

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

(Grant Number: EE0009889, State: AR, Program Year: 2022)

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

AEO understands that every dwelling weatherized must meet both the client eligibility and the building eligibility requirements.

The dwelling unit is eligible for weatherization if the family unit occupying it

1. has income in relation to household size which is at or below 200 percent of the poverty level determined in accordance with criteria established by OMB and Budget, and published in WPN 22-3, or
 2. has a member who has received cash assistance payments at any time during the preceding twelve months under Titles IV or XVI of the Social Security Act, or applicable state or local law, or
 3. is eligible for assistance under the Low Income Home Energy Assistance Act of 1981 (LIHEAP); Arkansas WAP, in addition, grants eligibility to anyone who does not qualify for LIHEAP but whose income is at or below 200% of poverty level and anyone who is eligible for LIHEAP but chooses not to apply, or
 4. has been certified as meeting the income requirements of a HUD means-tested program and proof is provided by applicant or through an interagency list of recipients.
- AEO acknowledges that all subgrantees must have on file proof of income eligibility for each household served or proof of cash assistance received by a household member under Titles IV or XVI of the Social Security Act or proof of receipt of LIHEAP benefits or eligibility under a HUD means-tested program. For each client waiting for services, subgrantees must re-certify eligibility every 12 months after initial determination of eligibility until selected for weatherization. The application eligibility expires 12 months from certification date if work on dwelling unit (energy audit) has not been initiated.

Describe what household eligibility basis will be used in the Program

Basis for household eligibility is WPN 22-3 containing current poverty income guidelines and definition of income. Arkansas will use 200% of poverty level and categorical eligibility based on LIHEAP and HUD means-tested program eligibility as described in the preceeding section.

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

U.S. DOE directs grantees to guidance provided by U.S. Department of Health and Human Services at <http://www.acf.hhs.gov/ocs/resource/liheap-in-hhs-guidance-on-the-use-of-social-security-numbers-ssns-and-citizenship-status-verification>. Subgrantees will

- allow ineligible persons who reside in the family unit to apply for weatherization services on behalf of eligible minor children;
- consider only eligible persons to be counted as part of the family unit; and
- consider the income of all persons residing in the dwelling unit when determining income eligibility for weatherization services, regardless of eligibility status of each individual person.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

Dwelling units are eligible for weatherization if occupied by an income eligible family unit .

The Arkansas WAP application form (WAP04) asks if the dwelling unit is owned or rented.

If owned by the applicant/family unit, proof of ownership is required in the form of a deed, quick claim deed, will, or documentation from the county accessor's

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office. Subgrantees are often able to view county assessor's files online and obtain a printout showing ownership to ease the burden on the applicant of supplying proof of ownership.

If the applicant/family unit lives in rental property, the landlord's name and contact information is required on the application. Then the tenant or Subgrantee obtains written permission from the landlord to perform weatherization work on the property; this permission becomes part of the client file.

In buildings with more than one dwelling unit, at least 50% of tenant family units must be income eligible for weatherization services. For multi-family rental property, any vacant units that are weatherized must have the expectation of being occupied within 180 days of weatherization services being performed. Not more than 50% of units may be vacant and, in the case of 50% occupancy, all occupied units must have income eligible family units residing therein.

Describe Reweatherization compliance

In Arkansas, a dwelling unit may not receive weatherization services if it was previously weatherized less than 15 years prior to a current application for services, if the previous weatherization was completed using federal funds.

In order to ensure that re-weatherization does not occur within the 15 year prohibited time period, Arkansas requires that Subgrantees:

1. Search weatherization records by address as well as applicant/family name.
2. Search the older data base, used from approximately 2004 to the implementation of ECOS in 2015, even though legacy data was entered in ECOS.
3. Search any existing paper records, if access is not available to the older data base.
4. Visually inspect the house, prior to completing an energy audit, for signs that previous weatherization could have occurred, such as the presence of new windows and doors, new HVAC, extensive interior caulking, existing insulation (check date on attic insulation tag). Signs of previous weatherization will be discussed with the applicant/family unit.
5. Ask the applicant, with this requirement expecting to yield the most unreliable results. The weatherization application asks if the dwelling unit was previously weatherized, and previous weatherization is discussed with the applicant at the time s/he applies.

Arkansas does not expect to have re-weatherized units in PY 2022.

Describe what structures are eligible for weatherization

Building Eligibility – Housing Types:

Housing types eligible for weatherization include owner-occupied and renter-occupied single-family, site-built homes, manufactured (mobile) homes, and multi-family buildings. Single family dwelling units include buildings with 2, 3, or 4 units.

Multi-family dwelling units are defined as having five (5) or more individually heated/cooled units in each building, which may either be a single building or a complex of buildings. Arkansas considers a complex comprised of duplexes, triplexes, and/or quadplexes to be multi-family.

Non-traditional dwelling units, such as shelters, apartments over businesses, or camping trailers, require AEO approval prior to weatherization. AEO will ensure that requirements for eligibility are met prior to granting approval or reach out to the DOE PO for discussion and approval.

For campers and trailers to be considered stationary and, therefore, eligible for weatherization, the following criteria must be met:

1. Axles have been removed.
2. Residential electric and water utility services have been established.
3. Mail service has been established using street address (PO Box does not qualify).

State Historic Preservation Compliance (SHPO)

Arkansas will use the guidelines in its Historic Preservation Programmatic Agreement (PA) to comply with restrictions concerning weatherization. Dwelling units will either be exempt from restrictions based on age or types of weatherization measures installed or require SHPO review.

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Describe how Rental Units/Multifamily Buildings will be addressed

Rental Units/Single-family

Arkansas's rental plan, as follows, protects renters' rights as specified in 10 CFR 440.22 (b)(3), (c)-(e).

- At the time of application, the Subgrantee must obtain written permission from the owner/agent of the rental unit agreeing to weatherization of the property; this permission must be retained in the client file.
- The benefits of weatherization assistance are expected to accrue primarily to low-income tenants.
- No undue or excessive enhancement will occur to the value of dwelling units as a result of weatherization. Each energy audit of a rental unit will be reviewed by the Subgrantee Weatherization Director to ensure that all measures authorized by the energy audit software, Energy Conservation Online System (ECOS), and all Health & Safety measures are provided in compliance with DOE requirements. Any questions in this regard will be discussed with AEO prior to the start of weatherization.
- Not less than 66 percent (50 percent for duplexes and four-unit buildings) of the households in a building must be income-eligible for weatherization services.
- The Subgrantee will obtain and place in the client file an agreement signed by the landlord (or authorized agent of the landlord) stating that, for a minimum of twelve (12) months after weatherization work has been completed, the rent will not be increased based on the increased value of dwelling units due solely to weatherization.
- Subgrantees will provide copies of the signed Landlord Agreements to the tenants to ensure their understanding and provide an avenue for tenant complaints.
- Other Considerations:
 - In the event of a dispute between the tenant and property owner regarding a rent increase, the subgrantee will attempt to resolve the dispute; if that fails, the tenant will be referred to legal aid by the subgrantee.
 - Units being weatherized must be occupied by a qualified household; the only exception is that an applicant household may temporarily move out while work is ongoing, if the temporary nature of the move is documented and re-occupation of the house is expected once work is completed.
 - Arkansas does not seek property owner agreements for placement of liens nor does it use other contractual restrictions.
 - Subgrantees do not accept financial participation of the owner in weatherization costs.

Rental Units/Multi-family

Multi-family weatherization has consistently represented less than twenty percent (20%) of total weatherization production in Arkansas. In PY2020, 11% of total production was multi-family.

During the selection process for a multi-family project, the energy auditor will complete a walk-through of the property and note the potential for energy savings.

The Subgrantee does encourage or require the owner of multi-family complexes to participate financially in Weatherization costs. In particular, owners are encouraged to utilize available resources, such as maintenance funds or HUD funds, to address measures that do not receive an SIR of 1.0 or greater.

Arkansas encounters quite a few multi-family complexes comprised of buildings with 2, 3, or 4 dwelling units in each building. For these projects, the Subgrantee uses ECOS, the DOE-approved single-family energy audit software.

For projects with buildings of 5 or more units, or buildings of any size that are centrally heated and cooled (e.g., shelters), AEO contracts with a qualified entity, such as an engineer, to complete an energy audit. The energy audit is then submitted to DOE for approval prior to beginning weatherization work.

Better Community Development, Inc. (BCD) receives funds set aside for multi-family weatherization. BCD completes projects throughout the state. A partnership with USDA Rural Development has the goal of weatherizing multi-family complexes throughout Arkansas using a blended service approach.

Describe the deferral Process

There are conditions and situations under which a subgrantee must not or may choose not to weatherize an otherwise eligible dwelling unit. Information for making this determination may become evident during the application process, during the initial inspection process, during the energy audit, or after weatherization work has begun.

The Arkansas WAP Deferral policy is uploaded as part of this application.

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The Deferral form (WAP 35) ensures that all information is discussed with the client and provided in writing with both parties' signatures. This form is placed in the client hard file. In addition, both the deferral form and the deferral tracking form are uploaded as part of this application.

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.

Arkansas has no identified Native American tribes. Low-income Native Americans will receive the same weatherization services provided to other low-income persons in Arkansas.

V.2 Selection of Areas to Be Served

Arkansas has consistently served the entire state, with the current configuration being six (6) Subgrantees with service areas ranging from the largest of 21 counties to the smallest of 3 counties. Since the ARRA period, selection of subgrantees has been through a competitive process, advertising for Requests for Qualifications from non-profit CBOs and local governments.

Arkansas allocates funds at the county level and aggregates amounts allocated to the counties in each service area. The methodology uses occurrence of the following in a weighted formula:

- Population below poverty level, given a weight of 80 percent
- Annual average heating and cooling degree days, given a weight of 10 percent
- Percentage of houses built prior to 1990, given a weight of 10 percent

V.3 Priorities

Each applicant is assigned priority points at the time of eligibility determination, as follows:

1. At least one member in the household is elderly (age 60 or older). (1 point)
2. At least one member in the household is a person with disabilities (receives disability benefits). (1 point)
3. At least one member in the household is a child (under the age of 19). (1 point)
4. The household has a high energy burden (spending more than 6% of total income on heating and cooling costs*). (1 point)
5. The household is a high energy user (spending 10 cents or more per square foot on electricity**). (1 point)

AEO is considering changing this priority points system so that applicants with a high energy burden receive more points. This change will be discussed with stakeholders before a decision is made. Something else AEO is considering in order to serve more people "who have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality" is to focus on Subgrantee outreach activities in their local communities. This will be a future topic during Grants Guidance training or the Arkansas Weatherization annual conference.

Subgrantees maintain a priority list for each county in their service area in the ECOS software. AEO has approved the use of separate priority lists by county to give subgrantees flexibility when scheduling work crews and assigning contractors. This policy minimizes travel distances and maximizes available work hours and worker efficiency. However, a subgrantee serving two or more counties may not work exclusively in one county for more than one month. The Subgrantee is required to serve each county in proportion to the number of units planned for that county and to prioritize counties based on the number of priority points assigned to top applicants on each county list. The selection of a county in which to provide weatherization work exclusively for a coming month should be primarily based on where the client resides who has the highest number of points among all counties. Priority points being equal, the age of the application comes into play when selecting the next house for weatherization.

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Subgrantees print and keep priority lists each month to document that these policies were followed. Each county list should contain explanatory notes, e.g., attempts to contact clients and other information pertinent to selection.

*from DOE Better Buildings/Clean Energy for Low-Income Communities Accelerator fact sheet

**from Entergy Solutions "You have the power to lower your Entergy bill" brochure

V.4 Climatic Conditions

Total heating degree-days in Arkansas range from a high of 5,477 in the northcentral part of the state to a low of 4,987 in southeastern Arkansas. The average heating degree-days are 30 year averages that have been supplied by the National Oceanic and Atmospheric Administration (NOAA). In counties without reporting stations and in counties without complete data for 30 years, data from nearby stations was utilized.

Black River Area Development Council (NE)	5,477
Central Arkansas Development Council (SW)	4,999
Community Action Program for Central Arkansas (central)	5,276
Crowley's Ridge Development Council (NE)	5,294
Crawford-Sebastian Community Development Council (NW)	5,298
Better Community Development (SE)	5,198

Following is a description of how weather data is used in Arkansas's energy audit software, Energy Conservation Online System (ECOS):

Methodology for calculating heat loss – ECOS uses a balance point temperature when calculating energy usage/loss for building segments. DOE requires that when using this methodology, you utilize 68 degrees for heating and 78 degrees for cooling-NOAA weather data is imported into ECOS from each weather station in Arkansas. The weather data is a 20 year average which is standard practice for DOE protocol and includes all 8 compass points and horizontal surfaces (future solar panel modeling potential).

Calculating demand – When the model is run, for every hour of the day ECOS knows what the exterior temperature is based on the weather data. The demand is calculated on how much energy is needed to maintain a 68 degree heating and 78 degree cooling internal temperature. So, the hotter it is outside, the more demand is needed to meet the cooling balance point temperature. For example, if it is 98 degrees outside, this equates to a 20 degree delta T that must be met to reduce the cooling temperature to 78 degrees resulting in more loss of BTUs or usage and more energy (fuel) needed to meet the demand.

Calculating energy loss – Segments or condition codes are assigned an R-value which was reviewed by DOE. When a user selects to "model" a building segment they enter the orientation (N/E/S/W etc.) and select a condition code. ECOS will calculate the energy usage in BTUs based on the condition code and orientation to determine how much energy is needed to meet the demand for that segment over a period of time (one year). If the user selects to insulate that building segment (increase the R-value), ECOS will run the same calculation over the same wall segment and orientation. The result is how much energy will be needed to meet the demand for that wall segment.

This results in the following formula: Pre Energy Usage (in BTUs) – Post Energy Usage (in BTUs) = Estimated Savings (in BTUs) annually. Then the savings in BTUs is converted to units based on the primary fuel type. So, if it is natural gas, it is converted to therms, electricity to KWH, etc. This results in annual savings of units. Then it is a simple calculation to get the SIR. Depending on the life expectancy of the task, the annual savings are multiplied by the life expectancy then divided by the cost to get the SIR.

(Annual Savings x Life expectancy / Task Cost) = Task SIR.

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

Arkansas uses the following: "Retrofitting Arkansas Single Family Standard Work Specifications - Aligned Field Guide, and Subgrantee Operations Manual.

The Subgrantee Operations Manual is a living document which codifies all program requirements, procedures and standards. On an annual basis, AEO will update the manual incorporating new language from DOE's WPNs and/or new state policies. When updates are made, the manual will reflect the appropriate effective dates of changed policies.

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The Subgrantee Operations Manual is maintained on the AEO website.

Electronic Link <https://www.adeg.state.ar.us/energy/incentives/wap.aspx>

Scroll to bottom of page and click on "WAP Forms & Documents"

The Standard Work Specification technical guide for single family is maintained in ECOS under the *Forms, Program Forms* tab.

Documenting the Process for Distribution

Once revised versions of the Subgrantee Operations Manual or technical guides are issued, AEO will send a copy to each subgrantee via certified mail. Each subgrantee must sign for delivery. The US Postal Service will return the signature cards to AEO, providing written verification that each subgrantee received a copy.

Subgrantees require Weatherization contractors to sign an acknowledgement form, verifying that they have received a copy of the ASFSWS and the AMHSWS at the time of their procurement to do weatherization work. Subgrantees must have written documentation showing each contractor has received both SWSs. During monitoring visits, AEO program monitors will check for compliance.

Statements of Assurances

AEO ensures that all subgrantee agreements and subgrantee vendor contracts, will contain language which clearly specifies that all work performed will be of a quality outlined in WPN 15-4, Section 2.

The language clearly requires and documents the following:

- (1) that subgrantees and their contractors understand that work quality standards must align with the SWS,
- (2) that each subgrantee's direct hire is aware of these standards, and
- (3) that they all must sign off that they have received a copy of both SWS technical guides.

AEO ensures that all work will be performed in accordance with our DOE-approved Energy Audit procedures and all materials will be approved materials specified in 10 CFR 440, Appendix A.

• Language in Subgrantee Agreement

The following language will be inserted into subgrantee and contractor agreements:

It is the signatory's responsibility to perform all weatherization and health & safety work to the specifications outlined in WPN 15-4 using DOE Standard Work Specifications (SWS) as found in Arkansas Single Family Standard Work Specifications and the Arkansas Manufactured Housing Standard Work Specifications (ASFSWS and AMHSWS)." Work quality standards that align with the SWS must be followed for all work performed on client homes. The signatory acknowledges receipt of the above referenced documents. All contractors of subgrantees must be assigned the same contractual responsibility and acknowledge receipt of the referenced documents.

The signatory must ensure that every completed home is inspected for compliance with these standards and require reworks when the work is judged not satisfactory by the SWS standards.

Describe Mechanism Used

The mechanisms AEO uses to verify that subgrantees understand and agree to expectations of weatherization work is the subgrantee's signature on the grant agreement. In addition, third party QCI inspections review weatherization work vis-a-vis the SWS technical guides.

Arkansas will follow the restrictions for the listed allowable activities and historic preservation in the NEPA determination. Subgrantees will adhere to the Historic Preservation Programmatic Agreement (PA).

Field guide types approval dates

Single-Family: 7/30/2018
Manufactured Housing: 6/10/2019
Multi-Family:

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V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name: ECOS
Approval Date:

Audit Procedure: Manufactured Housing
Audit Name: ECOS
Approval Date:

Audit Procedure: Multi-Family
Audit Name: ECOS
Approval Date:

Comments

Arkansas is committed to submitting energy audit approval requests to DOE every five (5) years, with the understanding that sufficient lead time (minimum 6 months) is required for the approval process.

DOE approved ECOS for continued use in Arkansas on March 29, 2022.

V.5.3 Final Inspection

AEO's Final Inspection & Assurance Statement

AEO requires that every DOE WAP unit reported as a "completed unit" undergo a final inspection by a certified Quality Control Inspector (QCI), ensuring that all work meets the minimum specifications outlined in the Standard Work Specifications developed by DOE/NREL.

In accordance with WPN 15-4:

- Every client file will have a WAP 08 form that certifies that the unit had a final inspection and that all work met the required standards. The form will be signed by a certified QCI. Signatures will be accepted to demonstrate compliance. If a unit, inspected by the subgrantee QCI, is also inspected by the state, two (2) certification forms will be available in the client file - one for each inspection.
- Final inspection information is entered in ECOS and reviewed as part of desk monitoring.
- The QCI includes an assessment of the original audit to confirm that the measures called for on the work order are appropriate and compliant with the state audit procedures and protocols approved by DOE and that there are no "missed measures" which should have been considered.

The Use of Quality Control Inspectors

AEO will monitor at least five percent (5%) of all units reported as complete in PY 2021 unless AEO verifies that a subgrantee does not have a completely independent QCI process from its energy auditing function or the agency is on probation or at-risk. If any of the scenarios apply, AEO will monitor at least ten percent (10%) of all units reported as complete.

Policy & Procedures for Inadequate Inspection Practices

- Subgrantee QCI accompanies state/third party QCI to learn first hand of any deficiencies in its own inspection and audit.
- State/third party QCI provides feedback during the inspection.
- State/third party QCI addresses incomplete and poor workmanship as well as missed opportunities on site and in reports. Needed specific and/or comprehensive training will be delivered in the field by the state/third-party QCI at the time of the inspection or arranged later.

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- State/third-party QCI identifies call backs and missed opportunities and identifies required corrective actions at subgrantee's expense.

Improvements are expected or AEO will meet with agency administration to review expectations and discuss disciplinary actions.

Inspection and Monitoring of Work Using Guidelines and Standards

For PY 2022 Arkansas will continue to ensure that Quality Control Inspector (QCI) competency is demonstrated by mandating certification as a BPI Home Energy Professional (HEP) QCI. AEO requires that each subgrantee employ or contract with a HEP QCI. Subgrantees must submit to AEO the credentials of all staff employed as a QCI and of any third parties engaged to conduct quality control inspections. In PY 2021, AEO may use SEAL Incorporated as its third party QCI contractor.

V.6 Weatherization Analysis of Effectiveness

The State of Arkansas is concerned that all entities that participate in the program be qualified and has sufficient ability to effectively deliver a quality product to the citizens of Arkansas. The following evaluation system has been developed to analyze current subgrantee performance and to assess viability for continued participation in the weatherization program.

- **Realized Energy Savings:** ECOS software has the capacity to capture pre and post energy usage which allows actual energy savings to be calculated.
- **On-site Inspections of Weatherized Units:** State/Third Party QCI will inspect a minimum of five percent (5%) of completed units for each subgrantee, unless AEO verifies that the subgrantee has not completely separated the audit and inspection functions, in which case a minimum of 10% of completed units will be inspected (see previous Final Inspection section).
- **Monitoring:** Visits will focus on technical, fiscal, and administrative compliance with all applicable federal and state WAP rules and regulations. Findings will be tracked through a corrective action plan. Any patterns will be noted and addressed.
- **Single Agency Audits:** Each subgrantee must submit a financial audit within nine (9) months of the conclusion of the fiscal year. Audits will be reviewed and be used as part of a financial risk assessment.
- **Productivity:** AEO will track expenditures and average cost per unit of each subgrantee to monitor utilization of grant funds.
- **Analyses using ECOS:** With the implementation of ECOS, AEO has expanded capability to track subgrantee progress. These capabilities include:

1. Information dashboard: findings by subgrantee, measure, contractor reworks and disallowances; training needs including comprehensive and specific training is based on findings, results and priorities
2. Comparison charts that show productivity levels, spending and energy savings between subgrantees.

- AEO requires self assessments based on Knowledge, Skills, and Abilities (KSAs), for each subgrantee staff employed in a WAP position. Weatherization directors use these self-assessments, and other information specific to staff, to develop a training plan.

AEO utilized its Risk Assessment reports to document the outcomes and effectiveness of installed measures. The Risk Assessment tool records administrative/programmatic, technical and fiscal effectiveness. Improvements will be tracked by programmatic monitoring, comparing federal/state/third party QCI findings with findings from the previous QCI report, and fiscal reviews.

V.7 Health and Safety

Arkansas' approved Health and Safety Plan is uploaded in the application attached to the SF-424. Radon has been added to the plan.

Budgeted Health & Safety funds are 24.99% of total Program Operations for this program year. This percentage has been approved for Arkansas in the past and will not be exceeded this program year.

Arkansas will limit Health and Safety expenditures to \$1,582 per unit, or 24.99% of the average cost per unit (\$6,329). Health & Safety expenditures cannot exceed 24.99% of expenditures for Program Operations and approval to exceed \$1,582 for a particular unit will require a request to AEO to exceed the H&S limit. AEO and the subgrantees will ensure that Health & Safety expenditures do not exceed 24.99% of expenditures for Program Operations.

Minor repairs are capped at \$600.00.

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V.8 Program Management

V.8.1 Overview and Organization

The Arkansas Energy Office (AEO) is a part of the Arkansas Department of Energy and Environment, Division of Environmental Quality.

Within AEO is the State Energy Program (SEP), which includes multiple programs; Clean Cities; Energy Efficiency Arkansas (EEA), which is utility-funded; Low-Income Home Energy Assistance Program (LIHEAP); and Low-Income Home Water Assistance Program (LIHWAP).

The Weatherization Program Manager and staff work with AEO administrative and fiscal staff. The organizational chart shows WAP is a unit under the Senior Programs Manager. Connection to the State Energy Office allows an exchange of ideas beneficial to WAP.

V.8.2 Administrative Expenditure Limits

For PY2022, the state/AEO has budgeted 4.6% of the total allocation for Administration.

Subgrantee administration is 10.9% of the total allocation.

The total administration of 15.5% of total allocation allows an additional .5% for 2 of the 3 Subgrantees with total allocations under \$350,000.

Approval of additional administrative costs is based on each subgrantee's cost allocation plan for overall agency administration.

V.8.3 Monitoring Activities

Arkansas Weatherization Practices & Procedures for Monitoring

I. Technical Monitoring

AEO is submitting two procedures for monitoring: (1) on-site technical monitoring and (2) virtual technical monitoring and requests approval of this hybrid technical monitoring approach. AEO is adding virtual monitoring as a new approach in the event that travel restrictions are imposed at a later date.

1. On-site Technical Monitoring:

AEO will use its QCI certified staff to conduct technical monitoring visits.

A minimum of five percent (5%) of units reported as complete will be selected for field review if the subgrantee certifies that its program operates with complete separation of staff who conduct energy audits and those who inspect the weatherization work. AEO will verify that this separation does exist.

For subgrantees who cannot document separation, a minimum of ten percent (10%) of completed units will be inspected.

File Review

1. State monitors and/or subgrantee will choose obs to review monthly from a list of completed jobs in the ECOS software. They will conduct desktop audits by reviewing client e-files.
2. State monitors will note any questions or concerns.
3. In some instances, conference calls may be warranted between the State monitor and pertinent subgrantee technical staff in order to resolve or clarify issues.
4. An email will be sent to the subgrantee WAP Director listing findings and concerns with a request to either address deficiencies or justify actions.

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5. If the unit is selected for a field visit, relevant files will be placed in a site visit folder with follow up areas noted.

The frequency of technical monitoring is as follows:

Annually, AEO will select the number of units (with or without the subgrantee's assistance) to be inspected which meet the percentage of inspections required. The QCI inspections will begin in July and will continue during successive weeks until completed, with a maximum of one (1) week spent inspecting each subgrantee's weatherization work. Final reports for each subgrantee must be submitted to AEO prior to beginning inspections for another subgrantee.

Inspection includes a file review and in-home inspection. The state and third-party QCI (if applicable) will be accompanied by the subgrantee QCI or other staff. Expectations for the inspection are:

A typical on-site inspection averages two hours (2) hours. Other activities include:

1. 1 hour - review client file (energy audit, work orders, and agency QCI inspection report) prior to being on-site;
2. 1 hour - follow-up discussion of findings among QCI and subgrantee staff (may be in the field after the inspection or back at the subgrantee office);
3. 2 hours - complete required written report; and
4. 1 hour - review and discuss documentation of corrective actions, if any; approve or deny.

Technical Desk Monitoring

Every month, technical monitors conduct desk audits in the ECOS software after jobs have been submitted to AEO as complete. A monthly desk review includes reviewing:

1. energy audit, work orders/SWS, health & safety, final inspection by QCI, separation of audit and final inspection (different staff, certified QCI); required forms present, complete, signed and dated;

Details of the desk audit review will be sent to each subgrantee via email. Auditors/inspectors can also see the state monitor's notes on the Billing Review tab in ECOS. This feedback enables subgrantee staff to consider alternative procedures in what might be complex weatherization situations and offers the opportunity to rerun final calculations.

In addition, monitors may conduct desk audits while the auditor/inspector is still in the audit/job. The objective is to look at audits and jobs in progress before they are completed and placed in a billing group; in this way compliance issues are averted or better ways to evaluate/analyze a unit can be discussed before the job is turned in to AEO.

If AEO's technical monitors detect trends or deficiency patterns in the subgrantee's next QCI monitoring of completed units, the following steps will be taken:

- Monitoring of the subgrantee will increase so that an additional visit will be made prior to the next regularly scheduled visit;
- Additional units completed since the last regularly scheduled monitoring visit will be inspected; the number will be two (2) or 100% if less than two (2);
- One (1) in-progress unit will be inspected during this extra visit;
- AEO's QCI, third-party QCI (if applicable), and subgrantee staff will discuss: 1) contractor deficiencies, 2) quality of auditor assessments, and 3) subgrantee QCI giving a pass to substandard work and missed opportunities;
- Training needs relative to findings will be discussed and provided to subgrantee staff and contractors.

Note: Significant deficiencies are defined as: health & safety violations, poor quality installation of materials, and major measures missed.

Subgrantee noncompliance or repeated unresolved findings (based on a minimum of two [2] monitoring visits to a subgrantee without improvement) will be reported promptly to the DOE project officer.

An annual analysis will be performed to determine an overview/risk assessment - review status will be based on performance during the previous year.

2. Virtual Technical Monitoring Proposal

AEO proposes the following practices and procedures as part of a virtual technical monitoring plan to be implemented as needed.

Virtual Site Visit for Work-in-Progress

When selecting a job for an in-progress on-site visit, the following will be considered:

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The job has multiple measures being installed, thus giving the monitor an opportunity to gain a wider understanding of the agency's overall field practices. The Subgrantee must provide AEO the following:

1. Pertinent Client Information (name and address);
2. Energy Audit (Monitor can download from ECOS software);
3. Retrofitting Date;
4. Work Order (Monitor can download from ECOS software);
5. Once the subgrantee contractors/ crew have unloaded their equipment and materials and started work, subgrantee representative will contact the AEO monitoring team from the vehicle with a street view of the home for a group video call.
6. The video operator should be familiar with the home's scope of work and know what areas of the home to view. The monitoring team must observe:
 - a. Contractor staff working from the street view;
 - b. Contractor staff working on-site; and
 - c. Subgrantee staff walk-thru tour (inside and outside).
7. The AEO monitor may request the video operator to slow his/her walk pace, zoom in on areas, and/or change directions and emphasis in order to see with more detail.
8. Each worker starting with the crew leader will be asked what he/she is working on and what procedures he/she is using. The video operator will not hand the device to the worker and will maintain a 6 foot distance.
9. Work in-progress installations will be assessed to ensure Standard Work Specifications have been met according to Arkansas field guides.
10. General OSHA compliance and safety practices will be assessed.
11. The AEO monitor may ask to see certifications, PPE and safety equipment, and SWS field guides.
12. The AEO monitor may view the condition of the vehicles, tools, and insulation trailer, if applicable.

Virtual Technical Final Inspection

1. Subgrantee notifies AEO's technical monitor of upcoming final inspection. The Subgrantee must provide AEO the following:
 - a. Pertinent Client Information (name and address); and
 - b. Copy of Work Order (Monitor can download from ECOS software).
2. The monitor will review in ECOS WAP forms, data inputs and outputs, diagrams and the building modeling of the home, and view the home via Google Earth if available. Notes are made in preparation.
3. Two subgrantee staff must be present for the final inspection. One is the QCI who will conduct the inspection, and the other is the video operator.
- a. The subgrantee staff will video call the state monitor from the vehicle once they arrive at the client's home.
- b. The QCI describes each activity as they would during a proctored field exam. Everything that the final inspector would normally do is completed and video streamed.
 4. The monitor will ask the team of inspectors to slow down, stop, explain, or to show a closer view of certain measures.
 5. The video operator will be asked to adjust the camera so monitor can clearly see the meters, gauges, location of testing, and appliance operation.
 6. Safety concerns noted by the monitor will be communicated immediately to the subgrantee inspection team.
 7. The agency may have more than one device on hand as a backup if the first one's battery life is not long enough to support the entire final inspection, or a power bank.
 8. As the final inspection is ending, the monitor will give the inspectors an opportunity to address anything they might have missed.
 9. If it appears the home is being left in an unsafe manner, the monitor will alert the inspectors so that can be corrected. Notations will be taken and review notes will be included in an on-site monitoring letter.
 10. Observations are made about how the inspectors addressed problems with the work or missed opportunities.
 11. AEO's final inspection results will be compared to the subgrantee final inspection results for consistency. Comparisons will be made between AEO's QCI final blower door readings, ASHRAE requirements, and other diagnostic results entered in client file and in ECOS.

Training & Technical Assistance Review

Annual reviews for each subgrantee will be visited by a technical monitor. The following must be performed:

1. Review AEO's technical quarterly/annual report for each agency prior to on-site visit;
2. Review each subgrantee employee's self-assessment prior to on-site visit;
3. Review subgrantee certifications prior to on-site visit. Inform subgrantee staff of renewal dates;
4. Review each subgrantee employee's training plan prior to on-site visit and determine if training plans are being followed for persons employed by weatherization. Do plans support renewal of staff certifications; Are their plans for additional staff certifications;
5. Verify if each contractor certifications are valid. Check to see if SWSs were issued with work order;
6. Review subgrantee plan for evaluating contractor work;

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7. Review subgrantee contractor training plan (if applicable) and determine if improvements have been achieved;
8. Review subgrantee plan for dismissing contractors for poor performance;
9. Conduct inventory check on equipment (including vehicles) and materials. Submit a written report;
10. Gather a list of equipment purchases/dispositions from previous and current program year prior to on-site visit. Inspect PPE and safety equipment;
11. Check to see if SWS field guides are in subgrantee and contractor vehicles;

In addition, the following must be verified on an annual basis.

12. Verify current fuel prices. This must be done by checking subgrantee entered fuel prices in ECOS, per vendor. Match entered fuel cost against vendor document (either letter or matrix from vendor);
13. Review sample jobs to check to see if procured prices match job costs in ECOS.

Year-End Reporting

AEO will submit a T&TA, Monitoring, and Leveraging Report 30 day after the end of the grant year. These reports will include subgrantees monitored; major findings and resolutions; trends with respect to findings, other concerns or issues; needed T&TA (programmatic/ administrative, technical, financial); list of subgrantees considered high risk (from other programs or program management); and outcome activities involving T&TA and training during monitoring.

II. Subgrantee Administrative/Compliance Monitoring:

On a monthly basis desk reviews are conducted. A monthly desk review includes:

1. Client files – sample files from most recent quarter (minimum 5% with increased numbers reviewed if deficiencies are found) with review of eligibility, rental agreement;
2. Contractors' agreements - agreements signed and citing SWS standards and work required to these standards;
3. Priority lists – confirm how clients are pulled from list; how priorities are entered in ECOS, are all five (5) priorities being calculated, is subgrantee re-determining client eligibility every 12 months;
4. Program forms – ensures all relevant forms are accurate and complete and signed by both the subgrantee and the client (whenever applicable).

Annually, in the first quarter of the program year, each subgrantee will be visited by an administrative/compliance monitor (if the subgrantee has produced DOE units). An analysis will be performed to determine an overview/risk assessment- review status will be based on performance during the previous year. The following will be reviewed:

5. Management system relating to production;
6. Policies and procedures, including records retention.

III. Subgrantee Fiscal Monitoring

On a monthly basis desk reviews are conducted. A monthly desk review includes:

1. Subgrantee Monthly Billing Groups/Invoices are compared to submitted support documents (per line item category); this monthly procedure will also inform the on-site fiscal review.

Annually, each subgrantee will be visited by a fiscal monitor. An analysis will be performed to determine an overview/risk assessment- review status will be based on performance during previous year, including:

2. Sample month of general ledger compared to invoices, client files, and weatherization payroll;
3. Personnel and other expenses charged to weatherization administration;
4. Policies and procedures for financial management and separation of duties;
5. Procurement - process and documentation;
6. Follow-up on any findings from last single agency audit.

Resolution Strategies & Corrective Action Plans

Results of on-site Visits

After an on-site visit, an exit conference will include a discussion of findings with executive director, financial director, and weatherization director as available. AEO will send subgrantee a written report within thirty (30) calendar days of the monitoring visit. A combined report for the program, including administrative

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and fiscal reviews will be provided when the Administrative monitor and Fiscal monitor visit during the same time. Each report will require a response from the subgrantee with a corrective action plan which AEO will accept or reject, in whole or in part, in a written response.

Results of Technical Review

As it relates to a technical review, the resolution strategy starts with AEO sending a letter to the subgrantee containing the findings and corrective actions required by the QCI and conveying the original QCI reports to be filed in the client files. This letter requests that the subgrantee submit corrective actions taken and photographic documentation of such to AEO within fifteen (15) working days of the receipt of the letter. The letter also states that corrective work must be completed with non-federal funds. Corrective action documentation will be sent to QCI for approval.

A. On-site, In-progress Technical Monitoring

As a part of the corrective action process, in-progress inspections will be included in the field monitoring schedule for subgrantees who have repeated major deficiencies from one technical monitoring visit to the next. Wendy Ryan and/or Candy Roman will conduct in-progress inspections following recommended assessments as outlined in WPN 20-4.

Process for discipline and/or removal of a subgrantee from the program.

The "AEO General Terms and Conditions" and "Scope of Services" in the "Administrative Grant Agreement" specify the criteria necessary for a Subgrantee to be considered in compliance. Failure to maintain fiscal control, comply with federal regulations, or fulfill contract obligations will lead to probation.

The terms of probation will begin with monthly on-site monitoring to review problematic areas of the program with a frequency designed to assess training and improvements or non-improvement. Probation will be initiated for six (6) months with the option to extend for another six (6) months if sufficient progress is not deemed to have occurred but some improvement has been shown. Areas of required improvement will be specified in a written probation document and be under continual review during monthly monitoring visits. At the end of the probation period, AEO will either 1) release the subgrantee from probation; 2) take steps to bring the program into compliance by reducing the workload to a more manageable level; in this regard, AEO may reallocate part of the unobligated WAP funds and part of the subgrantee's service territory to a suitable replacement subgrantee on a temporary basis; or 3) terminate the subgrantee grant agreement.

Resolution strategy:

Monitors will follow-up to ensure that corrective actions are carried out by each subgrantee according to the approved plan. Based on required corrective actions and the risk assessments from the previous year, each subgrantee will be placed on a monthly, quarterly, semi-annual, or annual schedule of on-site monitoring visits. These scheduled monitoring visits will include a review of areas cited for corrective actions and any changes that have taken place with the subgrantee. Progress with production, staff training, and contractor performance will be reviewed. Any subgrantee placed on a monthly monitoring schedule will be deemed to be on probation.

AEO/WAP Program Staff

Wendy Ryan began employment as a WAP technical monitor on December 30, 2019. Wendy has Energy Auditor and QCI certifications and has worked at the subgrantee level as both an Energy Auditor and a Quality Control Inspector since 2012, before joining the state program..

Candy Roman has been employed by Arkansas Weatherization state office since 1994 as an administrative and technical monitor. More recently, she became a certified Quality Control Inspector; she achieved her certification as a BPI HEP Quality Control Inspector (QCI) in June 2017. After expiration of this certification in June 2022, Candy will not renew it. She will use her technical expertise in ways that contribute where the certification is not required and for administrative functions to which she is well suited based on her long history with the program.

During PY2022, AEO plans to procure a **third party QCI** in order to be able to maintain the required 5% - 10% on-site review of all jobs reported as complete and to continue in progress monitoring.

Heather Arick began employment as a WAP programmatic monitor in October 2020 Ms. Arick will conduct monthly compliance desktop reviews and on site Administrative reviews .

Angela Kelley has been serving as the fiscal monitor for WAP since July 2020. She took a temporary assignment with WAP when LIHEAP received its CARES Act funds. AEO has retained Mrs. Kelley as the WAP fiscal monitor.

Mrs. Kelley is under the direct supervision of **Tim Scott**, AEO's Senior Operations Manager. Tim handles the traditional budget functions for the office, and will also assume management and oversight of most of our fiscal programs. Both Mrs. Kelley and Mr. Scott will work together to provide financial management to the WAP.

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Diane Bowen has been employed by Arkansas Weatherization state office since 2010. She serves as the Administrative Assistant.

The position of **Weatherization Program Manager** is currently vacant. AEO intends to fill the position by August 2022.

Budget for Monitoring

All full-time weatherization program staff salaries are allocated 50% to DOE and 50% to LIHEAP, with the DOE portion allocated equally between Admin. and T&TA. The Administrative Assistant and the Senior Operations (Financial) Manager are allocated 100% to Administration.

The four (4) full-time positions that serve as monitors (Ryan, Roman, Arick and Kelley) comprise 67% of the personnel budget. In addition, the budget has a line item for third party QCI procurement in the amount of \$2,000.00. The travel budget has 27% allocated to in-state travel for monitoring purposes. Since Arkansas is a small state and AEO is located in the center of the state, these funds were calculated to be very well sufficient for this purpose.

V.8.4 Training and Technical Assistance Approach and Activities

During PY 2022, AEO will return to in-person training.

Training content will be based on the following:

- (1) aggregating statewide findings/concerns from technical, administrative, and fiscal monitoring;
- (2) Subgrantee staff completing self-assessments for WAP managers who each submit a training plan to AEO for the allocation of T&TA funds, including needed training to maintain required certifications, which will be part of each subgrant agreement;
- (3) DOE findings and concerns; and
- (4) training needs for contractors identified by both AEO and Subgrantees (AEO will develop a specific policy to enable the use of T&TA funds for training contractors).

AEO requires that each subgrantee have at least one (1) certified QCI on staff. This requirement has been met since July 1, 2015. Currently, there are nine (9) certified QCIs employed among the six (6) Subgrantees and one (1) QCI employed by the state.

BPI requires that all individuals who renew, or pursue a new, QCI certification hold an Energy Auditor certification. In addition, AEO requires that staff identified by a subgrantee as a potential QCI first pursue certification as an Energy Auditor. All QCIs in Arkansas WAP are also certified Energy Auditors. In addition, six (6) certified Energy Auditors who are not QCIs are employed by the Subgrantees.

AEO recommends that new staff hired by subgrantees complete Building Analyst and Manufactured Housing training to establish a solid foundation for going on to certification as an Energy Auditor and QCI. AEO provides T&TA funding for subgrantees to include Building Analyst certification for inexperienced, non-credentialed staff in their training plans. Some staff who need to start out with Building Science are supported in obtaining that training.

AEO requires that weatherization directors and field staff (auditors and inspectors) as well as contractors have active certification in lead-safe practices through the Environmental Protection Agency's Renovation, Repair, and Painting program.

Maintaining workforce credentials: AEO stays abreast of credentials and their renewal requirements by maintaining a spreadsheet tracker based on the staff certifications submitted by subgrantees. AEO provides T&TA funds for Subgrantees to enable certification of QCIs and Energy Auditor based on the subgrantee's approved training plans.

Technical training, both Tiers 1 and 2, will be provided by a trainer affiliated with an IREC-accredited training center to provide CEUs leading to and maintaining certifications: QCI, Energy Auditor, Crew Leader, Weatherization Worker, Building Analyst, and Manufactured Housing. AEO has established a working relationship with Dan Payne, affiliated with the IREC accredited training center in New Mexico but located in southern Missouri. Staff have gone to his facility for training and he has come to Arkansas for training. AEO will follow procurement procedures to obtain training during PY2022.

Training provided by AEO in Arkansas is considered mandatory. Subgrantees have consistently attended available training, and, therefore, AEO has not needed to establish ramifications for non-compliance. In the case of non-attendance at training, AEO would consider requiring absent subgrantee staff to find and attend equivalent training elsewhere.

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AEO encourages the following with T&TA funds made available to subgrantees:

1. Pursue Building Analyst and Manufactured Housing credentials.
2. Attend DOE/National Home Performance Conferences.
3. Attend Energy OutWest conference
4. Attend NASCSP conferences if appropriate.

AEO staff attend the fall and spring NASCSP conferences, Energy Outwest and the National Home Performance conferences. AEO staff will attend one (1) additional conference, if demonstrated to be specifically applicable to weatherization and job duties.

Support of on-the-job training: AEO requires that weatherization field staff new to the job are supervised by trained and certified staff until such time that skills are demonstrated satisfactorily and any required certifications are completed (see AEO requirements and recommendations for certifications above). During this time period, staff labor can be charged to T&TA.

Planning for industry-wide initiatives and future program requirements: AEO attends NASCSP conference each year and through this and other means strives to keep abreast of industry standards and to include these areas in Arkansas trainings and requirements. For instance, AEO now encourages certification for Energy Auditors.

During the planning for PY 2022, AEO will reach out to home industry trainers as needs are identified. In addition, AEO will also partner with statewide home performance industry on training issues: AEO is linked to the home performance industry.

Use of effectiveness and energy savings evaluations to develop training: ECOS generates energy savings data from each job that can provide snapshots of savings by different variables. In PY 2022, AEO will work with JAI to generate useful reports, such as the range of energy savings from common energy efficiency measures. AEO will seek consultation on using this data to guide development of specific and comprehensive training.

AEO intends to use as measures of effectiveness (1) job analysis and auditor's judgment/justifications, (2) the timeliness of completion rates for houses audited, (3) an analysis of reasons for deferral, and (4) measurement of energy savings.

Grantee effectiveness: AEO uses the resources of NASCSP for training and information relevant to implementing and administering the grant. AEO budgets for attendance at these and other conferences.

Arkansas Health & Safety (H&S) Plan: In 2019, AEO utilized the DOE Health & Safety template as its guide in developing the Arkansas H&S Plan. We pre-populated the template with DOE and Arkansas H&S guidance and provided a copy to the network's Technical Committee for review. The technical committee met on three occasions to complete the H&S Plan. It was finalized and approved by DOE in the fall of 2019. The 2022 Health & Safety Plan has been crosswalked with WPN 22-7 and uploaded in the application.

Client Education: Client education is built into auditing and inspecting and is considered an important part of the weatherization process. There are specific forms to document the information given to and discussions with the client in the home.

AEO encourages subgrantees to budget for materials that each agency considers useful in educating clients. In addition, AEO has free materials on energy efficiency provided through another program that are distributed on an annual basis to subgrantees at the Arkansas conference, based on orders placed by the subgrantees. For the past four (4) years at the conference, AEO has provided a specific training session on communications which is designed for weatherization staff in the office and in client homes to learn to communicate more effectively with clients. Subgrantees are encouraged to respond to outreach requests and most participate in the Assurance 16 program which is a LIHEAP program in which clients learn household management skills, including energy efficiency practices.

Arkansas Mentoring Program:

Beginning in program year 2022 (July 1), Arkansas WAP has plans in place to implement a mentorship program in order to support recruitment, efficient onboarding, and career advancement at the state and Subgrantee levels. At the state level and at the Subgrantee level, at least one (1) certified quality control inspector (QCI) is onboard and very knowledgeable of WAP requirements. Therefore, Arkansas WAP is currently staffed to implement this program successfully.

The mentorship program will consist of:

1. Staff who currently work for WAP at the state or Subgrantee level but not in the technical part of the program, or who are hired from outside to work in WAP without QCI certification, must express interest in becoming a QCI *mentee*.
2. The QCI Job Task Analysis will be reviewed with the mentee in order to define the scope of work that will be part of the learning curve leading to QCI certification.

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3. The mentee will work alongside energy auditor and QCI mentors to learn the tasks that are necessary for passing the written and field tests for QCI.
4. At the point that the energy auditor and QCI rate the mentee as proficient to work alone, the mentee will complete inspections that must be reviewed and approved by the certified QCI. The mentee will utilize video or virtual technology to document the steps in the inspection he/she completed for review by the certified QCI who will sign off on the inspection by the mentee on the WAP08.
5. As a mentee, a minimum of ten (10) audits performed with modeling in software and ten (10) inspections must be completed independently and approved by the QCI mentor. Approval will be granted by on-site or virtual review of mentee performance. Both the mentee and certified QCI are required to sign the Arkansas inspection form, WAP08.
6. In addition, Arkansas WAP will bring in qualified trainers from IREC accredited training centers to provide classes for mentees and others on the following topics: building science, building/envelope analysis, mobile homes, and installer. These classes will be offered in various regional locations so that mentees from all Subgrantees can easily attend. One of these classes will be taught at least every other month while mentees are receiving on-the-job training and advancing to completion of independent inspections. Mentees without construction experience will be required to take the installer class while others with verified construction experience will not.
7. Arkansas state WAP will inspect at least 10% of completed units where a Subgrantee has an ongoing mentorship program.
8. Arkansas expects that a minimum of six (6) months will be necessary to prepare a mentee to take the Energy Auditor and QCI exams.

Percent of overall trainings

Comprehensive Trainings:	70.0
Specific Trainings:	30.0

Breakdown of T&TA training budget

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

V.9 Energy Crisis and Disaster Plan

Arkansas will not use any grant funds for energy crisis relief during the 2022 Program Year.

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IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Better Community Development, Inc. (Little Rock)	\$405,430.00 56
Black River Area Development Corp. (Pocahontas)	\$213,807.00 16
Central Arkansas Development Council (Benton)	\$669,720.00 57
Community Action Program for Central Arkansas, Inc. (Conway)	\$132,556.00 9
Crawford-Sebastian Community Development Council, Inc. (Fort Smith)	\$573,470.00 48
Crowleys Ridge Development Council (Jonesboro)	\$299,159.00 30
Total:	\$2,294,142.00 216

IV.2 WAP Production Schedule

Planned units by quarter or category are no longer required, no information required for persons.	
Weatherization Plans	Units
Total Units (excluding reweatherized)	<input type="text" value="216"/> 216
Rewatherized Units	<input type="text" value="0"/> 0
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	216
C Total Units Reweatherized	0
D Total Dwelling Units to be Weatherized and Reweatherized (B + C)	216
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	\$1,378,575.00
G Total Dwelling Units to be Weatherized and Reweatherized (from line D)	216
H Average Program Operations Costs per Unit (F divided by G)	\$6,382.29
I Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J Total Average Cost per Dwelling (H plus I)	\$6,382.29

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	216	29.3	6329
Prior Year Estimate	268	29.3	7852
Prior Year Actual	149	29.3	4366

Method used to calculate savings description:

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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

Caleb Brown	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 4797852303107 Email: cbrown@cscdcca.org
Cheryl Ivy	Type of organization: Unit of Federal Government Contact Name: Phone: 5013013237 Email: cheryl.ivy@ar.usda.gov
David Blick	Type of organization: Unit of Federal Government Contact Name: Phone: 5019185708 Email: david.g.blick@hud.gov
George Burson	Type of organization: Unit of State Government Contact Name: Phone: 5013249270 Email: george.burson@arkansas.gov
Iris Pennington	Type of organization: Unit of State Government Contact Name: Phone: 5016820842 Email: penningtoni@adeq.state.ar.us
Kirk Pierce	Type of organization: Utility Contact Name: Phone: 8009927552 Email: tpierce@summitutilities.com
Mitch Ross	Type of organization: Utility Contact Name: Phone: 5012319859 Email: mitch.ross@aecc.com
Mitchell Simpson	Type of organization: Unit of State Government Contact Name: Phone: 5016821060 Email: simpson@adeq.state.ar.us
T Denice Jeter	Type of organization: Utility Contact Name: Phone: 5013773686 Email: tjeter@entergy.com
Wally Nixon	Type of organization: Unit of State Government Contact Name: Phone: 5016825988 Email: wnixon@psc.state.ar.us

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

No record found

IV.7 Miscellaneous

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Business Officer:

Mitchell Simpson, Director, Arkansas Energy Office
simpson@adeq.state.ar.us
501-682-1060

Principal Investigator:

Kay Joiner, Senior Programs Manager
joiner@adeq.state.ar.us
501-682-7390

Weatherization Readiness Fund (WRF) Plan

Arkansas will implement a Weatherization Readiness program for PY2022 using DOE funds set aside for the purpose of addressing the repair needs of homes when such repairs are outside the scope of weatherization and, therefore, must be completed before weatherization services can commence. To be eligible for WRF services, a home must:

- Be eligible and waiting for Weatherization services at the beginning of PY 2022 or added to the eligible list during PY2022;
- Have a deferral date during PY2022;
- Require repair services that are beyond the scope of weatherization and within the scope of WRF services;
- Be weatherized using DOE funds after WRF services are completed and before the end of PY2022.

Allowable repairs: the following, if the condition of the house prevents weatherization:

Exterior:

- Roof repair: funds must be leveraged from other source(s) in order to replace an entire roof; up to 50% of the cost of roof replacement is allowable with WRF; roofing contractor must document reason(s) replacement is needed and repair is inadequate;
- Wall repair;
- Foundation or subspace repair;
- Resolution of drainage issues: allowable work includes landscaping, gutters;

Interior:

- Ceiling repair;
- Floor repair;
- Plumbing repairs;
- Electrical repairs: funds must be leveraged from other source(s) to replace knob and tube wiring.

Health & safety: clean-up/remediation of:

- Lead paint;
- Asbestos, confirmed or suspected, including vermiculite;
- Mold and moisture;
- Pest/rodent infestation and other animal nesting;
- Cleanup of standing sewage after plumbing repairs.

Other repairs may be approved by AEO upon request and consideration of documentation submitted by a subgrantee.

Management of WRF:

- Allowable costs will be based on the limitation of \$8,000 average cost per unit receiving WRF services.
- It is allowable to use weatherization contractors, contractors working in other housing programs operated by the subgrantee, or contractors procured for each home served.
- AEO will monitor by physical inspection and review of case files at the same percentages as Weatherization monitoring.
- Reimbursement will be based on monthly invoicing with supporting documentation.
- Client satisfaction and weatherization readiness will be documented by the subgrantee before payment of contractors.

WRF reporting: the following information will be tracked and reported for each home receiving WRF services:

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

(Grant Number: EE0009889, State: AR, Program Year: 2022)

<ul style="list-style-type: none">• Cost of WRF services by specific repairs completed, including DOE and leveraged funds used;• Certain descriptors of the house, including year built, housing type, fuel type;• Intake, deferral, weatherization readiness, and weatherization dates.
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U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: AR Grant Number: EE0009889 Program Year: 2022

Name: **Better Community Development, Inc.**

Address: 3805 W 12th, Suite 203
Little Rock, AR 72204-0000

Contact: Darryl Swinton, Director Housing/Econ. Deve
UEI: CJBKBTQTJ266
DUNS: 787839448
Phone: (501) 379-1539
Fax: (501) 663-7228
Email: dswinton@bcdinc.org

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: AR Grant Number: EE0009889 Program Year: 2022

Counties served:		Tentative allocation: \$ 405,430.00	Congressional districts served:	CD
	LITTLE RIVER County	Planned units: 56		AR-02
	PHILLIPS County	Type of organization: Non-profit organization		AR-03
	SEVIER County			AR-04
	MILLER County			AR-01
	POLK County			
	GRANT County			
	JACKSON County			
	GREENE County			
	BENTON County			
	CONWAY County			
	WASHINGTON County			
	COLUMBIA County			
	JOHNSON County			
	CLARK County			
	HOWARD County			
	BAXTER County			
	HOT SPRING County			
	FRANKLIN County			
	CHICOT County			
	YELL County			
	WOODRUFF County			
	UNION County			
	PULASKI County			
	MONROE County			
	SEBASTIAN County			
	INDEPENDENCE County			
	LINCOLN County			
	SALINE County			
	DREW County			
	JEFFERSON County			
	ARKANSAS County			
	SHARP County			
	PIKE County			
	CLEBURNE County			
	VAN BUREN County			
	POINSETT County			
	PRAIRIE County			
	STONE County			
	LONOKE County			
	BRADLEY County			
	PERRY County			
	FAULKNER County			
	MADISON County			
	CRITTENDEN County			
	LAWRENCE County			
	SCOTT County			
	CRAIGHEAD County			
	CLEVELAND County			
	CROSS County			

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: AR Grant Number: EE0009889 Program Year: 2022

OUACHITA County
IZARD County
HEMPSTEAD County
DALLAS County
NEWTON County
RANDOLPH County
GARLAND County
NEVADA County
MISSISSIPPI County
CLAY County
MARION County
WHITE County
LOGAN County
DESHA County
FULTON County
CRAWFORD County
BOONE County
SEARCY County
LEE County
ASHLEY County
MONTGOMERY County
ST. FRANCIS County
CALHOUN County
POPE County
LAFAYETTE County

Source of labor: Contractors

Name: **Black River Area Development Corp.**

Contact: Mr. Johnie Dean, Weatherization Director

UEI: N1JCZA4E3HK6

DUNS: 155993819

Address: 1403 Hospital Drive

Phone: (870) 202-1347

Pocahontas, AR 72455-3847

Fax: (870) 892-0707

Email: johnie.dean@bradcorp.org

Counties served: STONE County
BAXTER County
INDEPENDENCE County
SHARP County
BOONE County
LAWRENCE County
NEWTON County
SEARCY County
RANDOLPH County
IZARD County
MARION County
VAN BUREN County
CLAY County
FULTON County

Tentative allocation: \$ 213,807.00

Planned units: 16

Type of organization: Non-profit organization

Congressional	CD
districts served:	AR-03
	AR-01
	AR-02
	AR-04

Source of labor: Contractors

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: AR Grant Number: EE0009889 Program Year: 2022

Name:	Central Arkansas Development Council		Contact:	Ms. Beverly Palmer, Weatherization Coordina	
			UEI:	X1XMPFAXV2L8	
			DUNS:	75673848	
Address:	321 Edison Avenue		Phone:	(501) 776-7446	
	Post Office Box 580		Fax:	(501) 326-6335	
	Benton, AR 72018-0580		Email:	bpalmer@cadc.com	
Counties served:	MONTGOMERY County	Tentative allocation:	\$ 669,720.00	Congressional	CD
	LAFAYETTE County	Planned units:	57	districts served:	AR-04
	POLK County	Type of organization:	Non-profit organization		AR-02
	PIKE County				
	CLARK County				
	NEVADA County				
	COLUMBIA County				
	DALLAS County				
	HOT SPRING County				
	HOWARD County				
	CALHOUN County				
	SALINE County				
	UNION County				
	MILLER County				
	LONOKE County				
	LITTLE RIVER County				
	HEMPSTEAD County				
	PULASKI County				
	GARLAND County				
	OUACHITA County				
	SEVIER County				
		Source of labor:	Agency and Contractors		

Name:	Community Action Program for Central Arkansas, Inc.		Contact:	Ms. Melissa Allen, Weatherization Director	
			UEI:	Q4VDNCQZHTK7	
			DUNS:	164572000	
Address:	707 Robins Street, Suite 118		Phone:	(501) 329-09772124	
	Conway, AR 72034-6517		Fax:	(501) 712-4039	
			Email:	melissa.allen@capcainc.org	
Counties served:	WHITE County	Tentative allocation:	\$ 132,556.00	Congressional	CD
	FAULKNER County	Planned units:	9	districts served:	AR-02
	CLEBURNE County	Type of organization:	Non-profit organization		AR-01
		Source of labor:	Contractors		

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: AR Grant Number: EE0009889 Program Year: 2022

Name:	Crawford-Sebastian Community Development Council. Inc.	Contact:	Mr. Caleb Brown, Weatherization Director
		UEI:	FJFRH7DS9JT9
		DUNS:	174148247
Address:	1617 South Zero	Phone:	(479) 785-2303110
	P.O. Box 180070	Fax:	(479) 785-2341
	Fort Smith, AR 72918-0000	Email:	cbrown@cscdcca.org
Counties served:	BENTON County WASHINGTON County SEBASTIAN County CARROLL County FRANKLIN County JOHNSON County SCOTT County CRAWFORD County LOGAN County MADISON County	Tentative allocation:	\$ 573,470.00
		Planned units:	48
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> AR-04 AR-03
		Source of labor:	Contractors

Name:	Crowleys Ridge Development Council	Contact:	Mr. Joe Mansfield, Weatherization Director
		UEI:	JMLFL5ST8B99
		DUNS:	097906705
Address:	2401 Fox Meadow Lane	Phone:	(870) 333-5127
	P.O. Box 16720	Fax:	(870) 336-2559
	Jonesboro, AR 72403-6711	Email:	joemansfield@crdcnea.com
Counties served:	GREENE County MISSISSIPPI County WOODRUFF County ST. FRANCIS County JACKSON County CROSS County CRAIGHEAD County CRITTENDEN County POINSETT County	Tentative allocation:	\$ 299,159.00
		Planned units:	30
		Type of organization:	Non-profit organization
		Congressional districts served:	<u>CD</u> AR-01
		Source of labor:	Agency

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0009889		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address Arkansas Department of Energy & Environment, Div. of Environment 5301 Northshore Drive North Little Rock, AR 721185317	4. Program/Project Start Date 07/01/2022		
	5. Completion Date 06/30/2023		

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DOE	81.042	\$ 0.00		\$ 2,687,419.00		\$ 2,687,419.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 2,687,419.00	\$ 0.00	\$ 2,687,419.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) SUBGRANTEE ADMINISTRA TION	(2) GRANTEE T&TA	(3) PROGRAM OPERATIONS	(4) HEALTH AND SAFETY	
a. Personnel	\$ 0.00	\$ 83,944.15	\$ 0.00	\$ 0.00	\$ 142,970.58
b. Fringe Benefits	\$ 0.00	\$ 32,398.04	\$ 0.00	\$ 0.00	\$ 51,513.96
c. Travel	\$ 0.00	\$ 19,180.00	\$ 0.00	\$ 0.00	\$ 22,520.00
d. Equipment	\$ 0.00	\$ 35,000.00	\$ 0.00	\$ 0.00	\$ 35,000.00
e. Supplies	\$ 0.00	\$ 1,999.68	\$ 0.00	\$ 0.00	\$ 2,149.68
f. Contract	\$ 275,057.00	\$ 52,800.00	\$ 1,378,575.00	\$ 344,568.00	\$ 2,346,942.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 3,600.00	\$ 0.00	\$ 0.00	\$ 3,600.00
i. Total Direct Charges	\$ 275,057.00	\$ 228,921.87	\$ 1,378,575.00	\$ 344,568.00	\$ 2,604,696.22
j. Indirect Costs	\$ 0.00	\$ 48,570.09	\$ 0.00	\$ 0.00	\$ 82,722.78
k. Totals	\$ 275,057.00	\$ 277,491.96	\$ 1,378,575.00	\$ 344,568.00	\$ 2,687,419.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0009889		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address Arkansas Department of Energy & Environment, Div. of Environment 5301 Northshore Drive North Little Rock, AR 721185317	4. Program/Project Start Date 07/01/2022		
	5. Completion Date 06/30/2023		

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	\$ 2,687,419.00	\$ 0.00	\$ 2,687,419.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) LIABILITY INSURANCE	(2) FINANCIAL AUDITS	(3) SUBGRANTE E T&TA	(4) GRANTEE ADMINISTR ATION	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 59,026.43	\$ 142,970.58
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 19,115.92	\$ 51,513.96
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 3,340.00	\$ 22,520.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 35,000.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 150.00	\$ 2,149.68
f. Contract	\$ 10,013.00	\$ 11,530.00	\$ 116,457.00	\$ 0.00	\$ 2,346,942.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 3,600.00
i. Total Direct Charges	\$ 10,013.00	\$ 11,530.00	\$ 116,457.00	\$ 81,632.35	\$ 2,604,696.22
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 34,152.69	\$ 82,722.78
k. Totals	\$ 10,013.00	\$ 11,530.00	\$ 116,457.00	\$ 115,785.04	\$ 2,687,419.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0009889		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address Arkansas Department of Energy & Environment, Div. of Environment 5301 Northshore Drive North Little Rock, AR 721185317		4. Program/Project Start Date 07/01/2022	5. Completion Date 06/30/2023

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	\$ 2,687,419.00	\$ 0.00	\$ 2,687,419.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) Weatherization Readiness	(2)	(3)	(4)	
a. Personnel	\$ 0.00				\$ 142,970.58
b. Fringe Benefits	\$ 0.00				\$ 51,513.96
c. Travel	\$ 0.00				\$ 22,520.00
d. Equipment	\$ 0.00				\$ 35,000.00
e. Supplies	\$ 0.00				\$ 2,149.68
f. Contract	\$ 157,942.00				\$ 2,346,942.00
g. Construction	\$ 0.00				\$ 0.00
h. Other Direct Costs	\$ 0.00				\$ 3,600.00
i. Total Direct Charges	\$ 157,942.00				\$ 2,604,696.22
j. Indirect Costs	\$ 0.00				\$ 82,722.78
k. Totals	\$ 157,942.00				\$ 2,687,419.00
7. Program Income	\$ 0.00				\$ 0.00