.2-2016 requirements. South Dakota is a rural State, and faces constant challenges finding contractors to complete some specialized measures like furnaces, water heaters, and ventilation fans. When contractors are located, the cost of completing the measures are very high. Each subgrantee is continuously advertising and contacting contractors to try and find qualified and reasonable contractors to do Weatherization work, but in the rural and tribal reservation portions of the State, it has been a real challenge.

Another contribution factor to the high H&S request is there are nine Tribes in South Dakota, and a number of the counties that these Tribes reside in are some of the poorest in the country. The housing stock on these reservations always need a significant contribution of Health and Safety funds

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just to ensure the home is safe enough to receive Weatherization services.

South Dakota Weatherization Field Guide health and safety requirements, Lead-safe weatherization guidelines, RRP, Occupational Safety and Health Administration (OSHA) requirements must be complied with in all weatherization activities. OSHA compliance costs incurred by each agency will be charged to the category in which the cost is incurred (health and safety, tools and equipment, incidental repair, etc.). The elimination of health and safety hazards both prior to or as a result of installing weatherization measures are addressed throughout South Dakota's Weatherization Field Guide & South Dakota Weatherization Policy Manual. Minimal or limited air sealing work will be done on dwellings with moisture or indoor air quality concerns that can not be resolved prior to or in the process of weatherizing the dwelling. South Dakota verifies compliance with OSHA and RRP requirements through the annual program monitoring and the Training Tracker form.

Weatherization services must be provided in a manner that minimizes the risk to occupants. The initial application contains a section where the occupants can identify issues or hazards with their home. Before beginning work on a residence, an occupant related health and safety indoor air quality checklist, which identifies hazards in the home, must be completed, reviewed, and signed by the building occupant, this is completed at the home. A copy of this signed document shall be provided to clients. Building owners and building occupants must be notified of any health or safety issues or concerns that must be remedied prior to or in conjunction with the weatherization work that will be done. Building and energy related health and safety concerns that are considered beyond the scope of the weatherization program, that the energy auditor feels must be corrected prior to weatherizing, must be referred to the appropriate programs and/or the building owner and must be corrected prior to starting the weatherization work.

With DOE approval, South Dakota has listed the following measures, in alphabetical order, as allowable energy related health and safety hazards to be mitigated with DOE health and safety funding. South Dakota will make use of every other funding resource available for health and safety mitigation work before utilizing any DOE health and safety funds. If the cost to remedy necessary health and safety measures exceeds some reasonable figure determined by subgrantees (based on management of their health and safety expenditure limit), and no alternate funding source can be found, the home may be deferred. Clients will be informed of observed health and safety problems throughout the weatherization process. South Dakota will follow the client education WPN 17-7 protocol for each of the following:

All waste materials, as a result of or weatherization work done on a home, shall be disposed of in compliance with EPA or local jurisdiction waste disposal requirements. Owners and/or occupants shall be advised of proper waste disposal of pollutants, debris, or other findings that resulted in a deferred of service until findings have been corrected.

**Air Conditioner**

**Air Conditioners-** Replacement of air conditioners is allowed with DOE health and safety funds if the existing furnace must be replaced and the existing air conditioning unit is a functional part of the existing furnace and is not compatible for installation in the new replacement furnace and the furnace/air conditioner replacement did not show as a cost effective efficiency measure when modeled in the energy audit. If the furnace/air conditioner complete replacement shows cost effective, 1.0 SIR or greater, the replacement shall be billed as an efficiency measure not to the health and safety budget. Client education will be provided on the use, maintenance, and relevant documents/owners manual if a new unit is installed. For compliance with the Clean Air Act 1190, section 608, agencies are required to reclaim all refrigerants from the appliance replacements.

Air conditioning units may be repaired, replaced, or installed with DOE health and safety funds in homes of at-risk clients (Doctors statement required explaining client is at risk without air conditioning). All other situations regarding air conditioners must be paid for with non-DOE Weatherization funds.

**Asbestos-** Homes should only be deferred if it is determined by the Energy Auditor, who are trained to identify asbestos, during the audit that asbestos has contaminated an area of the home that may endanger the occupants and encapsulation or removal if performed, must be done by a properly certified individual just to eliminate any ambiguity.

**Pipes, Furnaces, and Small Surfaces-** Visual inspection only, no physical disturbance is allowed. Encapsulation is allowed when done by a certified professional. Removal may also be allowed and should be a first consideration if comparable to the cost for encapsulation. Major asbestos problems should be referred to the appropriate agency and/or the Environmental Protection Agency. Client shall be given asbestos information materials and should be instructed not to disturb materials that may contain asbestos.

**Siding -** Removal and replacement of asbestos siding for insulating wall cavities is permissible if precautions are taken not to break or damage the asbestos siding. Drilling or cutting asbestos siding is not allowable. Safe practices are required for removal and replacement of siding. Clients must be informed if siding is assumed to contain asbestos and what precautions will be taken while working with the siding.

**In Vermiculite-** Vermiculite sampling for the presence of asbestos is an allowable DOE health and safety cost if sampling is done by certified tester. Removal of vermiculite is not an allowable DOE health and safety expense, and, as such, should either be avoided or funded by some alternate funding source. Encapsulation by a trained asbestos control professional is allowed, removal is not. A signed notification shall be included in the client file showing client was given asbestos information and instructions not to disturb materials suspected of containing asbestos.

Removal, if performed must be done by a properly certified individual.

**Biologicals/Unsanitary Conditions/Odors/Sewage/Etc.-** All homes must be checked for previous or existing indoor-air-quality problems. All

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indoor-air-quality concerns must be discussed with the home owner and/or occupant and documented in the client file. DOE funds may only be used to remedy conditions that may lead to or promote biological or unsanitary conditions but may not be used to address existing conditions. Partial weatherization is not permissible.

**Building Structure-** Building rehabilitation is beyond the scope of the Weatherization Assistance Program. Dwellings whose structural integrity is in question should be referred to appropriate housing programs for assistance. Work should be delayed until the structural problems are corrected if the structural needs interfere with the weatherization work audited for. Clients must be informed and findings documented when structural damage is identified.

**Code Compliance-** All weatherization related work must be done in compliance with national, state and local codes. Correction of pre-existing code compliance issues is not an allowable DOE cost. Pre-existing code issues shall be documented and clients informed of code compliance issues that were identified.

**Combustion Gases-** Cleaning, liners or replacements of chimneys are allowed on any chimney that may be a fire hazard, blocked, deteriorated or considered a danger to the home or occupants. Energy auditors shall assess the clearance to combustibles, signs of rust and corrosion, slope of connectors, size of chimney with input rating of appliances, test flue for carbon monoxide, draft, efficiency, gas leaks, and ambient air for carbon monoxide. Discuss problems with the client, and perform repairs if possible. Auditors shall assess all chimney repair/replacement costs and associated appliance costs to determine the most energy efficient and cost effective replacements or repairs.

**Drainage, Gutters & Downspouts, Sump Pumps-** Major drainage issues are beyond the scope of weatherization. Moisture issues that may create serious health concern, that require more than incidental repair, should be deferred. Findings shall be documented and corrective actions to be considered should be discussed with the client/homeowner.

**Electrical Repair / Knob & Tube Wiring-** Minor electrical repairs (Open junction box, installing a junction box, loose electrical fixtures, etc...) and upgrades are allowed where health and safety of the occupant or workers are at risk or when necessary to perform specific weatherization measures. Knob & Tube (K&T) wire replacement costs can be included in the measures (insulation) cost to be evaluated for cost effectiveness by the energy audits. If the combined cost shows a savings-to-investment of 1.0 or greater, the wiring can be replaced as part of the measure cost. If the cost for electrical repairs do not prove cost effective when included in the cost of the measure, DOE health and safety funds can be utilized for this measure. If insulating over K&T wires, sufficient over-current protection must be provided. When electric loads are questionable, a circuit voltage test should be done. Clients should be educated on overloading wiring and proper sized fuses for electrical circuits and informed of any electrical problems. Electric problems or needed electrical repairs that will not have an affect on the weatherization work are the responsibility of the client or home owner.

**Fire Hazards-** When possible fire hazards are found, they should be brought to the attention of the client so they are aware of what and why the finding is considered a fire hazard. Fire hazards may be corrected with DOE health and safety funds when necessary to safely weatherize the home. Fire hazard waste materials shall be disposed of in compliance with EPA or local jurisdiction waste disposal requirements.

**Formaldehyde, Volatile Organic Compounds (VOC's), Other Air Pollutants-** Pollutants that pose a risk to workers must be removed prior to working on the home. If the cost of pollutant removal does not prove cost effective when included in the cost of the measure, DOE health and safety funds may be utilized for this measure. If pollutants can not be removed, work must be deferred. Clients shall be informed of pollutant problems that must be addressed and provided information on proper disposal.

**Fuel Leaks-** Testing of exposed gas lines for fuel leaks from utility coupling into, and throughout, the home as well as conducting sensory inspection on bulk fuels to determine if leaks exist is allowed. Leaks discovered may not be repaired with H&S funds. The subgrantee must instead inform the client in writing of the leak and temporarily halt work until the leak is fixed by either the client or utility company.

**Gas Ovens/Stovetops/Ranges-** Testing for CO and inspecting cooking burners and ovens for operability and flame quality is allowed. If a problem is found, the subgrantee is allowed to perform standard maintenance on or repair gas cooktops and ovens. Replacement is not allowed.

**Heating Systems-** South Dakota winters are cold with January high temperatures averaging below freezing and low temperatures averaging below 10 °F (- 12 °C) in most of the state. Because of severe cold temperatures households with hazardous or inoperable heating systems that are beyond repair and do not show cost effective as efficiency replacements can be replaced with DOE H&S funding. Energy auditors examine heating systems for safe operation, test for gas leaks, worst case drafting and determine if occupants are at-risk.

**Primary**

Heating Systems- "Red tagged", inoperable, or nonexistent heating system replacement, repair, or installation is allowed where climate conditions warrant, unless prevented by other guidance herein. This covers all types of primary heating systems.

**Secondary**

**Vented Combustion Space Heaters-** If hazardous, may be serviced or repaired but may not be replaced with DOE funds. Must be tested for safe operation (draft and CO) and for steady state efficiency if possible.

**Unvented Combustion Space Heaters-** Units that do not meet ANSI Z21.11.2 must be removed before weatherization work can be done on the



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home. Unvented space heaters that meet ANSI standards that remain in the home must be tested for CO levels. Client education shall be provided on high moisture and dangerous pollutants from non vented heaters and if client refuses to have it removed the home will be deferred.

**Electric Stand Alone Space Heaters-** Repair, replacement, or installations are not allowable. Client education must be provided on the hazards for portable heaters and a signed waiver is needed if stand alone electric are not removed. Circuitry shall be checked to ensure power is adequate for the heater.

**Solid Fuel Heat (wood stove, etc)-** Maintenance, repair, and replacement of primary indoor heating units is allowed where occupant health and safety is a concern. If the original fuel type is wood, coal, or kerosene, a more reliable replacement system can be modeled as a Health and Safety measure. All replacement units must meet applicable local codes and EPA requirements. Installations must conform to the NFPA 211. Safety information should be provided to the client as well as depressurization results.

**Injury Prevention of Occupants and Workers-** Minor repairs (This could include fixing a hole in the floor, small gas leak, etc...) may be done when necessary for the safety of workers and occupant in order to effectively weatherize a home. If the cost of minor repairs for injury prevention do not prove cost effective when included in the cost of the measure, DOE health and safety funds will be utilized for this measure. Owners and occupants shall be informed of possible hazards.

**Lead Base Paint Work Practices-** Protective materials, clothing, cleaning materials, cleanup and proper disposal of lead contaminated material to complete the lead safe work on a specific unit may be billed to health and safety. Home owners and occupants of pre 1978 homes must be provided copies of EPA Renovate Right pamphlets at least 7 days before and no more than 60 days before renovation work begins. Proof of delivery of the Renovate Right pamphlet must be kept in the client file for 3 years after completion of renovation work. All weatherization workers, working on pre-1978 homes, must receive LSW training and be accompanied by an EPA Certified Renovator. Photo documentation is required for all lead safe work practices.

**Mold & Moisture-** Energy auditors inspect for evidence of moisture accumulation such as mold, stains on the foundation or interior walls, or musty smells. Limited corrective actions and water damage repairs can only be done when necessary in order to weatherize the home and protect measures installed. These could include a sump pump, dehumidifier, or possibly drain spouts if cost effective and able to correct the problem. Severe mold and moisture issues that are beyond the scope of the weatherization program must be deferred. If mold is discovered, the agency must have a notification or disclaimer, signed by the owner and/or occupant, which explains the existing conditions and what steps will be taken to alleviate these conditions.

**Occupant Preexisting/Potential Health Conditions-** During the pre audit, energy auditor shall review the Indoor Air Quality Questionnaire (attached to plan), to give themselves an understanding of the living conditions prior to visiting the home. The auditor will then during the audit visit with the client, for a better understanding and get clarifications of the occupants' health conditions that may be affected by the current living conditions and the eventual measures that may be installed. When a person's health may be at risk and/or the work activities could constitute a health or safety hazard, the occupant at risk will be required to take appropriate action based on severity of risk. Failure or the inability to take appropriate actions must result in deferral. Temporary relocation of at-risk occupants may be allowed on a case by case basis.

**OSHA Crew Safety-** Worker safety is the responsibility of the subgrantee. Subgrantees must comply with Occupational Safety and Health Administration (OSHA) requirements in all weatherization activities. Crew leaders and workers must receive the required hours of OSHA training. OSHA compliance costs incurred by each agency will be charged to the category in which the cost is incurred (health and safety, tools and equipment, incidental repair, etc.). Safety Data Sheets (SDS) must be the most current data sheet for materials purchased, must be available at worksites where materials are being installed, and must be posted wherever workers may be exposed to hazardous materials. South Dakota is in compliance with the Department of Labor, 2012 Hazard Communication Standard.

**Pest Control-** Because most pest control problems are a temporary fix, H&S funding may only be used to control or eliminate pests which will allow the workers to weatherize a home. Post weatherization work pest control is the responsibility of the home occupant. Screening of windows and pest access points is allowed to prevent intrusion. Energy auditors shall inform client of observed condition and associated risks.

**Polyurethane Spray Foam-** When installing polyurethane foam workers must follow the manufactures instructions for installing the product. Provide ventilation; isolate the work area, vacate the premises, wear the proper protective clothing and respirators per manufactures instructions.

**Radon-** All South Dakota counties are either considered a zone 1 or a zone 2 according to the EPA. All clients receiving weatherization will receive the EPA's A Citizen's Guide to Radon and will review and sign the informed consent form.

**Repair of Gas/Propane Leaks-** A pre audit gas leak test using gas sniffers and/or bubbling liquids is required on all gas valves and connectors. A post test is required on connectors or gas valves that may have been tampered with in conjunction with the weatherization of the home. H&S funding may be used for all gas leak repairs that may be hazardous to the occupant of an eligible dwelling unit.

**Repair/modify duct systems to correct pressure imbalances-** H&S funds can be used to correct duct imbalances that may cause or contribute to moisture, appliance back-drafting or other indoor air quality concerns.

**Smoke Alarms, CO Detectors, & Fire Extinguishers-** Smoke alarms and CO detectors are allowable health and safety costs were detectors are inoperable or not present. Replacement of operable smoke or CO detectors is not allowed. Fire extinguishers are allowed only when solid fuel is

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present. A qualified unit will not be deferred or referred due to issues with smoke/CO detectors or fire extinguishers. Detectors and extinguisher shall be installed according to manufactures recommendation supplied with each item and per local codes. Provide client with verbal purpose and features of each product and written information on use of smoke/CO detectors and fire extinguishers where allowed. As part of ASHRAE 2013, a CO detector will be added to every Weatherized home, regardless of heat source in accordance with NFPA 720.

**Ventilation-** When performing weatherization activities sub-grantees must meet ASHRAE 62.2 ventilation requirements in homes that do not have acceptable indoor air quality as defined by ASHRAE 62.2. Weatherization staff, responsible for assessing weatherization needs and ensuring indoor air quality, shall attend ASHRAE 62.2 training including proper sizing, venting, air zones, etc. Final inspections shall include fan flow testing to ensure compliance with ASHRAE 62.2 ventilation. Client education shall be provided on all ventilation functions, use, components and maintenance and shall be informed that ASHRAE 62.2 does not account for high polluting sources or guarantee indoor air quality. All South Dakota subgrantees will follow the ASHRAE 62.2 2016 requirement.

**Windows and Door Replacements –** Window and door replacement, repair or installation is not an allowable health and safety cost.

**Water Heaters**

Replacement of operable water heaters is allowed when the tank is rusted through and leaking hot water or;  
When the cost to repair a hazardous water heater exceeds ½ the cost of replacement or;  
When the existing water heater is deemed hazardous to the occupants health or safety.

During the State held Weatherization Technical meeting, we go over each Health and Safety Categories as outlined in WPN 17-7 and discuss all the situations that the agency technical staff encounter and the proper way to handle these situations. Subgrantee staff will also receive training as outlined in WPN 17-7 to ensure compliance with the Health and Safety categories.

**V.8 Program Management**

**V.8.1 Overview and Organization**

Title IV of the Energy Conservation and Production Act, as amended Pub. L. 94-385, authorizes the Department of Energy to establish a program to weatherize the homes of low-income individuals, particularly those who are elderly or disabled or have children and those who receive low income energy assistance.

The South Dakota Weatherization Program is one of the programs operated by the Office of Energy Assistance. This office is a division of the State Department of Social Services (see attached organizational charts.)

The South Dakota Department of Social Services has been allocated funds by the Department of Energy to implement a weatherization assistance program to increase the energy efficiency of dwellings owned or occupied by low-income individuals. The goals of this program are to reduce their total residential energy expenditures, and to improve their health and safety. Priority will be given to those low income individuals who are particularly vulnerable, such as elderly, the disabled, and families with children. These goals will be accomplished through client education efforts and by installing cost effective measures such as, insulation, base-load lighting and refrigerators, storm windows, caulking and weather stripping, and making repairs to or replacing inefficient heating systems.

South Dakota will sub grant Department of Energy Weatherization Assistance Program funds to four community action agencies. These organizations are currently administering effective weatherization programs and are meeting production goals. They have been selected on the basis of quality of work, achievement of current goals, qualified and experienced staff and ability to secure volunteers as well as the past achievements in working with low-income individuals. The four agencies are:

Interlakes Community Action Program  
Northeast South Dakota Community Action Program  
Rural Office of Community Services  
Western South Dakota Community Action Program

All four agencies have administered weatherization assistance programs since the program was part of CSA. The agencies have employed individuals under CETA, JTPA, Green Thumb and Work Release programs. The agencies are experienced in working with community service volunteers, hired labor and contracted labor.

The increased use of subcontracted labor and the decline in the use of volunteers has provided greater cost-effective programs. The community action agencies were established under Title II of the Economic Opportunity Act of 1964.

**V.8.2 Administrative Expenditure Limits**

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Not more than 10 percent of the grant will be used for administrative purposes. The grantee will not use more than 5% of the grant.

**V.8.3 Monitoring Activities**

The South Dakota Department of Social Services is dedicated to continuous quality improvement, program integrity, accountability and technical proficiency to assure program consistency and compliance.

The Department of Social Services will perform annual evaluations of the subgrantees implementation of policies, procedures, documentation, training, and oversight and poor performance will be corrected promptly. Other participants in the weatherization program, such as installation contractors and affected households, will be included in the subgrantee evaluation process. DSS will create open communication systems to identify quickly any challenges and immediately remedy the issues.

All weatherization work must comply with national, state and local codes. South Dakota monitors sub grantee staff qualifications by requiring sub grantees to report all staff training and certifications. South Dakota currently has seven certified Quality Control Inspectors (at least one at each agency) that will inspect 100% of the completed units prior to submission to DOE. They should have knowledge included but not limited to training in inspection skills, construction, installation practices, principles of heat loss, blower doors and whole-house diagnostic technology.

The South Dakota Department of Social Services will solicit qualified contractor(s) to conduct technical monitoring of no less than 10% of weatherized homes during the 2019-2020 program year. South Dakota has contracted with Cal Steiner the last several years to monitor homes, he received QCI certification on September 10, 2014. Mr. Steiner will evaluate the workmanship and techniques used by weatherization crews, focusing on compliance with weatherization guidelines, priorities and the quality of work.

The units that will be monitored by the contractor(s) will be selected randomly by the State Weatherization staff. Each of the selected units will be evaluated to ensure:

- 1) File review sign-off
- 2) Priority Documentation/justification
- 3) Weatherization application or supplemental form used to gather information for individuals eligible through LIEAP
- 4) ELIGIBILITY: method of eligibility determination;
- 5) Verification of ownership or rental agreement;
- 6) Landlord Agreement signed by property owner or agent prior to the installation of weatherization measures;
- 7) Indoor Air Quality questionnaire
- 8) NEAT, MHEA, TREAT Audit Output (Recommended Measures) Report;
- 9) Work orders which include:
  1. A field audit form and auditors notes,
  2. A measures list and total measures cost,
  3. Final inspection form, signed by the client,
  4. Justification for Measures not completed, and
  5. Documentation related to non-DOE/LIEAP weatherization work on the unit;
- 10) For multifamily dwelling unit, cross-references to the other weatherized units in the building;
- 11) Health and Safety Inspection Checklist;
- 12) Pre September 1978 housing-Documentation that the EPA Lead Booklet has been given to the owner and occupant.
- 13) Renovation Recordkeeping and pictures including warning sign

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- 14) Mold Notification Form if applicable, Ventilation in Your Home, if applicable
- 15) A completed Heating System Checklist;
- 16) Building Diagnostics documentation and Combustion Safety Test results;
- 17) Pre and Post Blower Door Tests results;
- 18) Follow-up forms if applicable,
- 19) Documentation of any waivers or approvals pertaining to the job or building;
- 20) Client Satisfaction form;
- 21) Approved, deferred or denied units, include a copy of the notification provided the household or attach a copy to the application if no client file exists;
- 22) Photographs are required on all jobs and shall include at a minimum the following:
  - 1. The frontal view of the unit exterior
  - 2. Leaky water heater before replacement
  - 3. Photo documentation of Lead-Safe work practices
  - 4. Doors and windows (if infiltration problem exists).

23) Historic Preservation documents

24) Insulation certificate

State Weatherization staff will receive technical monitoring reports from Mr. Steiner and will use the reports to monitor the performance of the selected contractor(s). If there are concerns about the selected contractor's performance, State Weatherization staff will accompany the selected contractor to an onsite visit. The contract will include a clause that will allow the State to terminate the contract for noncompliance with contract requirements or unacceptable performance. If there are concerns about the Community Action Agency performance, State Weatherization staff will accompany the selected contractor on a follow up visit. Copies of the inspection sheets and a summary of the findings will be sent to the sub grantee no later than thirty (30) days following the onsite visit. A Weatherization Monitoring Report that contains additional work known as follow-ups may result in:

- 1) Disallowed costs
- 2) Increased inspection/monitoring rate
- 3) Additional required training for the sub grantee or specified staff of the sub grantee

State Weatherization staff will conduct a minimum of one monitoring visit of each sub grantee during the program year to evaluate program management in the areas of:

- 1) Planning
- 2) Organization
- 3) Fiscal management –
  - 1. Each sub grantee is required to have an annual independent financial audit.
  - 2. SD Office of Provider Reimbursements and Audits conducts a comprehensive financial audit of each sub grantee to ensure compliance with 2 CFR 200 Financial Assistance Rules.
- 4) Program outreach
- 5) Purchasing practices
- 6) Implementation of corrective action

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- 7) Weatherization files
- 8) Inventory control
- 9) Health and safety compliance
- 10) Client eligibility
- 11) Payroll
- 12) Vehicle and equipment
- 13) work orders
- 14) ASHRAE

A summary of the program monitoring, including corrective action requirements, will be sent to the Executive Director of the agency within thirty days of the visit. A Weatherization Monitoring Report that contains follow-ups may result in:

- 1) Disallowed costs
- 2) Increased inspection/monitoring rate additional required training for the sub grantee or specified staff of the sub grantee.

**V.8.4 Training and Technical Assistance Approach and Activities**

The Training and Technical Assistance funds will be used to strengthen the overall effectiveness of the program and to meet the new Quality Control Inspector requirement. Each subgrantee in South Dakota is currently has at least one staff member certified as a Quality Control Inspector and 100% of the completed units reported to DOE will have been inspected by a certified QCI.

South Dakota has eight individuals that have been or will go through the QCI certification process.

Rob Boniface (ICAP) - Passed QCI exam on 2-12-20

Dustin Bragg (Northeast) - Passed QCI exam on 6-12-14

Steve Nielsen (ROCS) - Passed QCI exam on May 2017

William Thompson (Western) - Passed QCI exam on 10-08-14

For the 2019-2021 Program Year \$30,800 in T&TA funds will be used to contract to conduct technical monitoring of 48 homes and to also provide a technical training located in Pierre. All remaining T&TA funds will be used to strengthen the overall effectiveness of the program.

South Dakota mandates that subgrantees will include language in the subcontractor contracts to ensure subcontractors have read and acknowledged the expectations for work quality.

South Dakota is utilizing the WAPTAC Training Resources section to identify options for subgrantees to ensure that Comprehensive training is received by an IREC accredited training program and all workers will receive regular Comprehensive training and specific training is being issued as needed. WPN 15-4 has been shared with all subgrantees and all of them are aware of the new training standards and resources available. Monthly, subgrantees post a Training Tracker to the FTP site that the State monitors to ensure adequate Comprehensive and specific trainings and CEU's are being received.

As stated in V.6 Weatherization Analysis of Effectiveness, South Dakota will utilize the Weatherization and Technical Monitoring database to identify training areas for subgrantees to determine where T&TA funds need to be used to improve the effectiveness of DOE Weatherization.

Due to limited trained staff, in most cases South Dakota will continue to have the auditor conduct the final inspections on the homes. The Auditor performs the audit, creates the work order, and performs the final quality control inspection. The auditor is not involved in any of the actual work on the home.

Training Local Crews and Contractors: All agency crews and contractors working with the weatherization program are encouraged but not required by the State to attend a course on basic weatherization.

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State field unit inspections will determine-

Training Local Crews and Contractors: All agency crews and contractors working with the weatherization program are encouraged but not required by the State to attend a course on basic weatherization. State field unit inspections will determine-

- Materials listed in the client file are present in the unit
- The correct use of an approved computerized energy audit occurred
- Installed materials will be inspected for effectiveness, safety, workmanship, overall appearance, and compliance with DOE Regulations, State Policies, and Weatherization Field Guides.
- Combustion appliance safety will be inspected for compliance with the Weatherization Field Guides.
- Measures or repairs installed under Weatherization Program that are in compliance with DOE Regulations, State Policies, and Program Guidance are subject to being disallowed.

The Training and Technical Assistance funds will be used to strengthen monitoring efforts by contracting with additional staff to ensure more weatherized units are inspected.

All Weatherization workers, both in-house crews and contractors, are required to be trained EPA (#14) Certified Renovators or will be trained on the job by Certified Renovators and trained in DOE Lead Safe Weatherization practices before installing weatherization measures that will disturb painted surface areas while weatherizing homes.

On-site training is extended to those individuals who require additional instruction beyond that given at regional or statewide workshops. On-site training involves quality control procedures, energy auditing/inspecting procedures and dealing with health & safety/indoor air quality concerns. Individual and agency training needs are discussed during technical monitoring visits, energy coordinators meetings and during the annual monitoring visit. As training needs are identified, sub grantees are encouraged to see that all training needs are met.

Individual and agency training needs are discussed during technical monitoring visits, energy coordinators meetings and during the annual monitoring visit as well as monitored using the Training Tracker. As training needs are identified, sub grantees are encouraged to see that all training needs are met. The Training Tracker is used to track subgrantee training to ensure credentials are up to date and provide insight on future training.

All personnel working in the field, including auditors, are required to attend a minimum 10-hour OSHA construction training and all crew/contractor leaders/supervisors are required to attend a 30-hour OSHA construction training and must attend future trainings to maintain currency as indicated by OSHA.

Training and Technical Assistance funds will be used to send weatherization staffing to regional and national weatherization conferences, provide or attend ASHRAE 62.2 ventilation trainings, provide or attend OSHA training, provide in-house or field trainings for weatherization crews and contractors and send staff to training centers or offer trainings to fit their specific training needs. Travel, per diem, wages and registration fees can be paid for weatherization individuals attending weatherization related workshops and conferences the funds can also be used for training new weatherization staff during their probationary period.

Energy Auditor/Inspector's will provide client education to the occupants while assessing the home's weatherization needs and while inspecting the work that has been completed in the home. Individuals will be supplied with material on the benefits of weatherization and other ways to save energy. Each agency will also use the blower door and other testing apparatus for training and demonstration for contractor, crew and consumer education.

The State Office will coordinate Energy Coordinators Meetings during the year. All travel and per diem costs will be charged to Training and Technical Assistance.

State monitoring reports, program and financial monitoring reports, NEAT/MHEA audit results, H&S Tracker. The result of each are reviewed and interpreted each year to identify potential training needs.

For PY 2020 the State will not provide a training for subgrantees.

South Dakota holds conference calls with subgrantees during the program year to discuss changes to the H&S plan and discuss any topics they feel requires clarification.

Client education is done prior to the initial audit the auditor will discuss the Weatherization process with the homeowner and give out educational information, for

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example, Energy Saver Tips. At this time the Indoor Air Quality Questionnaire that was filled out during the application process will also be discussed so the auditor has all the necessary information to determine H&S needs. Once the audit is done and measures installed, the QCI will discuss what was done to the home and answer any questions the homeowner has.

Percent of overall trainings

|                          |      |
|--------------------------|------|
| Comprehensive Trainings: | 95.0 |
| Specific Trainings:      | 5.0  |

Breakdown of T&TA training budget

|  |      |
|--|------|
| Percent of budget allocated to Auditor/QCI trainings:          | 80.0 |
| Percent of budget allocated to Crew/Installer trainings:       | 15.0 |
| Percent of budget allocated to Management/Financial trainings: | 5.0  |

V.9 Energy Crisis and Disaster Plan

South Dakota is not electing to pursue energy crisis plan at this time.