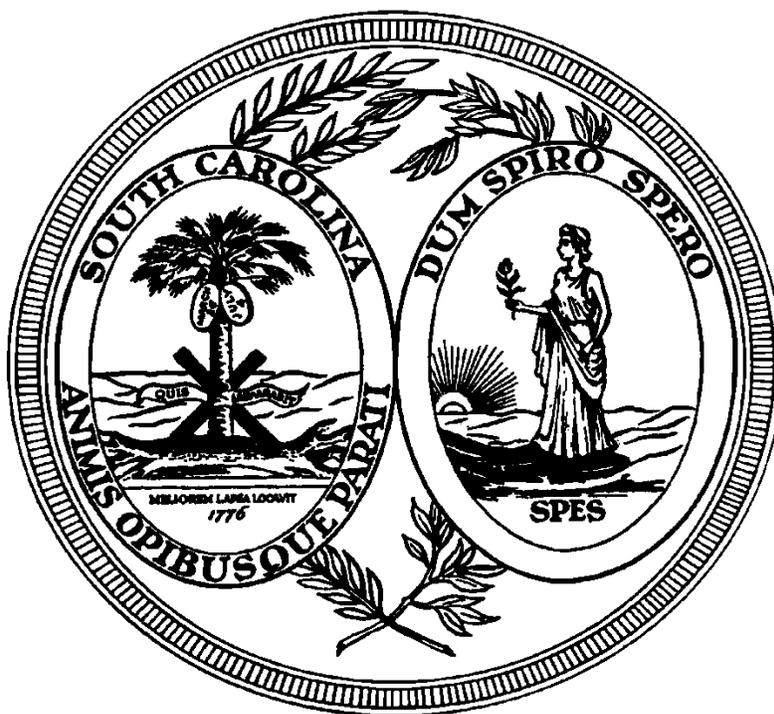


SOUTH CAROLINA

PY 2015

Weatherization Assistance Program

STATE PLAN



Nikki Haley
Governor

Bertie McKie, OEO Executive Administrator

Paul F. Younginer, Senior Manager for Weatherization

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

9. Type of Applicant:

A State Government

10. Name of Federal Agency:

U. S. Department of Energy

11. Catalog of Federal Domestic Assistance Number:

81.042

CFDA Title:

Weatherization Assistance Program

12. Funding Opportunity Number:

DE-WAP-0002015

Title:

2015 Weatherization Assistance Funding Opportunity

13. Competition Identification Number:

DE-FOA-0000641

Title:

PY 2015 Weatherization Assistance Program

14. Areas Affected by Project (Cities, Counties, States, etc.):

Statewide

15. Descriptive Title of Applicant's Project:

Weatherization Assistance Program for Low-Income Persons

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

Applicant Federal Debt Delinquency Explanation:

The following field should contain an explanation if the Applicant is delinquent on any Federal Debt . Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

Not Applicable.

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0006183		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address South Carolina State of 1205 Pendleton Street Columbia, SC 29201	4. Program/Project Start Date 04/01/2015		
	5. Completion Date 03/31/2016		

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 2014 & 2015 WAP Formula Funds	81.042	\$ 801,461.00		\$ 1,495,042.00		\$ 2,296,503.00
2.						
3.						
4.						
5. TOTAL		\$ 801,461.00	\$ 0.00	\$ 1,495,042.00	\$ 0.00	\$ 2,296,503.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTR ATION	(2) SUBGRANTE E ADMINISTR	(3) GRANTEE T&TA	(4) SUBGRANT EE T&TA	
a. Personnel	\$ 78,512.00	\$ 0.00	\$ 117,768.00	\$ 0.00	\$ 196,280.00
b. Benefits	\$ 27,479.00	\$ 0.00	\$ 41,219.00	\$ 0.00	\$ 68,698.00
c. Travel	\$ 14,400.00	\$ 0.00	\$ 11,700.00	\$ 0.00	\$ 26,100.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 11,818.00	\$ 0.00	\$ 11,818.00
f. Contract	\$ 0.00	\$ 192,254.00	\$ 51,730.00	\$ 227,707.00	\$ 1,961,593.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 10,789.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 10,789.00
i. Total Direct Charges	\$ 131,180.00	\$ 192,254.00	\$ 234,235.00	\$ 227,707.00	\$ 2,275,278.00
j. Indirect	\$ 8,490.00	\$ 0.00	\$ 12,735.00	\$ 0.00	\$ 21,225.00
k. Totals	\$ 139,670.00	\$ 192,254.00	\$ 246,970.00	\$ 227,707.00	\$ 2,296,503.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0006183		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address South Carolina State of 1205 Pendleton Street Columbia, SC 29201	4. Program/Project Start Date 04/01/2015		
	5. Completion Date 03/31/2016		

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		\$ 801,461.00	\$ 0.00	\$ 1,495,042.00	\$ 0.00	\$ 2,296,503.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) HEALTH AND SAFETY	(2) PROGRAM SUPPORT (STANDARD	(3)	(4)	
a. Personnel	\$ 0.00	\$ 0.00			\$ 196,280.00
b. Benefits	\$ 0.00	\$ 0.00			\$ 68,698.00
c. Travel	\$ 0.00	\$ 0.00			\$ 26,100.00
d. Equipment	\$ 0.00	\$ 0.00			\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00			\$ 11,818.00
f. Contract	\$ 199,309.00	\$ 1,290,593.00			\$ 1,961,593.00
g. Construction	\$ 0.00	\$ 0.00			\$ 0.00
h. Other	\$ 0.00	\$ 0.00			\$ 10,789.00
i. Total Direct Charges	\$ 199,309.00	\$ 1,290,593.00			\$ 2,275,278.00
j. Indirect	\$ 0.00	\$ 0.00			\$ 21,225.00
k. Totals	\$ 199,309.00	\$ 1,290,593.00			\$ 2,296,503.00
7. Program Income	\$ 0.00	\$ 0.00			\$ 0.00

U.S. DEPARTMENT OF ENERGY



BUDGET JUSTIFICATION FOR FORMULA GRANTS

Applicant: South Carolina State of
Award number: EE0006183

Budget period: 04/01/2015 - 03/31/2016

1. PERSONNEL - Prime Applicant only (all other participant costs are listed in 6 below and form SF-242A, Section B. Line 6.f. Contracts and Sub-Grants).

Positions to be supported under the proposed award and brief description of the duties of professionals:

<u>Position</u>	<u>Description of Duties of Professionals</u>
Administration Coordinator	Under supervision of the Director, manages the general administrative duties of the office - telephone, personnel files, etc.
Auditor II	Responsible for performing financial monitoring of subgrantees by making on-site field visits to determine financial contract compliance. Performs technical fiscal assistance.
Business Manager I	Under supervision of the Senior Manager for Fiscal Services, performs varied clerical accounting and bookkeeping duties which may include posting, updating, reconciling, routine auditing and preparing summary financial and statistical reporting. Ensures the accuracy of subgrantee financial status reports and assist with the close-out process of all grants.
Director	Responsible for the overall management of OEO grant programs and staff.
Fiscal Analyst II	Under supervision of the Senior Manager for Fiscal Services, assists in the review and approval process of all subgrantee budgets. Prepares various comparative reports on expenditures by funding program(s), provides technical assistance, and performs specialized analysis of program fiscal data.
Program Coordinator	Works under the supervision of the Senior Manager for Weatherization, to ensure the Weatherization Assistance Program operates in accordance with state and federal regulations through monitoring, training, and technical assistance. Coordinate and monitor subgrantees. Ensures that minimal requirements are met and work quality remains consistent by subgrantees throughout the State.
Program Coordinator II	Under supervision of the Executive Administrator, manages the development and coordination of the WAP State Plan, including development of procedures and objectives for program, as well as implementing program procedures in accordance with federal and state regulations and guidelines. Supervises staff whose duties include monitoring and specialized training and technical assistance. Serves as program liaison.
Fiscal Analyst III	Senior Manager of Fiscal Services assist in the technical review of Weatherization Budget, State Plan, allocations to subgrantees, internal control and required federal reporting.
Program Coordinator	Works under the supervision of the Senior Manager for Weatherization, to ensure the Weatherization Assistance Program operates in accordance with state and federal regulations through monitoring, training, and technical assistance. Coordinate and monitor subgrantees. Ensures that minimal requirements are met and work quality remains consistent by subgrantees throughout the State.
Auditor V	Responsible for performing financial monitoring of subgrantees by making on-site field visits to determine financial contract compliance. Performs technical fiscal assistance.
Executive Administrator	Works under the direct supervision of the Director. Maintains control of all current projects/responsibilities; supervises managers of CSBG, LIHEAP, Weatherization and Fiscal Monitoring.

Attorney	Provides legal advice to Director and staff and researches legal matters of concern to OEO. Assists with development of policies and procedures that meet the legal requirements of state and federal laws that govern the grants administered by OEO. Assists with writing and updating various grant agreements between OEO and the federal funding sources. Serves as liaison between OEO and any state and federal investigating agency.
Administrative Specialist	Works under the supervision of the Administrative Coordinator. Responsible for handling customer and/or agency personnel telephone calls.
Auditor IV	Interprets and analyzes complex accounting, financial data, and risk assessments. Responsible for knowing principles, practices, theories and techniques of accounting, auditing and financial management.

Direct Personnel Compensation:

<u>Position</u>	<u>Salary/Rate</u>	<u>Time</u>	<u>Direct Pay</u>
Administration Coordinator		9.9900 % FT	
Auditor II		12.0000 % FT	
Business Manager I		13.0000 % FT	
Director		13.0000 % FT	
Fiscal Analyst II		13.0000 % FT	
Program Coordinator		100.0000 % FT	
Program Coordinator II		100.0000 % FT	
Fiscal Analyst III		9.9900 % FT	
Program Coordinator		100.0000 % FT	
Auditor V		12.9881 % FT	
Executive Administrator		12.9880 % FT	
Attorney		12.9880 % FT	
Administrative Specialist		13.0000 % FT	
Auditor IV		12.9930 % FT	

2. FRINGE BENEFITS

- a. Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and attach a copy of the rate agreement to the application.

- b. If a. above does not apply, please use this box (or an attachment) to further explain how your total fringe benefits costs were calculated. Your calculations should identify all rates used, along with the base they were applied to (and how the base was derived), and a total for each (along with grand total). If there is an established computation methodology approved for state-wide use, please provide a copy. Also, please fill out the table below with the Fringe Benefits Calculations.

Social Security
7.65%
Workers Compensation
1.5597%
Unemployment
0.1127%
Health Insurance
11.9664%
Dental Insurance
0.2678%
Pre-retirement Death
0.1381%
Pre-retirement Death - Optional Retirement System
9.1145%
Retirement - Optional Retirement Plan
3.714%
35.00%

Fringe Benefits Calculations

<u>Position</u>	<u>Direct Pay</u>	<u>Rate</u>	<u>Benefits</u>
Administration Coordinator	\$4,300.20	35.0000 %	\$1,505.07
Auditor II	\$4,284.00	35.0000 %	\$1,499.40
Business Manager I	\$4,400.76	35.0000 %	\$1,540.27
Director	\$9,149.40	35.0000 %	\$3,202.29
Fiscal Analyst II	\$4,780.23	35.0000 %	\$1,673.08
Program Coordinator	\$36,735.00	35.0000 %	\$12,857.25
Program Coordinator II	\$57,182.00	35.0000 %	\$20,013.70
Fiscal Analyst III	\$5,730.46	35.0000 %	\$2,005.66
Program Coordinator	\$40,806.00	35.0000 %	\$14,282.10
Auditor V	\$7,948.72	35.0000 %	\$2,782.05
Executive Administrator	\$8,683.91	35.0000 %	\$3,039.37
Attorney	\$4,457.48	35.0000 %	\$1,560.12
Administrative Specialist	\$2,792.92	35.0000 %	\$977.52
Auditor IV	\$5,028.68	35.0000 %	\$1,760.04
		Fringe Benefits Total	\$68,697.92

3. TRAVEL

- a. Please provide the purpose of travel, such as professional conference(s), DOE sponsored meeting(s), project management meeting, etc. If there is any foreign travel, please identify.

<u>Purpose of Trip</u>	<u>Number of Trips</u>	<u>Cost Per Trip</u>	<u>Total</u>
WAP Monitoring Visits (overnight)	11	\$650.00	\$7,150.00
WAP Monitoring Visits (local)	6	\$225.00	\$1,350.00
National DOE Conference, Greensboro, NC	3	\$1,200.00	\$3,600.00
NASCSP Conference	2	\$1,050.00	\$2,100.00
Training - Community Housing Partners, Christiansburg, Virginia	3	\$2,000.00	\$6,000.00
Audit Monitoring Visit (overnight) - 2 people	7	\$650.00	\$4,550.00
Audit Monitoring Visit (local)	6	\$225.00	\$1,350.00
		Travel Total	\$26,100.00

- b. Please provide the basis for estimating the costs, such as past trips, current quotations, Federal Travel Regulations, etc. All listed travel must be necessary for the performance of the award objectives.

Monitoring Visits

X

Programmatic Monitoring Visits Eleven (11) overnight visits and three (3) local visits. Basis for costs - Past trips. Audit Visits Seven (7) overnight visits and three (3) local visits. Basis for costs - Past trips. 19% [\$14,400] of the Training & Technical Assistance funds will be used for monitoring.

4. EQUIPMENT - Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. Further definitions can be found in 10 CFR 600.

- a. List all proposed equipment below and briefly justify its need as it applies to the objectives of the award.

<u>Equipment</u>	<u>Unit Cost</u>	<u>Number</u>	<u>Total Cost</u>	<u>Justification of Need</u>
------------------	------------------	---------------	-------------------	------------------------------

- b. Please provide a basis of cost such as vendor quotes, catalog prices, prior invoices, etc. and justify need. If the Equipment is being proposed as Cost Share and was previously acquired, please provide the source and value of its contribution to the project and logical support for the estimated value shown. If it is new equipment which will retain a useful life upon completion of the project, provide logical support for the estimated value shown. Also, please indicate whether the Equipment is being used for other projects or is 100% dedicated to the DOE project.

5. SUPPLIES - Supplies are generally defined as an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. Further definitions can be found in 10 CFR 600.

- a. List all proposed supplies below, the estimated cost, and briefly justify the need for the supplies as they apply to the objectives of the award. Note that all direct costs, including Supply items, may not be duplicative of supply costs included in the indirect pool that is the basis of the indirect rate applied for this project.

<u>General Category</u>	<u>Cost</u>	<u>Justification of Need</u>
Recalibration - Combustion Analyzer	\$300.00	Cost to recalibrate combustion analyzer semi-annually.
GPS	\$500.00	Two up-to-date electronic mapping systems for finding dwellings.
Wi-Fi Link - Blower Door	\$200.00	Device for operating the blower door without a cord.
Duct Blower	\$2,500.00	One duct blower (Duct Blaster) to be used by QCI inspectors while monitoring subgrantees.
Operational Costs	\$1,689.00	Administrative operations - paper, office supplies, and training materials. Cost Basis - Prior purchases of similar or like items.
Infrared Camera	\$2,551.00	One infrared camera to be used by the QCI inspectors to determine the effectiveness of insulation in walls, attic, and/or ceiling. Also, it used for identifying air leakage.
Gas Leak Detector	\$400.00	Device detects combustion gas leakage. QCI inspectors will use device while inspecting dwellings.
Carbon Monoxide Detector/Alarm	\$600.00	Two personal carbon monoxide detectors to be worn by the QCI inspectors while inspecting dwellings.
Combustion Analyzer	\$2,558.00	Two combustion analyzers to be used by the QCI inspectors to perform diagnostic testing while monitoring subgrantees.
Digital Camera	\$450.00	Two cameras for QCI inspectors to use while monitoring subgrantees.
Flashlight	\$70.00	Two rechargeable flashlights for QCI inspectors to use while monitoring subgrantees.
Materials and Supplies Total	\$11,818.00	

- b. Please provide a basis of cost for each item listed above and justify need. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

Administrative operations - paper, office supplies, and training materials. Cost Basis - Prior purchases of similar or like items. Other equipment items - estimated costs based on Internet quotes.

6. CONTRACTS AND SUBGRANTS - Provide the following information for New proposed subrecipients and subcontractors. For ongoing subcontractors and subrecipients, this information does not have to be restated here, if it is provided elsewhere in the application; under Name of Proposed Sub, indicate purpose of work and where additional information can be found (i.e. weatherization subgrants, Annual File section II.3).

<u>Name of Proposed Sub</u>	<u>Total Cost</u>	<u>Basis of Cost*</u>
Subgrantee T&TA	\$227,707.00	Attend State sanctioned training conferences. Attend weatherization quality control inspector training for certification. Attend national DOE Conference.
Health & Safety	\$199,309.00	14.9% of the agency's allocation is designated for Health and Safety. Health and Safety costs are recorded and tracked separately in the accounts and on the house audit/assessment form and reported as a separate line item on the financial status report.
Program Support	\$1,290,593.00	Sub Recipients to perform the necessary operation in the performance of the Weatherization Program.
Grantee T&TA	\$51,730.00	Prior purchases of similar or like items. - Database programming - Training at out-of-state facility - Attend National DOE Conference
Subgrantee Administration	\$192,254.00	Salaries, wages, fringe, indirect cost, miscellaneous operating expenses - office rent, office supplies, office equipment lease or purchase, office utilities, and insurance costs.
Contracts and Subgrants Total	\$1,961,593.00	

*For example, Competitive, Historical, Quote, Catalog

7. OTHER DIRECT COSTS - Other direct costs are direct cost items required for the project which do not fit clearly into other categories. These direct costs may not be duplicative of costs included in the indirect pool that is the basis of the indirect rate applied for this project. Examples are: conference fees, subscription costs, printing costs, etc.

- a. Please provide a General Description, Cost and Justification of Need.

<u>General Description</u>	<u>Cost</u>	<u>Justification of Need</u>
Vehicle Insurance	\$4,600.00	Annual cost of doing business.
Grantee Administration	\$6,189.00	Office space rental.
Other Direct Costs Total	\$10,789.00	

- b. Please provide a basis of cost for each item listed above. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

Prior purchases. These costs are not covered by the Indirect rate.

8. INDIRECT COSTS

- a. Are the indirect cost rates approved by a Federal agency? If so, identify the agency and date of latest rate agreement or audit and provide a copy of the rate agreement.
Federal Agency - Department of Health and Human Services Rate - 8.01% Effective Dates - 7/1/2014 through 6/30/2016
- b. If the above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations separately.

The name and phone number of the individual responsible for negotiating the State's indirect cost rates.

Name: Jean Ricard

Phone Number: 8037341314

Indirect costs calculations:

Indirect Cost Account	Direct Total	Indirect Rate	Total Indirect
Predetermined	\$264,977.93	8.0100 %	\$21,224.73
		Indirect Costs Total	\$21,224.73

DOE F 540.5
(08/05)

U.S. Department of Energy

OMB Control No: 1910-5127

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

Expiration Date: 11/30/2016

State: SC Grant Number: EE0006183 Program Year: 2015

<p>Name: Aiken/Barnwell Counties Community Action Agency</p> <p>Address: PO Box 2066 291 Beaufort Street Aiken, SC 29802-2066</p> <p>Counties served: GREENVILLE County AIKEN County LEXINGTON County BARNWELL County RICHLAND County</p>	<p>Tentative allocation: \$ 314,075.00 Planned units: 63 Type of organization: Local agency</p>	<p>Contact: George A. Anderson, Exec. Director DUNS: 082918215 Phone: (803) 648-6836 Fax: (803) 648-0490 Email: ga291@aol.com</p>	<p>Congressional districts served: <u>CD</u> SC-06 SC-04 SC-02 SC-03</p>
Source of labor: Contractors			

<p>Name: Carolina Community Actions, Inc.</p> <p>Address: P O Box 933 138 South Oakland Avenue Rock Hill, SC 29731-6933</p> <p>Counties served: FAIRFIELD County LANCASTER County YORK County CHESTER County UNION County</p>	<p>Tentative allocation: \$ 203,616.00 Planned units: 47 Type of organization: Local agency</p>	<p>Contact: Walter H. Kellogg, Exec. Director DUNS: 071061212 Phone: (803) 329-5195 Fax: (803) 329-5198 Email: wkellogg@ccainc.org</p>	<p>Congressional districts served: <u>CD</u> SC-04 SC-05</p>
Source of labor: Contractors			

<p>Name: Chesterfield-Marlboro</p> <p>Address: 318-322 Front Street Cheraw, SC 29520-0000</p> <p>Counties served: CHESTERFIELD County MARLBORO County DARLINGTON County DILLON County</p>	<p>Tentative allocation: \$ 93,004.00 Planned units: 17 Type of organization: Local agency</p>	<p>Contact: Samuel D. Bass, Jr., Exec. Director DUNS: 874970627 Phone: (843) 320-9760 Fax: (843) 320-9771 Email: sdbass@cmeoc.org</p>	<p>Congressional districts served: <u>CD</u> SC-05 SC-07</p>
Source of labor: Contractors			

<p>Name: GLEAMNS Human Resources Commission Inc</p> <p>Address: P O Box 1326 237 Hospital Street Greenwood, SC 29648-0000</p>	<p>Contact: J. D. Patton, III, Exec. Director DUNS: 078070497 Phone: (864) 223-8434 Fax: (864) 223-9456 Email: jdpatton@gleamnshrc.org</p>
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DOE F 540.5
(08/05)

U.S. Department of Energy

OMB Control No: 1910-5127

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

Expiration Date: 11/30/2016

State: SC Grant Number: EE0006183 Program Year: 2015

Counties served:	OCONEE County ABBEVILLE County EDGEFIELD County SALUDA County PICKENS County MCCORMICK County NEWBERRY County ANDERSON County GREENWOOD County LAURENS County	Tentative allocation: \$ 320,526.00 Planned units: 77 Type of organization: Local agency	Congressional districts served:	CD SC-04 SC-03 SC-05
Source of labor: Contractors				
Name:	Lowcountry Community Action Agency, Inc.	Contact:	Arlene Washington, Exec. Director	
		DUNS:	071408165	
Address:	319 Washington Street Walterboro, SC 29488-0000	Phone:	(843) 549-5576	
		Fax:	(843) 549-2190	
		Email:	awashington@lowcountrycaa.org	
Counties served:	COLLETON County HAMPTON County	Tentative allocation: \$ 61,280.00 Planned units: 10 Type of organization: Local agency	Congressional districts served:	CD SC-06 SC-02
Source of labor: Contractors				
Name:	OCAB Community Action Agency	Contact:	Calvin Wright, Exec. Director	
		DUNS:	109111583	
Address:	1822 Joe Jeffords Highway Orangeburg, SC 29116-0710	Phone:	(803) 536-1027	
		Fax:	(803) 536-4657	
		Email:	cwright@ocabcaa.org	
Counties served:	ORANGEBURG County CALHOUN County BAMBERG County ALLENDALE County	Tentative allocation: \$ 80,931.00 Planned units: 13 Type of organization: Local agency	Congressional districts served:	CD SC-06 SC-02
Source of labor: Contractors				
Name:	Palmetto Community Action Partnership	Contact:	Arnold Collins, Exec. Director	
		DUNS:	180078052	
Address:	1069 King Street PO Box 20968 Charleston, SC 29413-0000	Phone:	(843) 724-6760	
		Fax:	(843) 724-6787	
		Email:	acollins@palmettocap.org	
Counties served:	BEAUFORT County BERKELEY County DORCHESTER County CHARLESTON County JASPER County	Tentative allocation: \$ 201,823.00 Planned units: 41 Type of organization: Local agency	Congressional districts served:	CD SC-01 SC-06
Source of labor: Agency				

DOE F 540.5
(08/05)

U.S. Department of Energy

OMB Control No: 1910-5127

**WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION**

Expiration Date: 11/30/2016

State: SC Grant Number: EE0006183 Program Year: 2015

Name:	To be Determined	Contact:	To be Determined
		DUNS:	000000000000
Address:	To be Determined To be Determined, SC 29000-0000	Phone:	(864) 000-0000
		Fax:	() -
		Email:	pyounginer@oepp.sc.gov
Counties served:	SPARTANBURG County CHEROKEE County	Tentative allocation:	\$ 182,648.00
		Planned units:	40
		Type of organization:	Local agency
		Source of labor:	Contractors
		Congressional districts served:	<u>CD</u> SC-04

Name:	Waccamaw Economic Opportunity Council, Inc.	Contact:	James L. Pasley, Jr., Exec. Director
		DUNS:	130046845
Address:	Post Office Box 1467 1261 Hwy. 501 East, Suite B Conway, SC 29528-0000	Phone:	(843) 234-4100
		Fax:	(843) 234-4111
		Email:	james.pasley@weoc.org
Counties served:	GEORGETOWN County HORRY County WILLIAMSBURG County	Tentative allocation:	\$ 212,797.00
		Planned units:	50
		Type of organization:	Local agency
		Source of labor:	Agency and Contractors
		Congressional districts served:	<u>CD</u> SC-07 SC-08

Name:	Wateree Community Actions, Inc.	Contact:	Annette Tucker, Acting Exec. Director
		DUNS:	086375599
Address:	2712 Middleburg Drive, Suite 207 Columbia, SC 29151-1838	Phone:	(803) 775-4354
		Fax:	(803) 807-9810
		Email:	atucker@wcai.org
Counties served:	SUMTER County CLARENDON County MARION County KERSHAW County FLORENCE County LEE County	Tentative allocation:	\$ 239,163.00
		Planned units:	55
		Type of organization:	Local agency
		Source of labor:	Agency and Contractors
		Congressional districts served:	<u>CD</u> SC-05 SC-07 SC-06

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

(Grant Number: EE0006183, State: SC, Program Year: 2015)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Aiken/Barnwell Counties Community Action Agency (Aiken)	\$314,075.00 63
Carolina Community Actions, Inc. (Rock Hill)	\$203,616.00 47
Chesterfield-Marlboro (Cheraw)	\$93,004.00 17
GLEAMNS Human Resources Commission Inc (Greenwood)	\$320,526.00 77
Lowcountry Community Action Agency, Inc. (Walterboro)	\$61,280.00 10
OCAB Community Action Agency (Orangeburg)	\$80,931.00 13
Palmetto Community Action Partnership (Charleston)	\$201,823.00 41
To be Determined (To be Determined)	\$182,648.00 40
Waccamaw Economic Opportunity Council, Inc. (Conway)	\$212,797.00 50
Wateree Community Actions, Inc. (Columbia)	\$239,163.00 55
Total:	\$1,909,863.00 413

IV.2 WAP Production Schedule

Weatherization Plans	Units
Total Units (excluding reweatherized)	413
Reweatherized 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	413
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	413
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	\$1,290,593.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	413
H	Average Program Operations Costs per Unit (F divided by G)	\$3,124.92
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$3,124.92

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IV.3 Energy Savings

Method used to calculate savings: WAP algorithm Other (describe below)

Method used to calculate savings description:

Estimated Energy Savings (Mbtus): 413 x 30.50 = 12,597

This year estimated energy savings (MBtus):

Prior year estimated energy savings (MBtus): **Actual:**

IV.4 DOE-Funded Leveraging Activities

The State will not be leveraging any funds.

IV.5 Policy Advisory Council Members

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

Arnold Collins	Type of organization: Local agency Contact Name: Phone: (843)723-9285 Email: cchscac@bellsouth.net
Chuck Claunch	Type of organization: Utility Contact Name: Phone: (803)370-2339 Email: chuck.claunch@duke-energy.com
Cristina Freeman	Type of organization: Utility Contact Name: Cristina Freeman Phone: 8032174409 Email: cvfreeman@scana.com
Dwayne White	Type of organization: Unit of Federal Government Contact Name: Phone: (803)253-3655 Email: dwayne.white@sc.usda.gov
Geoffrey Penland	Type of organization: Utility Contact Name: Phone: (843)360-6336 Email: geoff.penland@santeecooper.com
John Frick	Type of organization: Utility Contact Name: Phone: (803)739-3064 Email: john.frick@ecsc.org
Michael Gray	Type of organization: Non-profit (not a financial institution) Contact Name: Phone: (803)733-5422 Email: mgray@uway.org
Trish Jerman	Type of organization: Unit of State Government Contact Name: Phone: (803)737-8030 Email: tjerman@energy.sc.gov

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
03/13/2015	The notice was advertised in The State newspaper on February 28, 2015 and March 1, 2015.

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IV.7 Miscellaneous

Average Cost Per Unit (ACPU)

The ACPU is \$3,125.

Policy Advisory Council

The South Carolina Policy Advisory Council which is referred to as the Energy Advisory Council will meet at least once, annually. The most recent meeting was held on March 13, 2015. The SC Energy Advisory Council advises and assists in the development and implementation of the Weatherization Assistance Program.

Recipient Principal Investigator

Paul Younginer
pyounginer@oepp.sc.gov
803-734-9861

Recipient Business Officer

James Miller
jmiller@oepp.sc.gov
803-734-0662

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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

The South Carolina Weatherization Assistance Program (SC WAP) will determine eligibility of a dwelling unit based on the amount of household income and the conformity of that income to criteria established by the Low-Income Home Energy Assistance Act of 1981, 42 U.S.C. 8621. SC WAP will use 200% of the Office of Management and Budget (OMB) Poverty Income Guidelines for determining income eligibility. In addition, family units that have received cash assistance payments under Title IV or XVI of the Social Security Act, or applicable State or local law paid during the twelve-month period preceding application, will be eligible for weatherization pursuant to 10 CFR Part 440.22.

Describe what household Eligibility basis will be used in the Program

The State of South Carolina has established, published and implemented procedures to ensure that no dwelling unit may be weatherized without documentation that an eligible unit whose income is at or below 200% of the poverty level as published by the U.S. Department of Health and Human Services.

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

South Carolina's approach for ensuring qualified aliens are eligible for weatherization benefits is as follows:

The applicant must reside in the State of South Carolina at the time of application to be eligible. Current verification of residency and service address must be verified at time of application. These two addresses must match to qualify for Weatherization.

Possible verification sources are as follows (not all inclusive):

- Valid South Carolina Driver's License with current address.
- Rental/Lease agreement listing the applicant's name and current residence.
- Completed Landlord Affidavit form (if applicable).
- Employer's statement or pay stub listing residence address.
- Property tax statement or deed for homeowner.

A United States citizen is someone born in:

- One of the 50 states
- The District of Columbia
- Puerto Rico
- Guam
- The Virgin Islands
- The Northern Mariana Islands

A United States National is someone born in:

- America Samoa
- Swain's Island

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To verify a household member is a U.S. Citizen or National, use any of the following documents:

- Birth Certificate
- U.S. Passport
- Report of Birth Abroad of a Citizen of the U.S. (FS-240) issued by the Dept. of State
- Certificate of Birth (FS-545) issued by a Foreign Service post
- U.S. Citizens I.D. card (I-197) issued by the Bureau of Citizenship and Immigrants on Services (BCIS)
- Certificate of Naturalization (N-550 or N-570) issued by BCIS
- Certificate of Citizenship (N-560 or N-561) issued by BCIS
- Northern Mariana I.D. card (I-873) issued by BCIS
- Statement provided by the U.S. consular official certifying the individual is a citizen.

Non-citizens must provide documentation verifying resident alien status to be eligible for weatherization.

The federal government considers the following to be qualified aliens:

- An alien legally admitted for Permanent Resident Alien Status. I-151, commonly referred to as a "*green card*".
- An alien granted asylum. Documentation: I-94 or INS letter.
- A refugee admitted to the United States. Documentation: I-94 "Arrival Departure Record".
- An alien paroled in the United States. Documentation: I-94 "Arrival Departure Record".
- An alien whose departure is being withheld. Documentation: I-94 and/or order from an immigrations court judge.
- An alien granted conditional entry. Documentation: I-94 "Arrival Departure Record".
- An alien who is a Cuban/Haitian entrant. Documentation: I-151 "*green card*".
- An alien who is a battered spouse or child. Documentation: 1) Veteran-proof of legal entrance in U.S. DD-214 or poof of active military service, birth/marriage certificate; 2) Other-Approval Notice of "Notice of Prima Facie Case" under the 1994 Violence Against Women Act (VAWA).

A Social Security number (SSN) is required for all persons in the household age 1 and older. If not provided, the household is ineligible for assistance.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

No dwelling will be weatherized until it is determined that the dwelling /occupants are determined income eligible.

Definition of Income

A. INCOME: Income means Cash Receipts earned and/or received by the applicant before taxes during applicable tax year(s) **but not** the Income Exclusions listed below in **Section C**. Gross Income is to be used, not Net Income.

B. CASH RECEIPTS: Cash Receipts include the following:

1. Money, wages and salaries before any deductions;
2. Net receipts from non-farm or farm self-employment (receipts from a person's own business or from an owned or rented farm after deductions for business or farm expenses);
3. Regular payments from social security, railroad retirement, unemployment compensation, strike benefits from union funds, worker's compensation, veteran's payments, training stipends, alimony, and military family allotments;
4. Private pensions, government employee pensions (including military retirement pay), and regular insurance or annuity payments;
5. Dividends and/or interest;
6. Net rental income and net royalties;
7. Periodic receipts from estates or trusts; and

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8. Net gambling or lottery winnings.

C. INCOME EXCLUSIONS: The following Cash Receipts **are not** considered sources of Income for the purposes of determining applicant eligibility:

1. Capital gains;
2. Any assets drawn down as withdrawals from a bank;
3. Money received from the sale of a property, house, or car;
4. One-time payments from a welfare agency to a family or person who is in temporary financial difficulty;
5. Tax refunds;
6. Gifts, loans, or lump-sum inheritances;
7. College scholarships;
8. One-time insurance payments, or compensation for injury;
9. Non-cash benefits, such as the employer-paid or union-paid portion of health insurance;
10. Employee fringe benefits, food or housing received in lieu of wages;
11. The value of food and fuel produced and consumed on farms;
12. The imputed value of rent from owner-occupied non-farm or farm housing;
13. Depreciation for farm or business assets;
14. Federal non-cash benefit programs such as Medicare, Medicaid, Food Stamps, school lunches, and housing assistance;
15. Combat zone pay to the military;
16. Child support, as defined below in **Section E.**;
17. Reverse mortgages; and
18. Payments for care of Foster Children;

Proof of income eligibility should be included in the client file.

1. Availability of Supporting Documentation

Each client file must contain an application from the client that contains the required demographics and income for the entire family living in the residence. The file must also contain evidence provided by the subgrantee that the client is eligible to receive WAP services. This evidence may include, but is not limited to, a memorandum from a third party certification office stipulating the income levels of the family or source documentation for each income source listed on the application. These documents can be stored electronically or retained in hard copy for each client.

2. Eligibility Determined by Outside Agency/Program: If income eligibility is determined by an outside agency or program, i.e. Low-Income Home Energy Assistance Program (LIHEAP) or the U.S. Department of Housing and Urban Development (HUD), any document used to determine eligibility, such as a copy of LIHEAP eligibility or a copy of the HUD building list, will suffice as evidence of client eligibility. This document and any related documents must be retained in the client file. The HUD eligible building list can be found at: <http://www.energy.gov/eere/wipo/housing-and-urban-development-multifamily-properties-eligible-weatherization-assistance>

3. Self-Certification

After all other avenues of documenting income eligibility are exhausted, self-certification is allowable. However, evidence of the various attempts at proving eligibility must be contained in the client file, including a notarized statement signed by the potential applicant indicating that they have no other proof of income.

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E. CHILD SUPPORT: Child Support payments, whether received by the Payee or paid by the Payor, **are not** considered Sources of Income to be added to the payee income or deducted from the payor income for the purposes of determining applicant eligibility.

1. **Payee:** Where an applicant receives Child Support from any state program or individual during an applicable tax year, such assistance **is not** considered income for the purposes of determining eligibility (i.e., where an applicant receives Child Support, he or she **does not** add that amount to his or her calculation of income for purposes of determining eligibility).

2. **Payor:** Where an applicant pays Child Support through a state program and/or to an individual, such assistance **is not** considered a deduction to Income for the purposes of determining eligibility (i.e., where an applicant pays Child Support, he or she **may not** deduct said assistance from his or her calculation of Income for the purposes of determining eligibility).

F. ANNUALIZATION OF INCOME: Where an applicant receives income for a part of the applicable tax year, their partial income may be annualized to determine eligibility. *Example:* Applicant A received income during January, February and March. The method of annualizing income to determine eligibility could be multiplied by four to determine the amount of income received during the year. The method of calculating annualized income is to be determined by the Grantee and must be applied uniformly by all subgrantees.

G. RE-CERTIFICATION: An applicant must be re-certified when eligibility lapses due to the length of time the applicant was waiting to receive Weatherization services. As a reminder, re-certification of eligibility must occur at least every 12 months. The Grantee must outline the method of determining re-certification in their Annual Plan for approval by DOE.

Each applicant must provide all of the items outlined as mandatory data fields in the application process/form. All prospective applicants will be required to identify and provide verification of the amount and source of all their income for their household. Applicant must also provide copies of Social Security cards for all household members. A copy of each member's Social Security card is to be maintained in the file and all other required identification documentation. Applicant must provide proof of total gross household income (within last 30 days including date of application) and appropriate verification of zero income, if applicable. A letter from employer or consecutive pay stubs showing gross income for the past 30 days, including the date of application, or the client's Declaration of Zero Income form is acceptable. Income documentation is required for all students who are 18 years of age or older.

Members of Indian Tribes: Native Americans identified as eligible shall receive benefits equivalent to the benefits provided to other low-income persons.

Income Verification for Shelters

A statement, from the shelter management or owner that identifies the target population served and entrance criteria, will serve as income verification for shelters. The entrance criteria must serve a population at or below 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget. Each 800 square feet or each floor of the shelter will count as one dwelling unit.

Describe Reweathering compliance

Homes weatherized on or before September 30, 1994 are eligible to be reweatherized. Prior to any weatherization activity, a unit must be evaluated to determine whether previous weatherization services were provided after September 30, 1994. If services have been provided after this date with Department of Energy federal grant funds, the unit is not eligible for additional weatherization services.

The following actions must be taken on each unit prior to weatherization services to ensure that homes that have received weatherization services after September 30, 1994 are not reweatherized:

1. Each client must be asked whether their home has been weatherized after September 30, 1994; and
2. A visual inspection of each home must be performed by an auditor to identify whether previous weatherization measures have been performed.

If there are no documented, verbal, visual, or physical evidence of previous weatherization services, the Subgrantee may proceed with weatherization services on the unit.

Describe what structures are eligible for weatherization

Eligible structures include single family dwellings, manufactured housing, mobile homes, shelters and multifamily rental buildings. Any non-traditional structures such as apartments over businesses and shelters must have approval from OEO prior to any weatherization process beginning. The weatherization of non-stationary campers and trailers that do not have a mailing address associated with the eligible applicants is not allowed. The use of a Post Office box for a non-

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stationary camper of trailer does not meet this requirement.

Describe how Rental Units/Multifamily Buildings will be addressed

The benefits of weatherization to the occupants of rental units are protected in accordance with 10 CFR 440.22(b)(3). South Carolina's policy for the weatherization of rental units complies with 10 CFR 440.16(i), and all other pertinent regulations. Subgrantees must have the following procedures in place before proceeding with weatherization of a rental unit:

- Subgrantees shall obtain a signed agreement (Homeowner Agreement) from the owner/landlord of the building or his designated agent authorizing the work to be done and agreeing to the landlord's financial participation in weatherization costs.
- Subgrantees must develop a detailed description of the weatherization measures authorized and costs assigned to the landlord and the agency.
- Rents shall not be raised because of the increased value of dwelling unit(s) due solely to weatherization assistance provided under this part. The agreement shall include a provision that the landlord agrees not to raise the rent for at least one year from the time the work is completed, unless raising the rent is based on factors unrelated to the weatherization improvements.
- The client shall be provided a copy of the signed Homeowner Agreement.
- Written permission of the building owner or his agent before commencing;
- No undue or excessive enhancements shall occur to the value of the dwelling unit;

Multi-Unit Buildings (5+ units per building)

All multi-unit projects will be forwarded to DOE on a case by case basis.

A rental dwelling unit, both single-family and multi-unit building will be eligible for weatherization assistance if:

- Duplexes and four-unit buildings are at least 50% of the units occupied by low-income applicants.
- Other multi-unit buildings have at least 66% of the units occupied by low-income applicants.
- Through OEO, subgrantees must receive prior approval from DOE before weatherizing multi-unit buildings.

Subgrantees must provide the following information to OEO:

- Brief narrative with photos describing the building(s), including its age, condition, number of units, spatial orientation(s), heating/cooling type (central or distributed) and condition, and any other notable conditions.
- Building assessment sheets, such as lighting inventory; heating/cooling equipment and controls; air leakage determination; water usage information; combustion/CO/CAZ testing; insulation type and levels; base load analysis; windows and doors type and orientation; health and safety concerns, etc.
- Weatherization statement of work, project timeline, and projected costs (materials and labor), any landlord contributions or buy-down provisions.
- Complete copy of the audit showing all inputs/outputs (or engineering assessments and report) including a narrative describing the methodology used to assess the building(s) (i.e. was every building individually audited, or was a sample audited and the others assumed to be the same).

Shelters

Subgrantees must receive prior approval from DOE before weatherizing a shelter.

A "Shelter" is defined as a dwelling unit whose principal purpose is to house on a temporary basis individuals who may or may not be related to one another and who are not living in nursing homes, prisons or similar institutional care facilities. For the purpose of determining how many dwelling units exist in a shelter, the minimum size for each dwelling unit within the shelter shall be 800 square feet of living space, or each floor of the shelter may be counted as a dwelling unit. An application and eligibility determination is not required for shelters. Subgrantees should determine the number of countable completions based on shelter regulations detailing that a weatherization provider may count each 800 square feet of the shelter as a dwelling unit or each floor level as one unit, as noted in 10 CFR 440.22 (f). An individual file must be kept for the shelter job.

For SC WAP reporting purposes, each completion should be counted as "Data Unavailable" when reporting income categories and demographics. The box "Demographics Not Available" must be checked at the bottom of the SC WAP application page.

Describe the deferral Process

Deferral may be necessary if health and safety issues cannot be adequately addressed through this guidance. The decision to defer work in a dwelling is difficult but necessary in some cases. This does not mean that assistance will never be available, but that work must be postponed until the problems can be resolved and/or alternative sources of help are found. In the judgment of the service provider, which includes crews and contractors, any conditions that exist, which may endanger the health and/or safety of the workers or occupants, should be deferred until the conditions are corrected.

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Deferral may also be necessary where occupants are uncooperative, abusive, or threatening.

Subgrantees will use the "Deferral of Service Notification" form for such situations. The form will include the client's name and address, dates of the audit/assessment and when the client was informed, a clear description of the problem, conditions under which weatherization could continue, the responsibility of all parties involved, and the client(s) signature(s) indicating that they understand and have been informed of their rights and options.

Deferral conditions may include:

1. The client has known health conditions that prohibit the installation of insulation and/or other weatherization materials.
2. The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that they cannot be repaired reasonably.
3. The house has sewage or other sanitary problems that would further endanger the client and weatherization installers if weatherization work is performed and repair is beyond the scope of reasonable cost justification.
4. The house has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by local or state building officials or utilities.
5. Moisture problems are so severe that they cannot be resolved.
6. Dangerous conditions exist due to high carbon monoxide levels due to combustion appliances and cannot be reasonably resolved.
7. The client is uncooperative, abusive, or threatening to the crew, subcontractors, auditors, inspectors, or others who must work on or visit the house.
8. The extent and condition of lead-based paint in the house would potentially create further health and safety hazards were to be disturbed.
9. Illegal activities are being conducted in the dwelling unit.

V.1.3 Definition of Children

Definition of children (below age): **18**

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.

The State of South Carolina will ensure that the low-income members of Indian tribes receive benefits equivalent to the assistance to other low-income persons within the State. The OEO stipulates that local program operators assure weatherization activities include low-income Native Americans.

V.2 Selection of Areas to Be Served

All counties of the State will be served. OEO allocates funding for each county in the State based on the poor population using the 2010 Census. OEO contracts with subgrantees to cover South Carolina's 46 counties. All subgrantees are community action agencies.

Subgrantee Default, Suspension, Transfer / Termination

The OEO may, by giving reasonable written notice specifying the effective date, terminate this grant in whole or in part for cause, which shall include:

- Failure, for any reason, of the subgrantee to fulfill in a timely and proper manner its obligation under this grant including compliance with the approved work program and attached conditions, and such statutes, executive orders, and DOE and/or OEO directives as may become generally applicable at any time;
- Late submission by the subgrantee to the OEO of DOE reports that are incorrect or incomplete;
- Ineffective or improper use of funds provided under this grant;
- Suspension or termination by DOE of the grant to the state under which this grant is made, or the portion thereof delegated by this grant. The state may also assign and transfer this grant as required by DOE directives.

If the subgrantee is unable or unwilling to comply with the terms of this grant or with additional conditions as may be lawfully applied by DOE and/or USHHS to the grant, or the state, the subgrantee may terminate the grant by giving fifteen (15) days written notice to the state signifying the effective date thereof. Furthermore, the residual assets and property purchased by the subgrantee under this grant shall be transferred at the discretion of the state to an organization which is exempt from Federal income tax as an organization described in Section 501 (c)(3) of the Internal Revenue Code (1954) or to the appropriate federal,

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state or local government for exclusively public purposes. In such event, the state shall require the subgrantee to ensure that adequate arrangements have been made for the transfer of all property and finished or unfinished documents, data, studies, and reports purchased by the Grantee under this grant. The subgrantee may be entitled to compensation for any unreimbursed expenses reasonably and necessarily incurred in satisfactory performance of the grant.

Notwithstanding the above, the subgrantee shall not be relieved of liability to the state for damages sustained by the state by virtue of any reimbursement to the subgrantee for the purpose of set-off until such time as the exact amount of damages due the state is determined.

V.3 Priorities for Service Delivery

SC OEO will ensure that subgrantees give priority to weatherizing units occupied by the elderly, persons with disabilities, families with children, high residential energy users, and households with high-energy burden.

Priority Percentages

- Elderly - 50% (60 years of age and older)
- Disabled - 20%
- Households w/children - 20% (children living in household under 18 years of age).
- High Energy User – Energy usage is above average as a result of household composition and/or unusual needs for energy.
- High Energy Burden - 5% (20% or more of the household income is utilized to pay for energy usage).

Time Period for Income Verification

The period for determining income eligibility will be based on the total household income accounted for the past 30 days.

Nondiscrimination

No person shall on the grounds of race, color, national origin, religion, or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or part with DOE funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 or with respect to an otherwise qualified disabled individual as provided in section 504 of the Rehabilitation Act of 1973 also shall apply to this weatherization program.

V.4 Climatic Conditions

South Carolina's climate is classified as humid sub-tropical; that is, temperatures vary seasonally, with summers generally hot and sultry while winters are mild, and precipitation is ample and fairly well distributed throughout the year. Although March and July are usually the wettest months of the year, there is no real dry season. In eastern South Carolina, however, winter precipitation is greater than summer precipitation. Statewide, minimum precipitation is received in October and November. During summer and early fall of most years, the state receives the effects of one or more tropical storms or hurricanes.

Our demand for electricity is rather sensitive to the weather and to industrial growth. Changes in the weather patterns mean changes in energy consumption. Higher temperatures would mean:

- An increase demand for air conditioning. Higher summertime temperatures would mean increased use of air conditioners; the cooling season would also last longer.
- Decrease in demand for heating. Warmer winters would decrease the amount of energy required for heating.
- Require an increase in electrical capacity. Higher demands for air conditioning in the summer would be partially offset by lower wintertime temperatures, affecting total consumption only moderately. But the periods could require a significant increase in South Carolina's electrical capacity.

Listed below are the South Carolina weather stations and associated heating and cooling degree days.

Note: Annual heating and cooling degree days based on 2014-2015 (2/1/2014 through 1/1/2015).

Greenville, SC

Heating Degree Days - **3089**

Cooling Degree Days – **1877**

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Columbia, SC

Heating Degree Days - **2770**
Cooling Degree Days - **2409**

Charleston, SC

Heating Degree Days - **2178**
Cooling Degree Days - **2700**

Source: www.degreedays.net (using temperature data from www.wunderground.com)

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

South Carolina will be utilizing the New Mexico Deck of Cards template as the basis for the Field Guide.

Incorporating the Standard Work Specifications (SWS) into the South Carolina WAP

Beginning with WAP PY 2015 all tasks performed on client homes will meet the specifications, objectives and desired outcomes outlined in the Standard Work Specifications for Home Energy Upgrades (SWS) where applicable.

South Carolina WAP will:

- Provide a WAP Procedures and Guidelines to make comprehensive field standards available to subgrantees outlining expectations of work scope and quality that will meet or exceed the minimum standards outlined in the SWS;
- Provide the South Carolina Standard Work Specifications for site-built dwellings.

Timeline: By June 30, 2015

- Provide the South Carolina Standard Work Specifications for manufactured homes.

Timeline: By June 30, 2015

Communication of Guidelines to Subgrantees Crews and Contractors

All subgrantees have been advised of the new DOE requirements to be implemented in WAP 2015.

SC WAP will confirm receipt of those requirements by subgrantees and contractors with signed acknowledgments, and will provide follow-up and clarification upon request.

By August 1, 2015, SC WAP will develop and distribute the Weatherization Procedures and Guidelines that will contain essential instructions to subgrantees on how to implement WAP administrative and field requirements. Field guidance will direct operations in the field such as installation techniques, proper methods of testing, health and safety requirements, and data collection and submission. Administrative guidance will direct administrative operations such as training plans and schedules, data collection and submission, and contract language and wording that will clearly communicate technical requirements and specifications for work to be inspected.

The Manual will guide work quality standards to ensure that:

- Procedures align with the SWS;
- All subgrantees staff, contractors, and anyone doing the actual work are aware of these standards;
- Every home inspected will comply with the SWS.

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All work is being performed in accordance to the DOE-approved audit procedures and 10 CFR 440 Appendix A.

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Single-Family : Single-Family Priority Measures List - Approved February 2, 2015

Manufactured Housing : Mobile Home Priority Measures List - Approved February 2, 2015

Multi-Family : Buildings with 5 units or more will have audits conducted and sent to DOE for review. This is in accordance with DOE's approval of SC's NEAT audit tool.

Comments

Southface Energy Institute was contracted by South Carolina Office of Economic Opportunity to create the South Carolina Weatherization Assistance Program (WAP) Single-Family and Manufactured Housing Priority List for the state of South Carolina. For WAP PY 2015, South Carolina is approved to use Priority Measures and NEAT/MHEA. NEAT/MHEA will be phased in throughout the year based on agencies' competency of the tool.

All nine subgrantees will be using NEAT/MHEA by December 31, 2015. Below is the timeline.

- June 30, 2015 -- 3 subgrantees
- September 30, 2015 -- 3 subgrantees
- December 31, 2015 -- 3 subgrantees

V.5.3 Final Inspection

Subgrantees are required to perform an independent quality control inspection (QCI) at the conclusion of each Weatherization project. This inspection must include all mechanical work performed on completed dwelling units. This must occur, and be documented, before reporting the project to the State as a "completed unit". This process is to ensure that all work performed meets or exceeds the minimum specifications outlined in the SWS in accordance with 10 CFR 400. All supporting documentation including inspection and monitoring certifications will be maintained in the client's file.

Quality Control Inspector

- An evaluator who verifies the work performed against the work plan specifications & Standard Work Specifications
- Performs building diagnostics
- Records/reports findings and concerns, and specifies corrective actions by conducting a methodological audit/inspection of the building, performing safety & diagnostic tests, and by observing the retrofit work in order to ensure the completion, appropriateness and quality of the work providing for the safety comfort and energy savings safety, comfort, of the building occupants.

Verifies Work Performed Against the Work Plan & SWS

- Understand the energy audit.
- Review the auditor's diagnostics & observations.
- Get a feel for the house.
- Review the work scope.
- Assures the work scope incorporates the diagnostics.
- Assures the work scope provides adequate guidance.
- Assures that there are any unusual situations that need addressing.
- Assures the work was performed as specified.
- Assures the work specifications were understood by the retrofit installers.
- Assures if any variances exist, there is sufficient documentation to support the changes.
- Assures the specifications follow program standards.

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Observes the Retrofit Work In Progress

- Schedules a site visit(s) early (& often) on in the process to connect with crew leader and retrofit installers.
- Observes any complexities.
- Discusses outcomes.
- Participates in the process.
- Discusses any issues and flexibilities with the work.

Final Inspection

- Physically locates all materials installed.
- Compares materials installed to billing.
- Evaluates effectiveness.
- Evaluates aesthetics.
- Determines necessary changes.
- Think about how this could have been made better and communicates that thought to all parties involved.

Building Diagnostics

- Performs mechanical systems inspection.
- Performs combustion appliance zone testing.
- Analyzes health and safety issues.
- Pressure Boundary- pressure diagnostics.
- Thermal Boundary-infrared camera.

Records/Reports Findings and Concerns and Specifies Corrective Actions

- Inspect the retrofit work performed.
- Provide a detailed accounting of your observations.
- Document the work deficiencies in pictures and writing.
- Specify what must be done for work to pass.
- Determine the severity of issues and required response.
- Channel info to appropriate persons.

Majority of the subgrantees have at least one QCI on staff. Three subgrantees will be hiring an out-of-state QCI subcontractor to perform inspections until a QCI is in place at the agency.

The QCI will ensure that:

- All work meets the minimum specifications outlined in the SWS in accordance with 10 CFR 440;
- Every client file will have a signed form that certifies that the unit had a final inspection and that all work meets the required standards including SWS. Any "completed units" that have also been monitored by SC WAP will have an additional certification form in the client file - one for each inspection;
- An assessment of the original audit will be available in the client file confirming that the measures called for on the work order were appropriate and in accordance with audit procedures and protocols.

By July 1, 2015, the state will revise and implement a final inspection form to align with the SWS which will be signed by a QCI.

SC OEO's QCI certified inspectors will monitor (at least) 5% of the completed units and accompanying client files for each subgrantee if the unit's final inspection was performed by an individual that had no involvement in the work performed on the unit. However, if it is determined that the subgrantee under review did not use an independent QCI inspector, SC OEO will increase from (at least) 5% to 10% of all completed units.

Subgrantees are required to ensure that each Weatherization completion receives an appropriate and properly executed final inspection. This inspection must be performed by a DOE/BPI certified Quality Control Inspector (QCI). SC OEO, as part of their regular monitoring procedure will review final inspection forms, subgrantee inspection processes and completed homes to ensure the inspections are being performed correctly and in a manner that is consistent with DOE expectations as outlined in WPN-15-4. Failure by the subgrantee to utilize the QCI process correctly may result in all associated costs being disallowed and returned to SC OEO. Should multiple instances of poorly performed inspections be found, SC OEO will at the very minimum, place the subgrantee on Probation. Should the Probation fail to correct the issue, SC OEO will seek stiffer actions as allowed in the Weatherization Subgrantee Grant Agreement.

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V.6 Weatherization Analysis of Effectiveness

The state requires that pre- and post-weatherization inspections to include use of a blower door, combustion analyzer, and infrared camera. Subgrantees must utilize ASHRAE 62.2 (2013) for determining the proper ventilation for single-family and manufactured dwellings. Subgrantees are not allowed to report units as completed until a final inspection is performed and the work has been accepted and approved by a Quality Control Inspector.

Program production, goal attainment, and expenditure costs will be tracked on a monthly basis for each subgrantee at the State level using a statistical analysis tool. The subgrantees will use the same statistical analysis tool for tracking their own production and expenditures. OEO will establish production and expenditure benchmarks that will be included in the subgrantee Grant Agreements to increase accountability and ensure proper program management.

SC WAP will utilize a database management system to track all weatherization work performed on any dwelling. The database management system coupled with the aforementioned statistical analysis tool will facilitate a review/analysis process essential for program management and oversight. The review process will serve as a routine procedure to ensure compliance, as well as an initial monitoring process to confirm that measures are performed and tracked according to program standards, and that diagnostic and health and safety tests are performed and documented correctly.

SC WAP maintains files on the subgrantees that include all the contracts and related information from which staff can obtain a current and complete financial picture of the subgrantee. Each subgrantee's file contains related correspondence or other information. The information kept in the files provides an updated picture of how each subgrantee is meeting contractual responsibilities.

SC WAP compares productivity between subgrantees by monitoring the number of dwellings reported monthly. Subgrantees not meeting production goals within a two month period are contacted by state staff and required to provide a production status report to support it meeting prescribed production goals by the end of program period. This report will include any additional training or technical assistance needs that may hinder the subgrantee in meeting production goals.

Training and technical assistance needs are determined during the onsite monitoring of each subgrantee. By compiling the results of the production and monitoring reports, the state office determines what T&TA activities can be provided through peer to peer coordination or made available statewide.

The energy savings comparison between subgrantees is based on the subgrantee's quality of workmanship; following the Priority List and/or Audit recommendations on measures installation.

V.7 Health and Safety

Concerns to ensure health and safety should be identified and addressed, if possible, within the scope of the weatherization program. Subgrantees may have other resources or may network with other agencies to assist clients in reducing and eliminating conditions which are hazardous to their health and safety. The necessary repairs and actions to mitigate health and safety concerns are allowable, if the failure to act results in 1) health or safety hazards because of the weatherization measures; 2) damage to weatherization measures; and 3) damage to the home because of the weatherization measures. If these conditions exist, weatherization work must not proceed until the problems are resolved. If the resolution is beyond the scope of the weatherization program or a disallowed expense under DOE rules, such as asbestos, lead-base paint, and radon abatement, the client/homeowner should be notified in writing and referred to alternative resources for mitigation, i.e. home rehabilitation programs, landlords, etc. Installation of smoke/CO detectors are allowed according to manufacture instruction where detectors are not present or are inoperable. Replacement of operable smoke/CO detectors is not an allowable cost. CO

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detectors will be installed on all homes with combustion appliances or attached garage. Window and door replacement, repair, or installation is not an allowable health and safety cost.

Homeowner Consent Form

- Manufactured Home Unvented Space Heater Agreement
- Site-Built Unvented Space Heater Agreement
- Lead Hazard Education form
- Mold and Moisture Checklist form

Clients must be informed of health and safety conditions in writing and the document must be signed by the client and a copy maintained in the client file. There may be instances when health and safety problems might remain after weatherization has been completed on a dwelling. For example, the client use of unvented kerosene or gas space heaters, which meet the ANSI standards specified by DOE's 11-6 guidance, as a secondary heat source.

The applicable Homeowner Consent forms are to be used to document existing potential health and safety problems that remain after the weatherization work is completed.

- 1) An agency representative must explain the problems to the owner, and in the case of a rental unit, the client.
- 2) The health and safety problem(s) and corrective measures the owner and/or client can take must be documented on the form with as much detail as possible.
- 3) The owner and agency representative must sign and date the statement.
- 4) A copy of the form must be given to the client/owner.

Referral Standards

When serious Health & Safety conditions are discovered during the initial inspection of the home, the home should be referred to the appropriate public or non-profit agency for remedial action. Weatherization should not be undertaken until the problems have been alleviated. However, weatherization funds may be used to correct energy-related conditions to allow for effective weatherization work and/or to assure the immediate or future health of workers and clients. Subgrantees are expected to pursue reasonable options on behalf of the client, including referrals, and to use good judgment in dealing with difficult situations.

Incidental Repairs

Incidental Repairs means those repairs necessary for the effective performance or preservation of weatherization materials. Such repairs include, but are not limited to, framing or repairing windows and doors which could not otherwise be caulked or weatherstripped and providing protective materials, such as paint, used to seal materials installed under this program.

Incidental repairs include structural repairs to the building envelope, and general heat waste measures included in the energy audit as itemized costs. Incidental repairs are included in the per unit cost limitation and must be cost justified with the SIR for the package of measures.

Utilizing DOE Monies – Health and Safety

South Carolina allows 14.9% of the total DOE Weatherization Program Operations for Health and Safety. Health and Safety costs are recorded and tracked separately in the accounts and on the house audit/assessment form. Subgrantees must report all expenditures related to Health and Safety on their monthly financial status reports.

Air Conditioning and Heating System Repairs and Replacements

Action/Allowability:

If the heating and air conditioning system is operable and considered for replacement, the system must be run through NEAT or MHEA first to determine if it is allowable to be replaced as an energy conservation measure. If the system is not operable, then a replacement system can be modeled using assumed parameters as per State guidance.

"Red tagged", inoperable, or nonexistent heating system replacement, repair, or installation is allowed with DOE funds as a Health and Safety Measure. Air conditioning system replacement, repair, or installation is allowed in homes of at-risk occupants.

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An at-risk occupant is defined as a person/household meeting one or more of the following conditions:

- An Elderly person (60 years or older);
- A person with health condition(s) that would be exacerbated by exposure to high temperature conditions;
- A household containing an infant(s) (2 years or less).

The subgrantee will first determine whether repairs can effectively be made to the heating system to enable it to operate safely, rather than require a replacement. Subgrantees are allowed to replace heating systems in certain circumstances, as follows:

- A verifiable condition exists that allows combustion gases to enter the living environment. For example, a breach in the heat exchanger that allows combustion gases to mix with the air in the ductwork.
- An improper application of a non-sealed combustion furnace, installed in a mobile home. Mobile homes are required to have furnaces that draw their combustion air from outside the carriage. The installation of a furnace intended for use in site built homes could cause serious concentrations of combustion gases in the living environment by causing the furnace to back-draft.
- The subgrantee may not continue with weatherization work, particularly air sealing the structure, until the combustion gases have been appropriately vented away from the living area. In the case of a plugged or non-functioning vent on a combustion appliance, appropriate steps must be taken to repair, or replace, the vent.
- Before a furnace is installed in a weatherization dwelling unit, the proper size of the furnace must be determined. Subgrantees will determine the most effective output size of the replacement furnace using the NEAT/MHEA audit.

Testing:

Health and safety inspections make sure that systems are present, operable, and performing safely.

The health and safety inspection of combustion appliances, including heating systems, includes the following items:

- The rated BTU input and measured output of each gas furnace
- A complete electrical inspection of the furnace including proper grounding, polarity, wiring connections, fuse type and size, element amperage (electrical furnace), disconnect requirements and conduit requirements
- An inspection of all gas lines in the home from the source to the gas appliances or line termination. This includes all fittings, connections, shut-off valves, gas valves, sediment traps and end caps
- An inspection for spillage and a reading of the draft of gas furnaces and water heaters (Completion of the Combustion Appliance Zone Inspection Form)
- A visual check for flame interference
- A test of the setting and operation of the high limit control switch
- An evaluation of the adequacy of combustion air for combustion appliances
- A check that there are no open return air ducts/leaks in the Combustion Appliance Zone
- Carbon monoxide testing of all gas appliances
- An inspection, and replacement if necessary, of the furnace filter
- Worst case draft test

Client Education

Auditors will discuss and provide information on appropriate use and maintenance of units and proper disposal of bulk fuel tanks when not removed.

Training:

Auditors received combustion appliance zone (CAZ) training in the evaluation of combustion appliances, including heating systems.

Auditors must use the CAZ Testing form to assure that the proper testing was done and documented. Measurement and careful consideration of the air leakage rate of the dwelling unit prior to, and during, the course of air sealing, are important steps in the weatherization process to ensure safety and appropriateness of the weatherization measures.

Appliances and Water Heaters

Action/Allowability:

Refrigerators may be replaced for energy savings if an approved Power Meter test is performed demonstrating that the SIR value is = 1. Replaced refrigerators must follow local environmental laws to insure the proper disposal of refrigerants. Subgrantees are required to reclaim refrigerant per Clean Air Act 1990, 40 CFR 82, 5/14/93. Costs associated with refrigerant disposal are to be included in the

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replacement cost consideration.

Water Heaters may be replaced for energy savings if a NEAT/MHEA audit is performed demonstrating that the SIR value is = 1. If the audit does not list a replacement with an SIR of > 1, then the replacement of a water heater might qualify as a Health and Safety Measure.

South Carolina's Weatherization Program justifies a water heater replacement with health and safety funds for the following reasons:

- Existing water heater is leaking beyond repair hindering the Weatherization process from proceeding and causing continuing and worsening moisture conditions in the home,
- Gas burner deficiencies, venting issues [draft], interior baffle issues, or a combination of such that renders the water heater beyond repair and a safety hazard to the household, and/or
- Carbon monoxide production above South Carolina's standards that cannot be lowered by cleaning, adjusting or repairing.

If the total repair costs for any of the issues stated above would exceed the cost for installation upon initial inspection, subgrantees will be required to install a new unit. Subgrantees are required to document the reasons for replacing the water heater in the client's file.

Replaced water heaters must be properly disposed. Removal of old hot water heater and associated components must be done in accordance with 2012 IRC International Residential Code R105.1 or authority having jurisdiction. Seal any unused chimney openings and penetrations in accordance with 2012 International Residential Code N1102.4.1.1 or authority having jurisdiction. Remove unused oil tank, lines, valves, and associated equipment in accordance with 2012 International Residential Code M2201.7 or authority having jurisdiction.

All water heater work shall be completed by a licensed plumbing professional where required by the authority having jurisdiction and installed to industry-accepted standards.

Other appliances, including gas cook stove replacement, are not allowable health and safety costs. However, repair and cleaning of water heaters, stoves, and furnaces are allowed.

Health concerns in the removal and replacement of equipment (e.g., asbestos, other hazardous materials) will be identified.

Written notification will be provided to occupants of the discovery of hazardous material, including contact information for regional U.S. Environmental Protection Agency, www.epa.gov asbestos.

Occupant will be asked to contract with a U.S. Environmental Protection Agency, www.epa.gov certified asbestos contractor to conduct abatement before equipment removal and replacement (occupant is responsible for abatement or remediation).

Testing:

Subgrantees will determine whether water heaters are performing safely. Combustion safety testing is required when combustion appliances are present. The health and safety inspection of water heaters includes the same combustion safety checks listed above for Heating Systems.

Client Education:

Discuss and provide information to client on the processes that will be done to assure indoor air quality.

Training:

Auditors receive extensive training in the evaluation of combustion appliances, including water heaters. Home evaluation forms that document existing combustion appliance functionality and combustion gas presence are required to be in every client file. Measurement and careful consideration of the air leakage rate of the dwelling unit prior to, and during, the course of air sealing, are important steps in the weatherization process to ensure safety and appropriateness of the weatherization measures.

Asbestos - in siding, walls, ceilings, etc.

Action/Allowability:

Removal of siding is allowed to perform energy conservation measures. All precautions must be taken not to damage siding. Asbestos siding should never be cut or drilled. In the case of asbestos siding, it is recommended to insulate through the home interior where possible. Known asbestos containing building components shall not be handled during the course of weatherization work in a way which would cause the transmission of asbestos dust into the air.

Testing:

Inspect the exterior wall surface and subsurface for asbestos prior to drilling or cutting.

Client Education:

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The auditor must document any asbestos issues on the Health and Safety Checklist which will be signed by the agency representative and the client. Agency must retain a copy of this form for their files

Training:

Field Supervisors and/or Contractors have received training with dealing with asbestos through the OSHA Construction 30 hour course.

Asbestos - in Vermiculite

Action/Allowability:

When vermiculite is present, unless testing determines otherwise, take precautionary measures as if it contains asbestos, such as not using blower door tests and utilizing personal air monitoring while in attics. Where blower door tests are performed, it is a best practice to perform pressurization instead of depressurization. Encapsulation by an appropriately trained asbestos control professional is allowed. Removal is not allowed.

Testing:

Assess whether vermiculite is present. Asbestos Hazard Emergency Response Act of 1986 (AHERA) certified prescriptive sampling is allowed by a certified tester.

Client Education:

Clients must be formally notified if test results are positive for asbestos and signed by the client. Clients should be instructed not to disturb suspected asbestos containing material. Auditors will provide asbestos safety information to the client.

Training:

Field Supervisors and/or Contractors have received training with dealing with identifying vermiculite through the OSHA Construction 30 hour course.

Asbestos - on pipes, furnaces, other small covered surfaces

Action/Allowability:

Auditors should assume that asbestos is present in covering materials. DOE funds may be used for encapsulation by an AHERA asbestos control professional and should be conducted prior to blower door testing. Removal may be allowed by an AHERA asbestos control professional on a case-by-case basis.

Testing:

AHERA testing is allowed by a certified tester.

Client Education:

Clients should be instructed not to disturb suspected asbestos containing material. Auditors will provide asbestos safety information to the client.

Training:

It is recommended that auditors take an AHERA course for testing and asbestos control professional training for abatement. The course will inform auditors how to identify asbestos containing materials.

Biologicals and Unsanitary Conditions - odors, mustiness, bacteria, viruses, raw sewage, rotting wood, etc.

Action/Allowability:

Biological concerns or unsanitary conditions are cause for deferral unless other funds are available or the cost is considered when running NEAT or MHEA. Addressing bacteria and viruses is not an allowable cost. Deferral might be necessary in cases where a known agent is present in the home that might create a serious risk to occupants or weatherization workers.

Testing:

Auditors will conduct a sensory inspection for biological and unsanitary conditions.

Client Education:

Auditors will inform the client of observed conditions. Auditors will provide information on how to maintain a sanitary home and steps to correct deferral conditions.

Training:

Auditors to receive training on how to recognize biological and unsanitary conditions and when those conditions are cause for deferral. Auditors are also trained in worker safety when coming into contact with biological and unsanitary conditions.

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Building Structure and Roofing

Action/Allowability:

Building rehabilitation is beyond the scope of the Weatherization Assistance Program. Homes with conditions that require more than incidental repairs should be deferred or fixed to a condition where weatherization can occur by using LIHEAP WAP funds.

Testing:

Auditors will conduct a visual inspection of the building structure and roofing. Auditors will ensure that access to areas necessary for weatherization is safe for entry and performance of assessment, work, and inspection.

Client Education:

Auditors will notify clients of structurally compromised areas.

Training:

Auditors are trained on how to identify structural and roofing issues.

Code Compliance

Action/Allowability:

Correction of preexisting code compliance issues is not an allowable cost in areas other than where weatherization measures are installed. State and local (or jurisdiction having authority) codes must be followed while installing weatherization measures. Condemned properties and properties where "red tagged" health and safety conditions exist that cannot be corrected under this guidance should be deferred.

Testing:

Auditors will conduct a visual inspection for local code enforcement inspections.

Client Education:

Clients will be informed of observed code compliance issues.

Training:

Auditors are trained in how to determine what code compliance may be required.

Combustion Gases

Action/Allowability:

Proper venting to the outside for combustion appliances, including gas dryers, is required. Subgrantees may also correct venting with DOE funds when testing indicates a problem. Subgrantees must consider the costs associated with eliminating health and safety hazards, keeping in mind that the primary focus of weatherization activities must remain energy conservation. The subgrantee will determine whether repairs can effectively be made on the water heater or furnace, to enable them to operate safely, rather than require a replacement. Subgrantees will be allowed to replace water heaters, furnaces, or space heaters as a DOE program expense in certain circumstances. The guidelines for replacement are as follows:

- A verifiable condition must exist that allows combustion gases to enter the living environment. For example, a breach in the heat exchanger that allows the combustion gases to mix with the air in the ductwork.
- An improper application of a non-sealed combustion furnace, installed in a mobile home. Mobile homes are required to have furnaces that draw their exhaust make-up air from outside the carriage. The installation of a furnace intended for use in site built homes could cause serious concentrations of combustion gases in the living environment by causing the furnace to back-draft.
- The subgrantee may not continue with weatherization work, particularly air sealing the structure, until the combustion gases have been appropriately vented away from the living area. In the case of a plugged or non-functioning vent on a combustion appliance, appropriate steps must be taken to repair, or replace, the vent.

Testing:

Health and safety inspections make sure that systems are present, operable, and performing. The health and safety inspection of combustion appliances, including heating systems, includes the following items:

- The rated and measured BTU input of each gas furnace;
- A complete electrical inspection of the furnace including proper connections, fuse type and size, element amperage (electrical furnace), disconnect requirements and conduit requirements;
- An inspection of all gas lines in the home from the source to the gas appliances or line termination. This includes all fittings, connections, shut-off valves, gas valves, sediment traps and end caps;

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- An inspection for spillage and a reading of the draft of gas furnaces and water heaters (Completion of the Combustion Appliance Inspection Form);
- A visual check for flame interference;
- A test of the setting and operation of the high limit control switch;
- An evaluation of the adequacy of combustion air for combustion appliances;
- A check that there are no open return air ducts/leaks in the Combustion Appliance Zone;
- Carbon monoxide testing of all gas appliances;
- An inspection and replacement if necessary, of the furnace filter;
- Check for a properly installed temperature and pressure relief valve on the water heater;
- A measurement and adjustment, if needed, of the water temperature; and
- Worst case draft test.

Client Education:

Auditors will provide clients with combustion safety and hazards information, including the importance of using exhaust ventilation when cooking and the importance of keeping burners clean to limit the production of CO.

Training:

Auditors receive extensive training in the evaluation of combustion appliances. Home evaluation forms that document existing combustion appliance functionality and combustion gas presence are required to be in every client file. Measurement and careful consideration of the air leakage rate of the dwelling unit prior to, and during, the course of air sealing, are important steps in the weatherization process to ensure safety and appropriateness of the weatherization measures.

Drainage - gutters, down spouts, extensions, flashing, sump pumps, landscape, etc.

Action/Allowability:

Major drainage issues are beyond the scope of the Weatherization Assistance Program. Homes with conditions that might create a serious health concern are cause for deferral unless other funds are available, the cost is considered when running NEAT or MHEA.

Testing:

Auditors will conduct a visual inspection for drainage issues.

Client Education:

Auditors will inform clients of the importance of cleaning and maintaining drainage systems and relay information on proper landscape design.

Training:

Auditors receive training on how to recognize drainage issues.

Electrical, other than knob-and-tube wiring

Action/Allowability:

Minor electrical repairs are allowed with DOE incidental repairs funds where the health and safety of the client is at risk. Additionally, upgrades and repairs are allowed to electrical systems when those repairs are necessary to perform specific weatherization measures.

Testing:

Auditors will conduct a visual inspection for electrical issues. They will also conduct voltage drop and voltage detection tests when needed.

Client Education:

Auditors will provide information to clients on overloading circuits, electrical safety, and electrical risks.

Training:

Auditors are trained in how to identify electrical hazards and are knowledgeable of local codes for compliance.

Electrical, knob-and-tube wiring

Action/Allowability:

Auditors identify any knob and tube wiring found in the dwelling and test if to see if it is live. If it is spliced into conventional circuitry, auditors note the breakers or fuses controlling the circuit. Building performance retrofits must conform to NEC or local code. Live knob and tube wiring can never be covered or surrounded by insulation as a result of any weatherization measure. Boxing of knob and tube wiring prior to insulation is acceptable.

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Testing:

Auditors will inspect for the presence and condition of knob-and-tube wiring and check for alterations that might create an electrical hazard. Voltage drop and voltage detection tests are allowed.

Client Education:

Auditors will provide clients with information on over-current protection, overloading circuits, and basic electrical safety and risks.

Training:

Auditors are instructed to avoid insulating over or dense packing around live knob and tube wiring while installing insulation in attics, floors, or walls. Boxing of knob and tube wiring prior to insulation is acceptable.

Fire Hazards

Action/Allowability:

Correction of fire hazards is an allowable cost when necessary to safely perform weatherization.

Testing:

Auditors will check for fire hazards in the home during the audit and while performing weatherization.

Client Education:

Auditors will inform the client of observed fire hazards.

Training:

Auditors are trained on how to recognize potential hazards and when removal is necessary.

Formaldehyde, Volatile Organic Compounds (VOCs), and other Air Pollutants

Action/Allowability:

Removal of pollutants that might create a serious health concern are cause for deferral unless other funds are available, the cost is considered when running NEAT or MHEA. If removal cannot be performed or is not allowed by the client, the unit must be deferred.

Testing:

Auditors will conduct a sensory inspection for formaldehyde, VOCs, and other air pollutants.

Client Education:

Auditors will inform clients of the observed conditions and the associated risks. Auditors will provide the client written materials on safety and proper disposal of household pollutants.

Training:

Auditors are trained on how to recognize potential hazards and when removal is necessary.

Injury Prevention of Occupants and Weatherization Workers—measures such as repairing stairs and replacing handrails

Action/Allowability:

Workers must take all reasonable precautions against performing work on homes that will subject workers or occupants to health and safety risks. Minor repairs and installation may be conducted only when necessary to effectively weatherize the home. Otherwise, these measures are not allowed.

Testing:

Auditors will observe if dangers are present that would prevent weatherization.

Client Education:

Auditors will inform clients of observed hazards and associated risks.

Training:

Auditors are trained to be aware of potential hazards.

Lead Based Paint

In response to DOE's actions in adopting the EPA's revised lead protocols, South Carolina underwent a number of steps in order to adhere to the new EPA standards as outlined in the Renovation, Repair, and Painting Rule (RRP). South Carolina is compliant with this rule and the

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steps taken to be compliant are outlined below:

- All subgrantees will be required to maintain Lead Firm status through the EPA. All subgrantees will have at least one staff member who has achieved their Renovator certification.
- Monitoring has included an LSW component which reviews practices, inventory, and reporting.
- The purpose of the steps outlined above is to ensure full compliance with the new EPA rule and to ultimately provide a better service to those clients which live in housing built prior to 1978 wherein the weatherization program will be disturbing more than the de minimus levels of painted surface.
- South Carolina has implemented a policy regarding lead based paint procedures on homes being weatherized. This policy includes providing clients with the pamphlet "Renovate Right: Important Lead Hazard Information for Families, Child Care Providers and Schools" and obtaining certification that they received the form. Subgrantee staff working in homes are trained on how to work in a safe lead environment to ensure adherence to EPA, OSHA Rule 29 CFR 1926 as well as to HUD's Lead Paint Hazard Control, 24 CFR35 (Part 35). All subgrantees performing weatherization services are encouraged to obtain Pollution Occurrence Insurance.

New employees are trained on lead safe work practices within the first twelve months of employment to protect employees from the hazards of lead during weatherization work, to limit worker exposure to airborne lead during weatherization, and to ensure that employers such as CAA's communicate the hazards of all hazardous chemicals in the workplace by:

1. Labeling all containers of hazardous chemicals
2. Having a written hazard communication program
3. Providing material safety data sheets, including on lead
4. Training workers on safe chemical practices during normal and emergency actions.

What must subgrantees do?

1. Provide the Lead Paint form to all clients and landlords.
 2. Assume Lead Based Paint and follow Lead Safe Work Practices including clean-up and testing as outlined in the RRP rule for applicable housing.
- *Subgrantees will not be required to follow Lead-Safe guidelines for the following repairs, per the RRP Rule.*
 - Renovation or repair to housing built in 1978 or later;
 - Renovation or repair to zero-bedroom dwellings (studio apartments, dormitories, etc.);
 - Renovation or repair to housing or components declared lead-free by a certified inspector or risk assessor; and
 - Minor repair and maintenance activities that disturb 6 square feet or less of paint per room inside, or 20 square feet or less on the exterior of a home or building.

Note: minor repair and maintenance activities do not include window or door replacement and projects involving demolition or prohibited practices

All subgrantees must follow the following pre-renovations education requirements in all homes which do not meet the exemption criteria mentioned above.

- In housing, you must distribute EPA's lead pamphlet to the owner and occupants before renovation starts.
- For work in common areas of multi-family housing or child-occupied facilities, you must distribute renovation notices to tenants or parents/guardians of the children attending the child-occupied facility. Or you must post informational signs about the renovation or repair job.

Informational signs must:

1. Be posted where they will be seen;
2. Describe the nature, locations, and dates of the renovation; and
3. Be accompanied by the lead pamphlet

Subgrantees must obtain confirmation of receipt of the lead pamphlet from the owner, adult representative, or occupants (as applicable), or a certificate of mailing from the post office.

Firm Responsibilities

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Firms performing renovations must ensure that:

1. All individuals performing activities that disturb painted surfaces on behalf of the firm are either certified renovators or have been trained by a certified renovator;
2. A certified renovator is assigned to each renovation and performs all of the certified renovator responsibilities;
3. All renovations performed by the firm are performed in accordance with the work practice standards of the Lead-Based Paint Renovation, Repair, and Painting Program;
4. Pre-renovation education requirements of the Lead-Based Paint Renovation, Repair, and Painting Program are performed; and
5. The program's recordkeeping requirements are met.

Renovator Certification

To become a certified renovator an individual must successfully complete an eight-hour initial renovator training course offered by an accredited training provider (training providers are accredited by EPA, or by an authorized state or tribal program). The course completion certificate serves as proof of certification.

Renovators at either the subgrantee or the sub-grantee's contractor must adhere to the following:

1. Must use a test kit acceptable to EPA, when requested by the party contracting for renovation services, to determine whether components to be affected by the renovation contain lead-based paint.
2. Must provide on-the-job training to workers on the work practices they will be using in performing their assigned tasks.
3. Must be physically present at the work site when warning signs are posted, while the work-area containment is being established, and while the work-area cleaning is performed.
4. Must regularly direct work being performed by other individuals to ensure that the work practices are being followed, including maintaining the integrity of the containment barriers and ensuring that dust or debris does not spread beyond the work area.
5. Must be available, either on-site or by telephone, at all times renovations are being conducted.
6. Must perform project cleaning verification.
7. Must have with them at the work site copies of their initial course completion certificate and their most recent refresher course completion certificate.
8. Must prepare required records.

Work Practice Requirements: General

1. Renovations must be performed by certified firms using certified renovators;
2. Firms must post signs clearly defining the work area and warning occupants and other persons not involved in renovation activities to remain outside of the work area. These signs should be in the language of the occupants;
3. Prior to the renovation, the firm must contain the work area so that no dust or debris leaves the work area while the renovation is being performed;

Work practices listed below are prohibited during a renovation:

- Open-flame burning or torching of lead-based paint;
- Use of machines that remove lead-based paint through high speed operation such as sanding, grinding, power planing, needle gun, abrasive blasting, or sandblasting, unless such machines are used with HEPA exhaust control; and
- Operating a heat gun on lead-based paint at temperatures of 1100 degrees Fahrenheit or higher.

Waste from renovations:

1. Waste from renovation activities must be contained to prevent releases of dust and debris before the waste is removed from the work area for storage or disposal.
2. At the conclusion of each work day and at the conclusion of the renovation, waste that has been collected from renovation activities must be stored to prevent access to and the release of dust and debris.
3. Waste transported from renovation activities must be contained to prevent release of dust and debris.

Work Practice Requirements: Specific to Interior Renovations

- Remove all objects from the work area or cover them with plastic sheeting with all seams and edges sealed.
- Close and cover all ducts opening in the work area with taped-down plastic sheeting.
- Close windows and doors in the work area. Doors must be covered with plastic sheeting.

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- Cover the floor surface with taped-down plastic sheeting in the work area a minimum of six feet beyond the perimeter of surfaces undergoing renovation or a sufficient distance to contain the dust, whichever is greater. Use precautions to ensure that all personnel, tools, and other items, including the exteriors of containers of waste, are free of dust and debris when leaving the work area.

After the renovation has been completed, the firm must clean the work area until no dust, debris or residue remains.

The firm must:

1. Collect all paint chips and debris, and seal it in a heavy-duty bag.
2. Remove and dispose of protective sheeting as waste.
3. Clean all objects and surfaces in the work area and within two feet of the work area in the following manner:
4. Clean walls starting at the ceiling and working down to the floor by either vacuuming with a HEPA vacuum or wiping with a damp cloth.
5. Thoroughly vacuum all remaining surfaces and objects in the work area, including furniture and fixtures, with a HEPA vacuum.
6. Wipe all remaining surfaces and objects in the work area, except for carpeted or upholstered surfaces, with a damp cloth. Mop uncarpeted floors thoroughly using a mopping method that keeps the wash water separate from the rinse water, or using a wet mopping system.
7. Cleaning verification is required to ensure the work area is adequately cleaned and ready for re-occupancy.

Work Practice Requirements: Specific to Exterior Renovations

8. Close all doors and windows within 20 feet of the renovation.
9. Ensure that doors within the work area that will be used while the job is being performed are covered with plastic sheeting in a manner that allows workers to pass through while confining dust and debris.
10. Cover the ground with plastic sheeting or other disposable impermeable material extending a minimum of 10 feet beyond the perimeter or a sufficient distance to collect falling paint debris, whichever is greater.
11. In situations such as where work areas are in close proximity to other buildings, windy conditions, etc., the renovation firm must take extra precautions in containing the work area, like vertical containment.
12. After the renovation has been completed, the firm must clean the work area until no dust, debris or residue remains.

The firm must:

1. Collect all paint chips and debris, and seal it in a heavy-duty bag.
2. Remove and dispose of protective sheeting as waste.

Waste transported from renovation activities must be contained to prevent release of dust and debris. These conditions must be eliminated and another visual inspection must be performed. Once the area has been adequately cleaned you're finished.

Renovators at either the subgrantee or the subgrantee's contractor must adhere to the following:

1. Must use a test kit acceptable to EPA, when requested by the party contracting for renovation services, to determine whether components to be affected by the renovation contain lead-based paint.
2. Must provide on-the-job training to workers on the work practices they will be using in performing their assigned tasks.
3. Must be physically present at the work site when warning signs are posted, while the work-area containment is being established, and while the work-area cleaning is performed.
4. Must regularly direct work being performed by other individuals to ensure that the work practices are being followed, including maintaining the integrity of the containment barriers and ensuring that dust or debris does not spread beyond the work area.
5. Must be available, either on-site or by telephone, at all times renovations are being conducted.
6. Must perform project cleaning verification.
7. Must have with them at the work site copies of their initial course completion certificate and their most recent refresher course completion certificate.
8. Must prepare required records.

All subgrantees are also subject to the following recordkeeping requirements:

All documents must be retained for three years following the completion of a renovation.

Records that must be retained include:

- Reports certifying that lead-based paint is not present.

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- Records relating to the distribution of the lead pamphlet.
- Any signed and dated statements received from owner-occupants documenting that the requirements do not apply (i.e., there is no child under age 6 or no pregnant woman who resides at the home, and it is not a child-occupied facility).
- Documentation of compliance with the requirements of the Lead-Based Paint Renovation, Repair, and Painting Program (EPA has prepared a sample form that is available at www.epa.gov/lead/pubs/samplechecklist.pdf
- <http://www.epa.gov/lead/pubs/samplechecklist.pdf>>).

Mold and Moisture

Action/Allowability:

The Weatherization Assistance Program is not a mold remediation program. The use of DOE funds for removal of mold and other related biological substances is not an allowable weatherization expense. DOE funds should not be used to test, abate, remediate, purchase insurance, or alleviate existing mold conditions identified during the audit, the work performance period, or the quality control inspection. Low cost or no cost measures to clean moisture damaged surfaces are allowed and may be charged to Health and Safety. Houses with mold and moisture issues that require more than no cost or low cost measures must be deferred or remedied with LIHEAP WAP funds.

Subgrantees must measure indoor humidity levels and potential sources for excess moisture. Identified problems and sources are documented on the Moisture Assessment Findings form that is signed by the local sub-grantee, client, and/or landlord. The South Carolina Mold and Moisture Assessment Form lists moisture conditions that exist in the home at the time of initial audit before any weatherization measures were installed. The conditions must also be confirmed by the crew/contractor prior to performing their work. This form must be present in every file in compliance with DOE Program Guidance 05-1.

Testing:

Visual assessment is required and diagnostics, such as moisture meters, are recommended at initial audits and prior to final inspections. Mold testing is not an allowable cost.

Client Education:

Solutions for mold remediation and educational talking points are discussed with the homeowner and/or occupants to determine roles in creation of problems and/or mitigation. Occupants are given a copy of the Environmental Protection Agency (EPA) brochure, "A Brief Guide to Mold, Moisture, and Your Home" as part of the client education process.

Training:

Each subgrantee's crews or contractors receive specialized training in moisture awareness, ventilation, indoor air quality, and mold hazards. A mold awareness course is offered by the training and technical service provider and teaches Weatherization technicians and auditors how to identify the conditions that promote mold growth. This class identifies treatment options for less extensive mold conditions and best Weatherization practices to prevent mold growth. This class also discusses the health aspects related to mold and moisture issues for both workers and clients. This course is intended to prepare technicians and auditors to know how to safely proceed with Weatherization services or when to defer the home until serious mold and moisture conditions have been eliminated.

Occupant Preexisting or Potential Health Conditions

Action/Allowability:

Subgrantees must take all reasonable precautions against performing work on homes that will subject workers or households to health and safety risks. Subgrantees are required to consider the health concerns of each occupant prior to initiating work on a residence. Health and Safety Checklist - must be completed to identify existing household health and safety problems.

When performing an energy audit, the energy auditor is required to meet with a member of the household and complete the Health and Safety Checklist. This checklist provides the auditor with information about the dwelling unit, the lifestyle of its occupants, and it can direct the auditor to areas where energy can be conserved. In addition, there are pertinent questions about previous health problems and occupancy practices that can lead the auditor to identify health and safety concerns. Once identified, these areas can be dealt with through various means ranging from applicant education, to corrective action through the weatherization work scope.

The auditor is also required to complete a visual health and safety inspection. Where serious concerns are found that cannot be addressed through weatherization, applicants are advised of these possible hazards in writing in order that they may make informed decisions regarding their safety. Where necessary, applicants will be advised to relocate from the unit during installation of energy conservation materials, to ensure the household's safety.

Testing:

Auditors must require the client to reveal known or suspected health concerns as part of initial application for weatherization. Auditors must screen occupants again during the audit.

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Client Education:

Auditors provide clients information of any known risks. They also provide worker contact information so clients can inform of any issues.

Training:

Auditors are trained on how to assess a client's preexisting conditions and determining what action to take if the home is not deferred. They are also trained on awareness of potential hazards.

Occupational Safety and Health Administration (OSHA) and Crew Safety

Action/Allowability:

Workers will comply with OSHA's Hazard Communication Plan, will follow OSHA standards and Material Safety Data Sheets (MSDS), and take precautions to ensure the health and safety of themselves and other workers. MSDS must be posted wherever workers may be exposed to hazardous materials.

Testing:

Subgrantees must perform assessments to determine if crews are practicing and utilizing safe work practices.

Client Education:

Not applicable.

Training:

All auditors, crews, and contractors must use and understand the importance of personal protection equipment. OSHA 10 hour training is required for all current weatherization workers. OSHA training for new crew members or contractors must be completed no later than one year from the date of hire. OSHA 30 hour training is required for all crew leaders, either hired-in or promoted.

OSHA Hazard Communication Standard (HCS)

Action/Allowability:

WAP Coordinators will be required to prepare a written plan for implementing a hazard communication program. The program must include labels on containers of hazardous chemicals, safety data sheets for hazardous chemicals, and training for workers.

Testing:

Workers must have a general understanding of what information is provided on labels and Safety Data Sheets.

Client Education:

Auditors will inform clients if any hazardous materials are brought and/or used at the weatherization work site.

Training:

The WAP Coordinator or designated employee must train weatherization workers on the hazardous chemicals in their work area before their initial assignment and when new hazards are introduced into the work area. Training must be conducted in a manner and language that workers can understand. Workers must have a general understanding of what information is provided on labels and Safety Data Sheets, and how to access them.

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• **Pests**

Action/Allowability:

Pest removal is cause for deferral unless other funds are available or the cost is considered when running NEAT or MHEA. Screening of windows and points of access is allowed to prevent pest intrusion.

Testing:

Auditors will assess the presence and degree of infestation and risk to workers.

Client Education:

Auditors will inform clients of the observed condition and associated risks.

Training:

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Auditors are trained in how to assess the presence and degree of infestation, associated risks, and need for deferral.

Radon

Action/Allowability:

Greenville is the only county in South Carolina with predicted average indoor radon level greater than 4 picocuries per liter which is in Zone 1 of the Radon Map. In homes where radon may be present, precautions should be taken to reduce the likeliness of making radon issues worse. Since radon comes through the soil, mitigation strategies include the following:

- o Installing a plastic ground barrier and carefully sealing the seams.
- o Sealing the walls and floor of the basement.
- o Ventilating the crawl space or basement to dilute radon.
- o Depressurizing the ground underneath the basement concrete slab.

Testing:

Testing for radon is allowed in Greenville county (only). However, radon remediation is not an allowable expense with DOE funds.

Client Education:

Auditors provide clients with the EPA "Consumer's Guide to Radon Reduction: How To Fix Your Home."

Training:

Auditors are trained on what radon is, how it occurs, what factors might make it worse, and what weatherization measures can be helpful to radon control. Crews and contractors are trained in vapor barrier installation.

Refrigerant

Action/Allowability:

Subgrantees may reclaim refrigerant per the Clean Air Act of 1990. Section 608, as amended by 40 CFR 82, 5/14/1993.

Testing:

Auditors or contractors use EPA testing protocols.

Client Education:

Clients are instructed not to disturb refrigerants.

Training:

Auditors and contractors are trained on the EPA-approved section 608 type I or universal certification.

Smoke and Carbon Monoxide Alarms and Fire Extinguishers

Action/Allowability:

The installation of smoke and carbon monoxide alarms is an allowable expense with DOE funds where alarms are not present or inoperable. Replacement of operable smoke and/or carbon monoxide alarms is not an allowable cost. Providing clients with fire extinguishers is allowed **only** when solid fuel is present.

Testing:

Auditors will check existing smoke and carbon monoxide alarms for operation.

Client Education:

Auditors will provide the client with verbal and written information on the use of smoke and carbon monoxide alarms and fire extinguishers where allowed.

Training:

Auditors, crews, and contractors are trained on where to install smoke and carbon monoxide alarms. They are also trained in local code compliance.

Solid Fuel Heating (wood stoves, etc)

Action/Allowability:

Maintenance, repair, and replacement of primary indoor heating units is allowed where a client's health and safety is a concern. Maintenance and repair of secondary heating units is allowed.

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Testing:

Solid fuel heating work requires an inspection of the chimney and flue and combustion appliance zone depressurization.

Client Education:

Auditors provide clients with safety information including recognizing depressurization.

Training:

Auditors are trained on how to perform a CAZ depressurization test and conduct a proper inspection of solid fuel heating systems.

Space Heaters, Stand Alone Electric

Action/Allowability:

Repair, replacement, or installation of electric stand-alone space heaters is not allowed. Removal of these space heaters is recommended. The energy auditor is required to perform a complete evaluation of the heating system on each home weatherized. Part of this evaluation will be determining what modifications or replacements are required. Stand-alone electric heaters cannot be left in place as a client's sole source of heat. If provisions cannot be made for the installation of a permanent heating source, the home must be deferred. In instances where a new heating system is installed, the client will be educated on the new heating system and advised against using the stand alone electric space heater. Should the stand alone electric space heater be found to be unsafe for use in the client's home, it must be removed from use prior to weatherization proceeding.

Testing:

Auditors must check circuitry to ensure an adequate power supply for existing space heaters.

Client Education:

Auditors must inform the client of hazards associated with the use of standalone electric space heaters and collect a signed waiver if removal is not allowed by the client.

Training:

Auditors are trained to be aware of this guidance.

Space Heaters, Unvented Combustion

Action/Allowability:

Removal of unvented combustion space heaters is required, except as a secondary heat source where the unit conforms to ANSI Z21.11.2. Units that do not meet ANSI Z21.11.2 must be removed prior to weatherization but may remain until a replacement heating system is installed.

Testing:

Testing for air-free carbon monoxide (CO) is allowed. Units must be checked for ANSI Z21.11.2 label.

Client Education:

Auditors must inform clients of the dangers of unvented space heaters and specifically the dangers of carbon monoxide and moisture production. Auditors must also inform clients that carbon monoxide can be dangerous even if a carbon monoxide detector does not sound an alarm.

Training:

Auditors are trained on the dangers of unvented space heaters and how to perform air-free carbon monoxide tests.

Space Heaters, Vented Combustion

Action/Allowability:

Vented combustion space heaters should be treated as a furnace (see guidance above).

Testing:

Tests on vented combustion space heaters should be treated as a furnace (see guidance above).

Client Education:

Not applicable.

Training:

Auditors learn proper testing methods for safe operation (draft and carbon monoxide) and steady state efficiency, if possible.

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Spray Polyurethane Foam

Action/Allowability:

Use EPA recommendations (available online at: http://www.epa.gov/dfe/pubs/projects/spf/spray_polyurethane_foam.html) when working within the conditioned space or when SPF fumes become evident within the conditioned space. When working outside the building envelope, isolate the area where foam will be applied, take precautions so that fumes will not transfer to inside conditioned space, and exhaust fumes outside the home.

Testing:

Auditors check for penetrations in the building envelope and crews and contractors use sensory inspection inside the home for fumes during foam application.

Client Education:

Auditors notify the client of the plans to use two-part foam and the precautions that may be necessary.

Training:

Crews and contractors are trained on the use of various products with specification for each application type. They also carry MSDS sheets and are sensitive to temperatures.

Ventilation

Action/Allowability:

South Carolina will be using ASHRAE 62.2 (2013) in WAP PY 2014.

Testing:

Auditors will perform an ASHRAE 62.2 (2013) evaluation utilizing the "Red Calc" computer calculation software developed by Residential Energy Dynamics. This ventilation calculation program is available via Internet for free at: www.residentialenergydynamics.com/REDCalcFree/Tools/ASHRAE622013.aspx.

Client Education:

Auditors will provide clients with information on function, use, and maintenance of exhaust systems and components. New exhaust fan must have a readily accessible override control. The Auditor must instruct the client on how to override the operation of the exhaust fan.

Training:

ASHRAE 62.2 (2013) training was provided to subgrantees in November 2013 and April 2014. Additional training will be provided periodically by the state office.

Window and Door Replacement, Window Guards

Action/Allowability:

Replacement, repair, or installation of windows and doors is not an allowable health and safety expense.

Testing:

Not applicable.

Client Education:

Clients will be provided information on lead risks.

Training:

Auditors, crews, and contractors are aware of this guidance.

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V.8 Program Management

V.8.1 Overview and Organization

Created by the Community Economic Opportunity Act of 1983, the Office of Economic Opportunity (OEO) is the state's administering agency for the Community Services Program. OEO works in partnership with the South Carolina community to administer and distribute funds for local initiatives designed to appreciably impact the causes of poverty.

The OEO is organized to administer respective program functions through service units. These are: Weatherization and LIHEAP, Community Services/Stewart B. McKinney Act Homeless Programs, Audits, and Fiscal Services. Subgrantees are subject to procedures outlined in OEO Fiscal Guidance and Procedural Manual; Technical Assistance Memorandums and other guidance provided by the federal funding agency and/or the State.

V.8.2 Administrative Expenditure Limits

For the ten percent (10%) allowable for administration, the State will allocate five percent (5%) of this amount to subgrantees and retain the other five percent (5%). An additional five percent (5%) will be made available to subgrantees receiving grants of less than \$350,000 of new DOE money.

V.8.3 Monitoring Activities

South Carolina Office of Economic Opportunity (SC OEO) monitoring staff will conduct comprehensive monitoring of each Subgrantee at least once a year, provide a written report to the Subgrantee and maintain a file related to the monitoring. This file will be accessible by DOE during its monitoring visits. The comprehensive monitoring will include the following areas:

SC OEO Programmatic & Management Monitoring Staff

- Subgrantee Review
- Financial/Administrative
- Equipment/Inventory/Materials
- Eligibility
- Rental
- Feedback and Reporting
- Energy Audits
- Field Work
- Health & Safety
- Quality Assurance
- Training & Technical Assistance
- Program Overview (Client File Review, Work Orders, etc.)
- Inventory
- Energy Audits
- Qualifications & Training
- Weatherization of Units
- Final Inspections

SC OEO will complete reviews of at least 10% percent of each Subgrantee's completed weatherized units (with DOE funds). Also, units in progress will be reviewed.

If significant deficiencies are discovered, such as health and safety violations, poor quality installation of materials, major measures missed, SC OEO will require the subgrantee to take appropriate corrective action to resolve the outstanding issues within 45 days. SC OEO will conduct a follow-up monitoring visit and will inspect additional units until it can be assured that all deficiencies are resolved.

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SC OEO Weatherization Staff

- Paul Younginer, Senior Manager for Weatherization
- Jonathan Gieseler, Program Coordinator
- Jude McCaffrey, Program Coordinator

SC OEO Fiscal Monitoring Staff

- Diana Graham, Senior Manager for Fiscal Monitoring
- Shawanda Baker, Fiscal Auditor

Fiscal monitoring includes the following:

- Financial Management/Accounting Systems and Operations
- Audits
- Payroll/Personnel
- Vehicles and Equipment
- Procurement
- Sub-awards/Subgrantee Monitoring
- Invoicing
- Records Retention

A report of the fiscal monitoring results will be submitted to the Executive Director. A copy of the report will also be submitted to the Agency's Board members. Should the Agency be required to submit a response to the monitoring results; the response is to be received within thirty (30) days from the date of the report.

An Agency will be notified by telecommunications or written correspondence if a response is not received within the required timeframe. Follow-up procedures may also include an on-site visit to determine if corrective actions have been taken and the issue resolved.

After the monitoring review is completed, the SC OEO will brief the Subgrantee on the observations and findings generated by the monitoring visit during the exit briefing. If Health and Safety issues that present imminent danger to people in the house are found during a visit, SC OEO will instruct the Subgrantee to immediately resolve the issue(s). Sensitive or significant noncompliance findings, such as waste, fraud, or abuse will be reported to DOE immediately. Following the review, SC OEO will prepare a written report for the Subgrantee that describes the current monitoring assessment which will identify any findings, concerns, recommendations, commendations, best practices and any corrective actions, if applicable. Subgrantee noncompliance or repeated unresolved findings (based on a minimum of 2 monitoring visits at a Subgrantee) will be reported immediately to DOE.

SC OEO will track the results of monitoring of the Subgrantees and develop a monitoring analysis overview that identifies any outstanding issues, needs, strengths, and weaknesses.

V.8.4 Training and Technical Assistance Approach and Activities

The major objective of the Training and Technical Assistance is to provide subgrantees with the information and training required to administer and operate in compliance with DOE and State rules and regulations. Subgrantees will be applying to BPI to qualify for the Quality Control Inspector (QCI) training/exam. Subgrantees will be obtaining their QCI training/exam at the nearest approved training facility. Subgrantees and the State office are required to have at least one certified Quality Control Inspector by April 1, 2015.

Training and technical assistance will be provided through on-site visits or statewide training sessions. Any out-of-state training meetings or conferences must receive prior approval from OEO.

After concluding a training or technical assistance activity, a T&TA report will be completed to document which trainer conducted the activity, what training or assistance was provided, when and where the activity occurred and which service provider staff participated in the activity. This report will be completed by each agency and forwarded to OEO for review.

OEO will provide training and technical assistance to all subgrantees as described in the following plan.

1) Routine Technical Assistance - Technical assistance covering any programmatic aspect of operations can be provided during monitoring visits by the

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monitoring staff or at any time the subgrantee encounters a problem. If major problems are identified during the monitoring field visit, more extensive technical assistance will be scheduled in the immediate future following the monitoring visit.

2) State Training - Two statewide trainings will be scheduled by OEO through the South Carolina Association of Community Action Partnerships. Appropriate weatherization subgrantee staff are required to attend. Funds are made available to support the expenses incurred while attending the training for subgrantee weatherization staff only.

3) On-Site Training - Training will be conducted as needed by SC OEO.

Anticipated Training Activities

- Combustion Appliance Zone testing
- NEAT and MHEA training
- ASHRAE 62.2 (2013)
- Certified Renovator/Lead Safe Weatherization Refresher course
- Mobile Home Wall Insulation

Training sessions will be coordinated by OEO.

Quality Control Inspector

- Only a certified Home Energy Professional (HEP) Quality Control Inspector (QCI) can conduct the final inspection of a completed dwelling.
- The QCI credentials must be approved by the State office prior to any inspections being performed. Note: The subgrantee must submit a copy of the QCI Certificate to SC OEO.
- The Subgrantee's designated person will have a maximum of two (2) times to pass the QCI exam. If the designated person does not pass the QCI exam the first time, SC OEO will facilitate peer training with a state office or subgrantee QCI person. If the designated person does not pass on the second attempt, the subgrantee must select another person.
- SC OEO will maintain a state-wide list of QCI certified contractors in order to insure that one or more will be available to inspect dwellings at other Subgrantees in the event that a agency does not have a certified QCI by April 1, 2015. Subgrantees may contract with an out-of-state QCI vendor to conduct final inspections.
- The State office will monitor the performance of the QCI during Subgrantee on-site monitoring visits.
- Any QCI who is not following the Weatherization Procedures and Guidelines or reporting requirements will not be allowed to continue performing that function for any Subgrantee.

Every DOE WAP unit reported as a "completed unit" will receive a final inspection by a certified Quality Control Inspector (QCI) who possesses the knowledge, skills and abilities in the National Renewable Energy Laboratory (NREL) Job Task Analysis for Quality Control Inspectors.

The QCI will ensure that:

- All work meets the minimum specifications outlined in the SWS in accordance with 10 CFR 440;
- Every client file will have a signed form that certifies that the unit had a final inspection and that all work meets the required standards. Any "completed units" that have also been monitored by SC WAP will have an additional certification form in the client file - one for each inspection;
- An assessment of the original audit will be available in the client file confirming that the measures called for on the work order were appropriate and in accordance with audit procedures and protocols.

Quality Control Inspection Policies

- Subgrantees are required to submit a copy of the person's QCI certificate to SC OEO to validate the QCI credential. If a final inspection is conducted by a non-QCI individual, SC OEO will issue a warning to the subgrantee. The subgrantee will be required to submit a detailed explanation to SC OEO. The subgrantee will be responsible to acquire a QCI to inspect the affected dwellings. If a final inspection is conducted by a non-QCI individual a second time, SC OEO may issue a suspension.
- Most of the subgrantees will have an individual that functions as both the auditor and the quality control inspector. In these cases, SC OEO will perform

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WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0006183, State: SC, Program Year: 2015)

quality assurance reviews of at least 10% of all such completed units.

An option to certify “completed units” could utilize an Independent Auditor/QCI perform the audit, create the work order, and perform the final quality control inspection. Such an individual would not participate in any of the actual work on the home. In this case, the State office HEP QCI would perform quality assurance reviews of at least 10% of all such completed units. A quality assurance plan will ensure that any individual functioning as both the auditor and the quality control inspector would be able to consistently perform both tasks.

SC WAP will develop a training and certification plan to ensure that there are a sufficient number of certified individuals available to meet the requirements of Section 3.

Timeline: Beginning April 1, 2015, all units reported to DOE as completed will be inspected to ensure compliance with the specifications outlined in the SWS

Tier 1 Training

Consists of comprehensive occupation specific training that follows a curriculum aligned with the JTA. QCI training will be conducted at an accredited IREC training center or a representative from an accredited IREC training center will travel to the State and conduct two regional training sessions. All subgrantee inspectors and State monitoring staff are required to participate in the QCI training sessions.

Tier 2 Training

During PY 2015, the following training classes will be conducted:

- Field Guide (aligned with SWS)
- Procedures and Guidelines
- NEAT/MHEA
- ASHRAE 62.2 (2013)
- Combustion Appliance Safety

Weatherization Worker and Contractor Training

Initially, any crew member or contractor interested in performing weatherization work must have taken the following training classes:

Weatherization Worker

- OSHA Construction – 10 hour
- Lead Safe Weatherization

Contractor or Field Supervisor

- OSHA Construction – 30 hour
- Lead Renovation, Repair, and Painting
- ASHRAE 62.2 (2013)

Each subgrantee is responsible for making certain that all contractors performing weatherization work are aware of and trained on current workmanship standards, as well as new workmanship requirements being implemented in WAP, State guidelines, and requirements. Licenses and proof of insurance must be provided along with appropriate JTA certifications.

Crew Leader

The Crew Leader is responsible for supervising the retrofitting activities specified in the scope of work, and is the on-site authority for interacting with the client plus managing personnel and materials on the job site in a safe and effective manner. The Crew Leader is responsible for quality control, testing procedures, documentation, and conducting a final walk through to ensure that all work is completed in a satisfactory manner. The Crew Leader must have or acquire EPA Lead-Safe Certification and other job-related certifications as defined by the State Weatherization Office. The Crew Leader must have working knowledge of applicable regulations and building codes (including U.S. Department of Energy (DOE) program regulations/policy and Environmental Protection Agency (EPA) guidelines for asbestos, lead, mold, and other health hazards); demonstrate retrofit techniques (e.g. air tightening, duct sealing, insulation) and job safety skills (including the ability to select appropriate Personal Protection Equipment (PPE) for a particular task, utilize basic hand and power tool, apply basic first aid to treat common job-site injuries, and lead safe work procedures); instruct and explain to crew members basic tenets of Building Science (e.g. heat, moisture, pressure flow; ventilation; thermal and pressure boundary).

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(Grant Number: EE0006183, State: SC, Program Year: 2015)

Installers

The Retrofit Installer installs energy-efficiency measures to site built or manufactured housing using a variety of building science best practices to improve safety, comfort, durability, indoor air quality, and energy efficiency. Any Retrofit Installer must have, or acquire, EPA Lead-Safe Certification and other job-related certifications as defined by the State Weatherization Office; must read and accurately interpret Job Scope documents, safety documents, and equipment instructions; demonstrate ability to use hand tools and job site equipment (including blower door, ladders, lighting, and PPE).

Energy Auditor

The Energy Auditor assesses the home before the work begins for energy savings opportunities. The Energy Auditor demonstrates ability to apply knowledge of Building science, Codes of conduct, Forms, and Health & Safety issues. The Energy Auditor collects information and tests the building components for an Energy Audit using State-approved methods and procedures including, but not limited to, Weatherization Assistant computer program. The task includes writing a scope of work for the crew; evaluating the energy efficiency, health, and safety of a home; and conducting field measurements. The Energy Auditor produces this information as a report and makes recommendations to the Agency.

Technicians

Technicians are required to be licensed in HVAC and electric. Technicians shall maintain their professional licenses in accordance with South Carolina Labor, License, and Regulation.

Client Education

SC WAP will continue to require WAP Subgrantees to provide client education to each WAP client. Subgrantees will be required to provide (at a minimum) educational materials in verbal and written format.

Vendor Contracts

By September 30, 2015, all vendor contracts will contain language which clearly documents the specifications for work as outlined in this section.

A) Inspection and Monitoring of Work Using Guidelines & Standards for Subgrantees and State Office

All subgrantees have been instructed to follow the final inspection requirements indicated in Section V.5 of this State plan.

Quality Control Inspectors

- Only a certified Home Energy Professional (HEP) Quality Control Inspector (QCI) can conduct the final inspection of a completed dwelling.
- The QCI credentials must be approved by the State office prior to any inspections being performed. Note: The subgrantee must submit a copy of the QCI Certificate to SC OEO.
- The Subgrantee's designated person will have a maximum of two (2) times to pass the QCI exam. If the designated person does not pass the QCI exam the first time, SC OEO will facilitate peer training with a state office or subgrantee QCI person. If the designated person does not pass on the second attempt, the subgrantee must select another person.
- Majority of the subgrantees have at least one QCI on staff. Three subgrantees will be hiring an out-of-state QCI subcontractor to perform inspections until a QCI is in place at the agency.
- The State office will monitor the performance of the QCI during Subgrantee on-site monitoring visits.
- Any QCI who is not following the Weatherization Procedures and Guidelines or reporting requirements will not be allowed to continue performing that function for any Subgrantee.

Every DOE WAP unit reported as a "completed unit" will receive a final inspection by a certified Quality Control Inspector (QCI) who possesses the knowledge, skills and abilities in the National Renewable Energy Laboratory (NREL) Job Task Analysis for Quality Control Inspectors.

The QCI will ensure that:

- All work meets the minimum specifications outlined in the SWS in accordance with 10 CFR 440;
- Every client file will have a signed form that certifies that the unit had a final inspection and that all work meets the required standards. Any "completed units" that have also been monitored by SC WAP will have an additional certification form in the client file - one for each inspection;

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- An assessment of the original audit will be available in the client file confirming that the measures called for on the work order were appropriate and in accordance with audit procedures and protocols.

Quality Control Inspection Policies

- Subgrantees are required to submit a copy of the person's QCI certificate to SC OEO to validate the QCI credential. If a final inspection is conducted by a non-QCI individual, SC OEO will issue a warning to the subgrantee. The subgrantee will be required to submit a detailed explanation to SC OEO. The subgrantee will be responsible to acquire a QCI to inspect the affected dwellings. If a final inspection is conducted by a non-QCI individual a second time, SC OEO may issue a suspension.
- Most of the subgrantees will have an individual that functions as both the auditor and the quality control inspector. In these cases, SC OEO will perform quality assurance reviews of at least 10% of all such completed units.
- An option to certify "completed units" could utilize an Independent Auditor/QCI perform the audit, create the work order, and perform the final quality control inspection. Such an individual would not participate in any of the actual work on the home. In this case, the State office HEP QCI would perform quality assurance reviews of at least 10% of all such completed units. A quality assurance plan will ensure that any individual functioning as both the auditor and the quality control inspector would be able to consistently perform both tasks.

SC WAP will develop a training and certification plan to ensure that there are a sufficient number of certified individuals available to meet the requirements of Section 3.

Timeline: Beginning April 1, 2015, all units reported to DOE as completed will be inspected to ensure compliance with the specifications outlined in the SWS.

B) Training to Implement and Maintain Guidelines and Standards

The State office training plan will follow the Tier 1 and Tier 2 training categories as outlined in the WPN 14-04, Section 4 and as required, will meet the NREL Job Task Analysis (JTA) for which the worker is employed. Following is a description of the training to be provided and a tentative time line for completing each training activity.

Tier 1 Training

Consists of comprehensive occupation specific training that follows a curriculum aligned with the JTA. QCI training will be conducted at an accredited IREC training center or a representative from an accredited IREC training center will travel to the State and conduct two regional training sessions. All subgrantee inspectors and State monitoring staff are required to participate in the QCI training sessions.

Tier 2 Training

During PY 2015, the following training classes will be conducted:

- Field Guide (aligned with SWS)
- Procedures and Guidelines
- NEAT/MHEA
- ASHRAE 62.2 (2013)
- Combustion Appliance Safety

Weatherization Worker and Contractor Training

Initially, any crew member or contractor interested in performing weatherization work must have taken the following training classes:

Weatherization Worker

- OSHA Construction – 10 hour
- Lead Safe Weatherization

Contractor or Field Supervisor

- OSHA Construction – 30 hour

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WEATHERIZATION ASSISTANCE PROGRAM (WAP)
STATE PLAN/MASTER FILE WORKSHEET

(Grant Number: EE0006183, State: SC, Program Year: 2015)

- Lead Renovation, Repair, and Painting
- ASHRAE 62.2 (2013)

Each subgrantee is responsible for making certain that all contractors performing weatherization work are aware of and trained on current workmanship standards, as well as new workmanship requirements being implemented in WAP, State guidelines, and requirements. Licenses and proof of insurance must be provided along with appropriate JTA certifications.

V.9 Energy Crisis and Disaster Plan

Not applicable.

State of South Carolina



Office of the State Auditor

1401 MAIN STREET, SUITE 1200
COLUMBIA, S.C. 29201

RICHARD H. GILBERT, JR., CPA
DEPUTY STATE AUDITOR

(803) 253-4160
FAX (803) 343-0723

March 10, 2014

The Honorable Nikki R. Haley, Governor
South Carolina Governor's Office
State House
Columbia, South Carolina

This report on the audit of the basic financial statements of the South Carolina Governor's Office and the accompanying schedule of expenditures of federal awards as required by the U.S. Office of Management and Budget Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*, for the fiscal year ended June 30, 2013, was issued by DeLoach & Williamson, L.L.P., Certified Public Accountants, under contract with the South Carolina Office of the State Auditor.

If you have any questions regarding this report, please let us know.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Richard H. Gilbert, Jr.", written in a cursive style.

Richard H. Gilbert, Jr., CPA
Deputy State Auditor

RHGjr/trb

SOUTH CAROLINA GOVERNOR'S OFFICE

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - JUNE 30, 2013

-CONTINUED-

Financial Statement Findings

No financial statement findings.

Federal Awards Findings and Questioned Costs

Finding 2013-001

Programs Affected:

81.042 - Weatherization Assistance for Low Income Persons (Grant number DOE-EE0006183)

93.568 - Low Income Home Energy Assistance (Grant numbers G-11B1SCLIEA, G-12B1SCLIEA, G-13B1SCLIEA)

93.569 - Community Services Block Grant (Grant numbers G-11B1SCCOSR, G-12B1SCCOSR, G-13B1SCCOSR)

Questioned Costs: None

Criteria: In accordance with U.S. Department of the Treasury regulations at 31 CFR part 205, the Office should ensure that the time elapsing between the transfers of Federal funds from the Office to the disbursement of funds for program purposes by the sub-recipient is minimal.

Condition and Context: During our audit of the programs above we noted that certain amounts provided to sub-recipients were not being disbursed by the sub-recipient for program purposes in a timely manner. Some sub-recipients were holding over \$500,000 for more than six months without using the funds. Additionally, the Office continued to provide funding for the new program year before all funding from the prior program year was expended by the sub-recipient.

Cause: Management of the Programs failed to ensure that federal funds were being expended by the sub-recipients before sending additional funding to the sub-recipients.

Effect: The effect of the above is a compliance finding over Cash Management.

Recommendation: We recommend that management improve policies and procedures to ensure that funds provided to a sub-recipient are spent for program purposes in a minimal time after transfer. Additionally, we recommend that management ensure that the sub-recipients understand that the funds will still be allocated to them as they have been in the past, but if they are not able to disburse the funds for program purposes then the Office should be notified immediately so that the funds can be reallocated to other Community Action Agencies that can use the funding.

Management's Response: Management acknowledges that in some cases the cash management act has not been followed. Management is creating new policies and procedures to comply with federal regulations while working with the Community Action Programs to minimize any negative effect the policy change could have on their ability to operate. Also at the time of initial disbursement the

SOUTH CAROLINA GOVERNOR'S OFFICE

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - JUNE 30, 2013

-CONTINUED-

Office of Economic Opportunity ("OEO") had a new fiscal director and interim executive director and followed procedures that had been done in prior years. OEO has enacted policies to recapture unexpended funds and re-allocate them as federal guidelines allow. According to CSBG legislation all CSBG funds are sub grantees and OEO is obligated to disburse regardless of funds on hand.

SOUTH CAROLINA GOVERNOR'S OFFICE

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - JUNE 30, 2013

-CONTINUED-

Finding 2013-002

Programs Affected:

93.568 - Low Income Home Energy Assistance (Grant numbers G-11B1SCLIEA, G-12B1SCLIEA, G-13B1SCLIEA)

Questioned Costs: None

Criteria: The *LIHEAP Carryover and Reallotment Report (OMB No. 0970-0106)* – Grantees must submit a report no later than August 1 indicating the amount expected to be carried forward for obligation in the following fiscal year and the planned use of those funds. Funds in excess of the maximum carryover limit are subject to reallotment to other LIHEAP grantees in the following fiscal year, and must also be reported (42 USC 8626).

Condition and Context: During our testing of the Low Income Home Energy Assistance program we noted that the LIHEAP Carryover and Re-allotment Report was not submitted by the deadline of August 1, 2012 for the 2012 grant funds.

Cause: Management of the Programs failed to ensure that the LIHEAP Carryover and Re-allotment Report was submitted by the deadline of August 1, 2012 for the 2012 grant funds.

Effect: The effect of the above is a compliance finding over Special Reporting.

Recommendation: We recommend that management ensure that all deadlines for reporting information to federal agencies are met.

Management's Response: Management did not file the LIHEAP Carryover and Re-allotment Report by the August 1, 2012 deadline. The report was filed on August 3, 2012 by former fiscal manager. Office of Economic Opportunity has a new director since that time, as well as a new senior manager for fiscal services. Filing deadlines are now being met for these reports. OEO has also instituted a new tracking system of all federal reports to be monitored by Director and administrative staff to help ensure timely submission.

SOUTH CAROLINA GOVERNOR'S OFFICE

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - JUNE 30, 2013

-CONTINUED-

Finding 2013-003

Programs Affected:

81.042 - Weatherization Assistance for Low Income Persons (Grant number DOE-EE0006183)

Questioned Costs: None

Criteria: In accordance with OMB-Circular A-133 requirements, the Office should ensure that the SF-425, *Federal Financial Report* is filed as required.

Condition and Context: During our testing of the Weatherization Assistance Programs we noted that the financial reports for March and June 2013 were not submitted in a timely manner to the US Department of Energy and were in fact submitted approximately six months after the end of the period.

Cause: Management of the Programs failed to ensure that the financial reports for March and June 2013 were not submitted in a timely manner to the United States Department of Energy ("DOE").

Effect: The effect of the above is a compliance finding over Reporting.

Recommendation: We recommend that management ensure that all deadlines for reporting information to federal agencies are met.

Management's Response: Required reporting for the Weatherization grants cannot be completed in the electronic system until DOE has approved the filing of a previous quarter. As of December 4, 2013 the DOE had not approved the March 2013 quarterly submission even though there were no errors in the report. It appears that DOE is that far behind in approving data.

The Office of Executive Policy and Programs ("OEPP") is in the process of hiring additional staff that will assist with the reporting requirements of this grant as well as other areas.

SOUTH CAROLINA GOVERNOR'S OFFICE

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - JUNE 30, 2013

-CONTINUED-

Finding 2013-004

Programs Affected:

- 14.231 - Emergency Solutions Grant Program (Grant numbers E-12-DC-45-0001, E-13-DC-45-0001)
- 14.262 - ARRA - Homeless Prevention and Rapid Re-Housing Program (Grant number S09-DY-45-0001)

Questioned Costs: None

Criteria: In accordance with OMB-Circular A-133 requirements, the Office should perform procedures to provide reasonable assurance that the sub recipient obtained required audits and takes appropriate corrective action on audit findings.

Condition and Context: During our testing we noted that the Office has a control to ensure that all sub-recipients that receive Federal funding submit an audit report if required or a form that states the reason an audit report was not provided. However, upon further review of the listing of reports and the listing of agencies receiving funding we determined that the Office is not following up with all agencies to ensure they have an audit report or a form for each entity as required. Additionally, while reviewing the files we noted an audit report that had not been reviewed because it was not on the listing of agencies that are required to send an audit report and the follow-up procedures were not performed.

Cause: Management of the Programs failed to ensure that all sub-recipients that receive Federal funding submit an audit report if required or a form that states the reason an audit report was not provided.

Effect: The effect of the above is a compliance finding over Sub-recipient Monitoring.

Recommendation: We recommend that management ensure that all agencies that are required to have a single audit performed have provided the reports to the Office and that the submitted reports are reviewed in a timely manner.

Management's Response: The control was in place to verify that all required audit reports from sub-grantees be submitted on a timely basis. Follow up procedures were not performed to obtain the reports for a limited number of subgrantees. Management concurs that not all audit reports required from subgrantees were received. The grant award from OEPP to subgrantees did not allow for penalties when subgrantees did not provide required documents on a timely basis. This oversight will be corrected on the next grant award to sub-recipients. In addition to this, the agency is hiring an additional auditor to assist programs in tracking the receipt of required financial documents and is implementing an electronic filing system that will allow better tracking and retrieval of financial documents from sub-grantees.

SOUTH CAROLINA GOVERNOR'S OFFICE

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - JUNE 30, 2013

-CONTINUED-

Finding 2013-005

Program Affected:

14.231 - Emergency Solutions Grant Program (Grant numbers E-12-DC-45-0001,
E-13-DC-45-0001)

Questioned Costs: None

Criteria: Each grantee must match the funding provided by U.S. Department of Housing and Urban Development (HUD) under its ESG Program with an equal amount from sources other than those provided under the ESG Program. These funds must be provided after the date of the grant award. A grantee may comply with this requirement by providing the supplemental funds itself, or through supplemental funds or voluntary efforts provided by any State recipient or non-profit recipient (sub recipient), as appropriate. The exception is that a State grantee is not required to match the first \$100,000 of assistance provided to it, but the benefit of the unmatched amount must be shared with local governments and other sub recipients (24 CFR section 576.51).

Condition and Context: During our testing we noted that all grant Funds are required to be matched. Some funds were matched with documentation from invalid sources.

Effect: The effect of the above is a compliance finding over Matching, Level of Effort, Earmarking.

Cause: Management of the Programs failed to ensure that all funds were properly matched.

Recommendation: We recommend that management review match requirements and ensure that sub-recipients and the Office are matching funds as required.

Management's Response: Because of the finding by the auditor, OEO has requested that those agencies which used equity as a portion of match funds determine through appropriate measures the market value of office rent for the space used by the program and resubmit match amounts based on the fair value of rent rather than equity.

SOUTH CAROLINA GOVERNOR'S OFFICE

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - JUNE 30, 2013

-CONTINUED-

Finding 2013-006

Program Affected:

- 93.568 - Low Income Home Energy Assistance (Grant numbers G-11B1SCLIEA, G-12B1SCLIEA, G-13B1SCLIEA)
- 93.569 - Community Services Block Grant (Grant numbers G-11B1SCCOSR, G-12B1SCCOSR, G-13B1SCCOSR)
- 81.042 - Weatherization Assistance for Low Income Persons (Grant number DOE-EE0006183)
- 14.231 - Emergency Solutions Grant Program (Grant numbers E-12-DC-45-0001, E-13-DC-45-0001)

Questioned Costs: None

Criteria: The Federal Funding Accountability and Transparency Act ("FFATA") requires all Prime Grant Recipients awarded a new federal grant greater than \$25,000 to submit a subaward report by the end of the month following the month in which the prime recipient awards any subaward greater than or equal to \$25,000. This report is submitted through the various FFATA Subaward Reporting Systems (FSRS).

Condition and Context: During our testing we noted that the Office were not submitting subaward reports for any grants.

Cause: Management of the Office failed to ensure the Subaward Report was submitted through the FFATA Subaward Reporting Systems.

Effect: The effect is the noncompliance with the Reporting compliance requirement.

Recommendation: We recommend that management of the Office implement policies and procedures to ensure that all reporting requirements are met in accordance with established guidelines.

Management's Response: Management concurs that these reports were not filed on a timely basis. The agency was unaware of the reporting requirement for these grants prior to the audit discovery. OEPP is currently working to set the agency up as a user on the website and to begin training on data to be provided.

SOUTH CAROLINA GOVERNOR'S OFFICE

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - JUNE 30, 2013

-CONTINUED-

Finding 2013-007

Program Affected:

- 93.568 - Low Income Home Energy Assistance (Grant numbers G-11B1SCLIEA, G-12B1SCLIEA, G-13B1SCLIEA)
- 93.569 - Community Services Block Grant (Grant numbers G-11B1SCCOSR, G-12B1SCCOSR, G-13B1SCCOSR)
- 81.042 - Weatherization Assistance for Low Income Persons (Grant number DOE-EE0006183)
- 14.231 - Emergency Solutions Grant Program (Grant numbers E-12-DC-45-0001, E-13-DC-45-0001)
- 14.262 - ARRA - Homeless Prevention and Rapid Re-Housing Program (Grant number S09-DY-45-0001)

Questioned Costs: None

Criteria: The Office should ensure that current policies and procedures over grants are enforced in accordance with applicable standards.

Condition and Context: During audit of the programs above we noted that each program has policies and procedures in place to allow for the proper compliance with grant requirements. However, due to staffing issues and less than adequate follow-up procedures these policies were not followed by staff of the Office.

Effect: The effect is the noncompliance with procedures as mentioned in findings 2013-001, 2013-002, 2013-003, 2013-004, 2013-005, and 2013-006.

Cause: Management of the Office failed to ensure that policies and procedures over grant compliance requirements are being followed by staff of the Office.

Recommendation: We recommend that management of the Office provide proper staffing and training to ensure that policies and procedures are being followed and continuously monitor grant requirements to ensure policies and procedures are updated with any new requirements.

Management's Response: Management agrees that policies and procedures over grants have not been enforced in all cases.

During fiscal year 2013 the program director for OEO resigned. In addition to that, in September 2013 three accountants who were heavily involved with grant accounting resigned, leaving the agency with new staff members who were not familiar with the agency's grants. Additionally OEO is currently in the process of filling two new staff positions, one of which will be involved with submission of timely reports.

Management has made training of staff a priority since that time, and will continue vigorous training schedules for all accounting staff involved with grants.

SOUTH CAROLINA GOVERNOR'S OFFICE
SCHEDULE OF FINDINGS AND QUESTIONED COSTS - JUNE 30, 2013

-CONTINUED-

Status of Prior Year Findings

No prior year findings.

The State



The State Media Company

NEWSPAPER • DIGITAL • MAGAZINES • DIRECT MAIL

Customer
SC OFFICE OF THE GOVERNOR

Payer Customer
SC OFFICE OF THE GOVERNOR

Customer Account
132798

Payer Account
132798

Customer Address
1205 PENDLETON ST
COLUMBIA SC 29201 USA

Payer Address
1205 PENDLETON ST
COLUMBIA SC 29201 USA

Customer Phone
803-734-0662

Payer Phone
803-734-0662

Sales Rep.
jbojko@charlotteobserver.com

Order Taker
jbojko@charlotteobserver.com

PO Number **Payment Method** **Blind Box**

Tear Sheets **Proofs** **Affidavits**
0 0 1

Net Amount **Tax Amount** **Total Amount**
\$577.75 \$0.00 \$577.75

Payment Amt **Amount Due**
\$0.00 \$577.75

Ad Number **Ad Size** **Color**
0001594565-01 1.0 X 54 Li <NONE>

Product Information **# Inserts** **Cost**

Placement/Classification

Position

Run Dates

Run Schedule Invoice Text

COL- The State:Print:COL-Full Run 2 \$562.75

0300 - Legals Classified

0301-Legals & Public Notices

2/28/2015, 3/1/2015

Public Hearing A Public Hearing will be held in Columbia on Friday, M

COL-upsell.ST.com:Online: 7 \$15.00

0300 - Legals Classified

0301-Legals & Public Notices

2/28/2015, 3/1/2015, 3/2/2015, 3/3/2015, 3/4/2015, 3/5/2015,

3/6/2015

Public Hearing A Public Hearing will be held in Columbia on Friday, M

Public Hearing

A Public Hearing will be held in Columbia on Friday, March 13, 2015 at 2:00 p.m. in room 364, Edgar A. Brown Building, 1205 Pendleton Street, Columbia, SC 29201. As the state's administering agency, the Governor's Office of Economic Opportunity will receive comments on the proposed State Plan for the PY 2015 Weatherization Assistance Program (WAP) for low-income households. The grant period is April 1, 2015 through March 31, 2016. The Federal Program is administered by the United States Department of Energy. Governing regulations are Title 10, Code of Federal Regulations, Part 440 Weatherization Assistance for Low-income Persons.

The proposed PY 2015 WAP State Plan will be available on Tuesday, March 3, 2015 at the office of each community action agency throughout the state and at the South Carolina Governor's Office of Economic Opportunity website link: <http://oeo.sc.gov/forms.htm>. Anyone wanting to submit comments may do so in writing prior to Friday, March 13, 2015. Comments on the WAP State Plan may be mailed to Mr. Paul Younginer, Senior Manager for Weatherization, 1205 Pendleton Street, Columbia, S.C. 29201, emailed to pyounginer@oepp.sc.gov, or faxed to (803) 734-0356 or Ms. Bertie McKie, Executive Administrator at bmckie@oepp.sc.gov. 1594565

Public Hearing

A Public Hearing will be held in Columbia on Friday, March 13, 2015 at 2:00 p.m. in room 364, Edgar A. Brown Building, 1205 Pendleton Street, Columbia, SC 29201. As the state's administering agency, the Governor's Office of Economic Opportunity will receive comments on the proposed State Plan for the PY 2015 Weatherization Assistance Program (WAP) for low-income households. The grant period is April 1, 2015 through March 31, 2016. The Federal Program is administered by the United States Department of Energy. Governing regulations are Title 10, Code of Federal Regulations, Part 440 Weatherization Assistance for Low-Income Persons.

The proposed PY 2015 WAP State Plan will be available on Tuesday, March 3, 2015 at the office of each community action agency throughout the state and at the South Carolina Governor's Office of Economic Opportunity website link: <http://oeo.sc.gov/forms.htm>. Anyone wanting to submit comments may do so in writing prior to Friday, March 13, 2015. Comments on the WAP State Plan may be mailed to Mr. Paul Younginer, Senior Manager for Weatherization, 1205 Pendleton Street, Columbia, S.C. 29201, emailed to pyounginer@oepp.sc.gov, or faxed to (803) 734-0356 or Ms. Bertie McKie, Executive Administrator at bmckie@oepp.sc.gov. 1594565

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The proposed PY 2015 WAP State Plan will be available on Monday, March 2, 2015 at the office of each community action agency throughout the state and at the South Carolina Governor's Office of Economic Opportunity website link: <http://oeo.sc.gov/forms.htm>. Anyone wanting to submit comments may do so in writing prior to Friday, March 13, 2015. Comments on the WAP State Plan may be mailed to Mr. Paul Younginer, Senior Manager for Weatherization, 1205 Pendleton Street, Columbia, S.C. 29201, emailed to pyounginer@oepp.sc.gov, or faxed to (803) 734-0356 or Ms. Bertie McKie, Executive Administrator at bmckie@oepp.sc.gov. 1594565

STATE AND LOCAL GOVERNMENTS RATE AGREEMENT

EIN: 1576000286-A1

DATE:09/18/2014

ORGANIZATION:

FILING REF.: The preceding agreement was dated 02/08/2013

South Carolina Governor's Office
1205 Pendleton St., Rm 460-A /Edgar A.
Brown Building
Columbia, SC 29201

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

SECTION I: INDIRECT COST RATES

RATE TYPES: FIXED FINAL PROV. (PROVISIONAL) PRED. (PREDETERMINED)

EFFECTIVE PERIOD

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE (%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PRED.	07/01/2014	06/30/2015	8.01	All	All Programs
PROV.	07/01/2015	06/30/2016	8.01	All	All Programs

*BASE

Direct salaries and wages including all fringe benefits.

ORGANIZATION: South Carolina Governor's Office

AGREEMENT DATE: 9/18/2014

SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

The fringe benefits are specifically identified to each employee and are charged individually as direct costs. The directly claimed fringe benefits are listed below.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

Equipment Definition -

Equipment means article of nonexpendable, tangible personal property having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit.

Fringe Benefits -

FICA

Worker's Compensation

Unemployment Insurance

Health Insurance

Life Insurance

NEXT PROPOSAL DUE DATE:

A proposal based on actual costs for fiscal year ending 06/30/14 is due by 12/31/14.

ORGANIZATION: South Carolina Governor's Office

AGREEMENT DATE: 9/18/2014

SECTION III: GENERAL

A. LIMITATIONS:

The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization were included in its indirect cost pool as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as indirect costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

B. ACCOUNTING CHANGES:

This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from indirect to direct. Failure to obtain approval may result in cost disallowances.

C. FIXED RATES:

If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future year(s) to compensate for the difference between the costs used to establish the fixed rate and actual costs.

D. USE BY OTHER FEDERAL AGENCIES:

The rates in this Agreement were approved in accordance with the authority in Office of Management and Budget Circular A-87, and should be applied to grants, contracts and other agreements covered by this Circular, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

E. OTHER:

If any Federal contract, grant or other agreement is reimbursing indirect costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of indirect costs allocable to these programs.

BY THE INSTITUTION:

South Carolina Governor's Office

(INSTITUTION)

Gary M. Anderson

(SIGNATURE)

GARY Anderson

(NAME)

Director of Administration

(TITLE)

SEPT. 19, 2014

(DATE)

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

Darryl W. Mayes - A

Digitally signed by Darryl W. Mayes - A
DN: c=US, o=U.S. Government, ou=HHS, ou=PSC,
ou=People, 0.9.2342.19200300.100.1.1=2000731669,
cn=Darryl W. Mayes - A
Date: 2014.09.19 11:57:20 -0400

(SIGNATURE)

for Arif Karim

(NAME)

Director, Cost Allocation Services

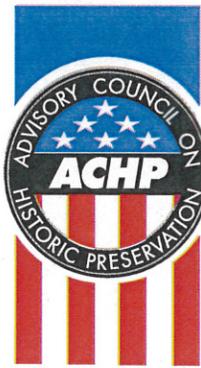
(TITLE)

9/18/2014

(DATE) 7617

HHS REPRESENTATIVE: Jill Wilson

Telephone: (214) 767-3261



Preserving America's Heritage

March 11, 2013

**PROGRAM COMMENT TO EXTEND THE DURATION OF AGREEMENTS EXECUTED
UNDER THE DEPARTMENT OF ENERGY'S PROTOTYPE PROGRAMMATIC
AGREEMENT**

I. Introduction

The Department of Energy's (DOE) Office of Weatherization and Intergovernmental Programs (OWIP) provides financial assistance to state agency applicants for three weatherization related grant programs: Weatherization Assistance Program (WAP), State Energy Program (SEP), and Energy Efficiency and Conservation Block Grant (EECBG). DOE has determined that activities carried out by these funded programs constitute undertakings with the potential to affect historic properties. Therefore, DOE must comply with Section 106 and its implementing regulations, 36 CFR Part 800, for these undertakings.

The Advisory Council on Historic Preservation (ACHP) and DOE began a partnership in August 2009 to explore possible program alternatives to tailor the Section 106 process for these undertakings in anticipation of the dramatic increase in project funding as a result of American Recovery and Reinvestment Act. DOE, in consultation with the ACHP and the National Conference of State Historic Preservation Officers (NCSHPO), developed a prototype Programmatic Agreement (PA) to cover three weatherization related grant programs and to create efficiencies in the administration of these OWIP grants: WAP, SEP, and EECBG. The prototype PA identifies a category of routine undertakings with limited potential to affect historic properties and exempts them from further review. The ACHP's Chairman designated the prototype PA on February 8, 2010. Under the terms of the prototype PA, DOE, the State Historic Preservation Officer (SHPO), and the relevant state agency receiving OWIP grants can execute subsequent agreements without ACHP involvement. Execution of an agreement pursuant to the prototype PA presumes that DOE will conduct its government-to-government consultation responsibilities with federal recognized Indian tribes and its Section 106 consultation requirements with Native Hawaiian organizations. If DOE is notified that a particular undertaking may result in an adverse effect on historic properties of religious and cultural significance to Indian tribes or Native Hawaiian organizations, DOE must invite such Indian tribes or Native Hawaiian organizations to participate in consultation for the affected project.

Since its designation, DOE has used the prototype PA to successfully negotiate and execute 44 programmatic agreements with SHPOs and state agencies receiving DOE OWIP grants. DOE's direct recipients may use the executed state agreement developed under the prototype PA as well. The prototype PA initially proposed a three year duration clause from the time of execution and filing with the ACHP. As a result, the 44 agreements executed under the prototype PA have different expiration dates. Several of the agreements will expire in mid-March 2013. It is now DOE's and the ACHP's intention that these agreements should extend beyond the three year term.

ADVISORY COUNCIL ON HISTORIC PRESERVATION

1100 Pennsylvania Avenue NW, Suite 803 • Washington, DC 20004
Phone: 202-606-8503 • Fax: 202-606-8647 • achp@achp.gov • www.achp.gov

II. Background

During the development of the prototype PA in 2009, the ACHP invited SHPOs, Indian tribes, and Native Hawaiian organizations to participate in a series of teleconferences to discuss the prototype PA and share information on which DOE programs would be covered by the new program alternative. The tribes that participated in the teleconferences noted that the vast majority of funding from the three programs did not relate to undertakings on or affecting historic properties on tribal lands, and were not interested in participating further in the process to develop the prototype PA. The SHPOs were generally supportive of DOE's intent to pursue a program alternative such as the prototype PA that would assist them in managing their workload by streamlining the review of certain undertakings. Further, the SHPOs liked the format of the prototype PA as they would be able to modify individual agreements under its terms to account for state-specific issues.

As a result of the partnership with ACHP and the development and the administration of the prototype PA, DOE established internal and external training; recognized best management practices; and utilized DOE guidance and directives to ensure that the DOE weatherization programs were properly implemented in compliance with Section 106. The prototype PA established review efficiencies and protocols which allowed for the grant programs to expedite the weatherization efforts of the homes of many low income individuals across the country, as well as assisted communities in funding energy efficiency, renewable energy, and weatherization projects for public buildings such as schools and courthouses. Due to the success of the prototype PA for DOE's weatherization programs, other departments within DOE have sought ACHP's and OWIP staff's guidance and direction for meeting their historic preservation compliance responsibilities.

In the past year, DOE and the ACHP have discussed how to extend and build upon the program established by the prototype PA. In December 2012, DOE and the ACHP held listening sessions with SHPOs. The discussions focused on the effectiveness of the prototype PA and the feasibility of pursuing a new program alternative. The SHPOs that participated in those listening sessions were generally supportive of the development, implementation, and effectiveness of the prototype PA and expressed a preference to continue using the PAs to provide streamlining of reviews and other review efficiencies. Further, in developing the text of this Program Comment, the ACHP provided an opportunity for SHPOs, Indian tribes, Native Hawaiian organizations, and state agencies to comment on its applicability and terms.

This Program Comment extends the duration of the existing 44 agreements executed under the prototype PA until December 31, 2020, and provides the same duration period for any future agreements that may be executed under the prototype PA. Nothing in this Program Comment alters or modifies any other provisions of the prototype PA or the 44 agreements, including the ability of the parties to amend or terminate an executed agreement prior to the expiration date.

III. Establishment and Authority

This Program Comment was issued by the ACHP on March 11, 2013 pursuant to 36 CFR 800.14(e).

IV. Date of Effect

This Program Comment went into effect on March 11, 2013.

V. Use of this Program Comment to Extend the Duration of the Existing Agreements Executed under the DOE Prototype PA and for New Agreements Executed pursuant to the Prototype PA

By the issuance of this Program Comment, the DOE may continue, through December 31, 2020, complying with its responsibilities under Section 106 of the National Historic Preservation Act for its WAP, SEP, and EECBG in the relevant States using the 44 agreements currently executed, including those agreements that were recognized by Stipulation III, and those to be executed, under the "Prototype Programmatic Agreement between the United States Department of Energy, the State Energy Office and the State Historic Preservation Office regarding EECBG, SEP and WAP Undertakings," designated by the ACHP on February 8, 2010, regardless of the duration clause of those agreements. However, if any of those agreements is terminated under its own terms, DOE may no longer use it to comply with its Section 106 responsibilities in the relevant State. This will provide continuity in the Section 106 review for those undertakings covered by the existing and any new agreements executed under the prototype PA. This Program Comment does not alter or modify any provisions of the prototype PA or the 44 executed agreements other than their duration clauses.

VI. Amendment

The ACHP may amend this Program Comment after consulting with DOE, NCSHPO, and other parties as appropriate, and publishing notice in the Federal Register to that effect.

VII. Sunset Clause

This Program Comment will terminate on December 31, 2020, unless it is amended to extend the period in which it is in effect.

VIII. Termination

The ACHP may terminate this Program Comment by publication of a notice in the Federal Register thirty (30) days before the termination takes effect.

Authority: 36 CFR § 800.14(e)

**PROGRAMMATIC AGREEMENT BETWEEN THE UNITED STATES
DEPARTMENT OF ENERGY, THE SOUTH CAROLINA ENERGY
OFFICE, THE SOUTH CAROLINA OFFICE OF ECONOMIC
OPPORTUNITY AND THE SOUTH CAROLINA STATE HISTORIC
PRESERVATION OFFICE REGARDING EECBG, SEP AND WAP
UNDERTAKINGS**

WHEREAS, the United States Department of Energy (DOE) administers the following financial assistance programs: *the Energy Efficiency and Conservation Block Grant Program* under the Energy Independence and Securities Act of 2007 (EECBG); *the State Energy Plan* under the Energy Policy and Conservation Act of 1975 and the State Energy Efficiency Programs Improvement Act of 1990 (SEP); and *the Weatherization Assistance Program (WAP)* for Low-Income Persons under Title IV of the Energy Conservation and Production Act, the Energy Policy Act of 2005, the Energy Independence and Security Act of 2007, and the American Recovery and Reinvestment Act of 2009 (ARRA); collectively referred to as the "Programs";

WHEREAS, the unprecedented levels of funding available to the Programs, due in large measure to ARRA, has created a large volume of projects requiring expedited historic preservation reviews to ensure the timely obligation of funds, that create new jobs, and improve local and state economies;

WHEREAS, the South Carolina State Historic Preservation Office (SHPO) is experiencing unprecedented numbers of requests for historic preservation review of undertakings funded by all Federal Agencies, including undertakings funded by the Programs;

WHEREAS, the South Carolina Energy Office is receiving financial assistance from DOE to carry out the EECBG and SEP Programs;

WHEREAS, the South Carolina Office of Economic Opportunity is receiving financial assistance from DOE to carry out the WAP Program;

WHEREAS, the projects funded by the Programs are undertakings subject to review under Section 106 of the National Historic Preservation Act, 16 U.S.C 470f (NHPA) and its implementing regulations at 36 CFR part 800 and include rehabilitation, energy efficiency retrofits, renewables, and weatherization (undertakings);

WHEREAS, DOE has determined that these undertakings may adversely affect properties that are listed in or eligible for listing in the National Register of Historic Places (National Register) and subject to the requirements of the National Historic Preservation Act (NHPA);

WHEREAS, in accordance with 36 CFR 800.14(b)(4), the Advisory Council on Historic Preservation (the ACHP) has designated this Agreement as a Prototype Programmatic Agreement (PA), which does not require the

participation or signature of the ACHP;

WHEREAS, DOE, the ACHP, and the National Conference of State Historic Preservation Officers (NCSHPO) have determined that the requirements of Section 106 can be more effectively and efficiently fulfilled if a programmatic approach is used to stipulate roles and responsibilities, exempt undertakings from Section 106 review, establish tribal protocols, facilitate identification and evaluation of historic properties, establish treatment and mitigation measures, and streamline the resolution of adverse effects;

WHEREAS, by memorandum dated August 28, 2009 (attached as Appendix C), DOE delegated certain tasks necessary for compliance with Section 106 of the NHPA to grantees and sub-grantees of funding from the Programs (Recipients);

WHEREAS, according to the August 28, 2009 memorandum, the Recipients are authorized, to initiate Section 106 compliance in accordance with 36 CFR 800.2 (c)(4);

WHEREAS, the undertakings covered under this PA are not located on Tribal lands and are primarily smaller scale activities and routine projects, without the potential for adversely affecting historic properties, rather than complex undertakings with a greater potential to adversely affect historic properties, which would require completion of the typical Section 106 review process;

WHEREAS, DOE and the ACHP were guided by the principles set forth in the ACHP's Affordable Housing Policy statement, adopted on November 9, 2006, in negotiating this Programmatic Agreement upon which this PA is based;

NOW, THEREFORE, DOE, the South Carolina Energy Office, the South Carolina Office of Economic Opportunity and the South Carolina SHPO agree that the Programs shall be administered in accordance with the following stipulations to satisfy DOE's Section 106 responsibilities for all individual undertakings of the Programs:

STIPULATIONS

DOE, the Recipients, and the SHPO shall ensure that the following stipulations are carried out:

I. Roles and Responsibilities

- A. DOE shall be responsible for providing oversight of the PA, executing PAs with SHPOs, participating in the resolution of disputes between the SHPO and the Recipients, and providing

technical assistance and guidance as needed. DOE shall be responsible for government-to-government consultation with Indian tribes, unless the Indian tribe agrees to the delegation of this responsibility to a Recipient.

- B. The Recipients shall be responsible for consulting with consulting parties and conducting Section 106 reviews in a timely manner, preparing documentation for the SHPO and DOE, and maintaining records on undertakings. Undertakings that involve properties greater than fifty (50) years old and are not listed on either Appendices A or B shall be submitted to the SHPO for review in accordance with this agreement.
- C. Recipients shall ensure that the provisions of this PA apply to its sub-awards.
- D. The Recipients are encouraged to use professionals that meet the Secretary of the Interior's *Professional Qualification Standards* (36 CFR Part 61) in conducting their Section 106 requirements.
- E. The SHPO shall be responsible for reviewing project documentation and participation in consultation as set forth in this PA.
- F. The ACHP shall be responsible for providing technical guidance, participating in dispute resolutions if appropriate, and monitoring the effectiveness of this PA.

II. Tribal Review

- A. Execution of this PA presumes that DOE will conduct its government-to-government responsibilities with federal recognized Indian tribes or its Section 106 consultation requirements with Native Hawaiian Organizations (NHO) consistent with Federal laws and regulations. The Recipients shall not substitute for DOE in matters related to potential effects on historic properties of cultural and religious significance to Indian tribes, except with the concurrence of the Indian tribe or NHO.
- B. DOE acknowledges that Indian tribes possess special expertise in assessing the National Register eligibility of properties with tribal religious and cultural significance, and requires the Recipients to consult with them, as appropriate, in identifying historic properties listed in or eligible for listing in the Area of Potential Effect (APE) of program areas.
- C. If the Recipients notify DOE that an undertaking may result in an adverse effect on cultural resources with tribal religious and cultural significance, DOE shall notify Indian tribes of individual undertakings that may result in an adverse effect on cultural resources with tribal religious and cultural significance and invite them to participate in consultations. Indian tribes and the Recipients may develop a bi-party agreement that outlines their review procedures for undertakings covered in a PA. Such agreements will be submitted to DOE for review and approval, and a copy sent to the ACHP for its records.

III. State Interagency Agreements

The Recipients may review an undertaking in accordance with the terms of an interagency agreement, in lieu of the other terms of this PA, if:

- 1) The interagency agreement was in negotiations by the Recipients and SHPO on or before February 5, 2010, and will be executed no later than February 19, 2010;
- 2) The Recipients and SHPO both agree through execution of this PA that the interagency agreement applies to the undertaking and provides a historic preservation review process that is similar to that provided by the other terms of this PA; and
- 3) DOE does not object to the use of the interagency agreement to fulfill the requirements of Section 106 of the NHPA for the undertakings.

IV. Exemptions from Section 106 review

- A. The Recipients shall not submit to the SHPO undertakings in accordance with Appendices A or B as they do not have the potential to cause effects on historic properties even when historic properties may be present. The Recipients and the SHPO may agree to modify Appendix A and/or Appendix B, with advance notification of such modifications to the ACHP and DOE. Recipients will maintain file records with verification that undertakings were determined to be exemptions for a period of three (3) years from project completion and make them available for review if requested by DOE or the ACHP.
- B. If a property has been determined to be ineligible for inclusion in the National Register within the last five (5) years from the date the Recipients made its application for DOE financial assistance, then no further review is required under this PA.
- C. Recipients of any of the Programs may utilize either Appendix A or Appendix B in identifying exempt undertakings, regardless of whether the Exhibit on which the undertaking relates to another federally funded program.

V. Review Procedures for Non-exempt Undertakings

- A. *For undertakings not exempted under Stipulation III or IV, if the Recipients have an executed Section 106 Agreement per 36 CFR part 800 for Community Development Block Grants (CDBG) with the SHPO that 1) is still in effect; 2) covers the same undertakings as the DOE grant programs; and 3) is up to date with reporting to the SHPO, no separate Section 106 review is needed.*
- B. Otherwise, the Recipients shall review the undertaking in accordance with Stipulations VI through X below, or consistent with SHPO approved historic preservation protocols.

VI. Identification and Evaluation

- A. The Recipients shall establish the Area of Potential Effect (APE) for all program undertakings defined in the DOE grant agreement for the State.
- B. The Recipients shall complete the identification and evaluation of historic properties utilizing existing information including the National Register, state surveys, and county and local surveys. In addition, the Recipients and SHPO may use or develop protocols that are consistent with 36 CFR Section 800.4 for the review of consensus determinations of eligibility.
- C. The Recipients shall consult with Indian tribes or NHOs to determine if there are historic properties of religious or cultural significance that were not previously identified or considered in surveys or related Section 106 reviews, as appropriate.
- D. Archaeology surveys are required only for new ground disturbing project undertakings and shall be limited in scope subject to the concurrence of Indian tribes or NHOs that may attach religious or cultural significance to historic properties in the project area. Project undertakings requiring more than minimal ground disturbance shall be forwarded to the SHPO and THPOs or Indian tribes or NHOs concurrently for review. E. In order to avoid potential delays, prior to initiating undertakings the SHPO may review the Recipients' scopes of work for above ground surveys and archaeology surveys that are deemed necessary to administer the Recipients' Programs and to implement the terms of this PA.
- E. The Recipients shall refer disputes regarding determinations of eligibility to DOE for review and referral to the Keeper of the National Register in accordance with 800.4(c)(2).

VII. Treatment of Historic Properties

- A. When the Recipients and the SHPO concur that an undertaking is designed and planned in accordance with the Secretary of the Interior's *Standards for the Treatment of Historic Properties* (36 CFR Part 68, July 12, 1995 *Federal Register*) (Standards), that undertaking will not be subject to further Section 106 review.
- B. The Recipients and SHPO will make best efforts to expedite reviews through a finding of "No Adverse Effect with conditions" when the Recipients and the SHPO concur that plans and specifications or scopes of work can be modified to ensure adherence to the Standards. If the undertaking cannot meet the Standards or would otherwise result in an adverse effect to historic properties, the Recipients will proceed in accordance with Stipulation VIII.

VIII. Resolution of Adverse Effects

- A. The Recipients shall consult with the SHPO, and Indian tribes or NHOs as appropriate, to resolve adverse effects. The Recipients will notify DOE of the pending consultation, and DOE will participate through its designated representative.
- B. The Recipients may use standard stipulations included in Attachment A of this PA, or as negotiated as part of this PA between the SHPO and the Recipients, or if the project warrants, use of an alternate PA due to the complexity of the project activity.
- C. Consultation shall be coordinated to be concluded in 45-days or less to avoid the loss of funding. In the event the consultation extends beyond this period, DOE shall formally invite the ACHP to participate in consultation. The ACHP will consult with DOE regarding the issues and the opportunity to negotiate a Memorandum of Agreement (MOA). Within seven (7) days after notification, the ACHP will enter consultation and provide its recommendation for either concluding the Section 106 review through an MOA or Chairman's comment from the ACHP to the Secretary of DOE within 21 days.
- D. In the case of an ACHP Chairman comment, DOE may proceed once DOE provides its response to the ACHP.

IX. Emergency Situation Undertakings

- A. When an emergency undertaking is required for historic properties associated with the undertakings, the Recipients shall allow SHPO five (5) business days to respond, if feasible. Emergencies exist when there is a need to eliminate an imminent threat to health and safety of residents as identified by local or County building inspectors, fire department officials, or other local or County officials.
- B. The Recipients shall forward documentation to the SHPO for review immediately upon notification that an emergency exists. Documentation should include a) nature of the emergency; b) the address of the historic property involved; c) photographs showing the current condition of the building; and d) the time-frame allowed by local officials to respond to, or correct, the emergency situation.
- C. The Recipients shall consider mitigation measures recommended by the SHPO and implement them, if feasible.

X. Public and Consulting Party Involvement

- A. The Recipients shall maintain a list of undertakings and shall make the documentation available to the public. The Recipients shall notify the SHPO if they are notified of other consulting parties or public interest in any undertakings covered under the terms of the PA.
- B. The Recipients, independently or at the recommendation of the SHPO, may invite interested persons to participate as consulting parties in the

consultation process for adverse effects in accordance with Stipulations VI, VII, and VIII.

XI. Administrative Coordination

- A. The Recipients, in consultation with the SHPO, may develop procedures allowing for the use of local reviews conducted by Certified Local Governments (CLG) when such procedures avoid the duplication of efforts.
- B. The Recipients, in consultation with the SHPO, may determine that an undertaking has already been reviewed under an existing Section 106 effect determination or agreement document, then no further Section 106 review under this PA is required.
- C. The SHPO shall provide comments to the Recipients within thirty (30) days, unless otherwise agreed upon by the SHPO and the Recipients, for reviews required under the terms of this PA with the exception of emergency undertakings. In the event that the SHPO fails to comment within the established period, the Recipients can assume the SHPO has concurred, and proceed.
- D. The Recipients shall advise sub-grantees in writing of the provisions in Section 110 (k) of the Act and will advise the sub-grantees that Section 106 reviews may be compromised when project undertakings are initiated prematurely.
- E. The SHPO and the Recipients shall make every effort to expedite Section 106 reviews for a period of less than the 30-day review when consistent with the terms of the DOE grant agreements and the Recipients intends to utilize the services of qualified professionals.
- F. For projects that will require either an Environmental Assessment or an Environmental Impact Statement under the National Environmental Policy Act (NEPA), nothing contained in this PA shall prevent or limit the Recipients and DOE from utilizing the procedures set forth in 36 CFR 800.8 to coordinate and conduct the historic preservation review in conjunction with the NEPA review.

XII. Discoveries

If Historic properties are discovered or unanticipated effects on historic properties located within a project's APE after the undertaking has been initiated, the Recipients will implement the following procedures:

- A. The Recipients shall immediately cease all operations for the portion of the undertaking with the potential to affect an historic property;
- B. The subgrantee shall advise the Recipients of the National Register eligibility of the historic property and the potential of the undertaking

- to impact its qualifying characteristics and an explanation of the whether the SHPO or Indian tribes and NHOs concur with proposed avoidance, treatment plan or mitigation plan;
- C. The Recipients or DOE shall notify Indian tribes or NHOs of any discoveries that have the potential to adversely affect sites or buildings of religious or cultural significance to them. After reviewing such discoveries, the Indian tribes or NHOs can request further consultation on the project by notifying DOE, ACHP, and the SHPO in writing.
 - D. The Recipients or subgrantee shall implement the avoidance, treatment or mitigation plan and advise the Recipients and DOE, if appropriate, of the satisfactory completion of the approved work. Once the approved work is complete the Recipient may resume the activities that were halted to address the discovery situation.

XIII. Dispute Resolution

- A. Should the SHPO object within the time frames outlined in this PA to any project undertakings, the Recipients shall **consult further with the SHPO** to attempt to remove the basis for the SHPO's objection. In the event that the SHPO's objection is not withdrawn, then the Recipients shall refer the matter to DOE. The Recipients shall forward all documentation relevant to DOE, who will notify and consult with the ACHP.
- B. The ACHP will provide its recommendations, if any, within 21 days following receipt of relevant documentation. DOE will take into account the ACHP's recommendations or formal comments in reaching a final decision regarding the dispute.

XIV. Reporting and Monitoring

- A. DOE, the ACHP, and the SHPO may monitor any undertakings carried out pursuant to this PA. The ACHP may review undertakings, if requested by DOE. DOE shall be entitled to address and make determinations on overall policy or administrative issues related to the implementation of these Programs.

- B. The Recipients shall adhere to DOE's established protocols for ARRA reporting program undertakings.
- C. DOE will submit annual reports to ACHP and NCSHPO commencing October 15, 2010 summarizing the Programs' undertakings, to include data on number of undertakings, the number of exempt undertakings, and reviews conducted under this PA.

XV. Amendments

DOE, the SHPO, or the Recipients may request that this PA be amended, whereupon DOE and the SHPO, and the ACHP, if involved, will consult to consider such an amendment. Any such amendments shall be developed and executed among DOE, the Recipients, and the SHPO in the same manner as the original PA, and pertain only to this State PA.

XVI. Duration of Agreement

This PA will be valid for three (3) years from the date of execution, as verified with DOE filing the PA with the ACHP.

XVII. Termination of Agreement

DOE, the SHPO, or the Recipients may terminate the PA, provided that the party proposing termination notifies the other signatories and the ACHP in writing explaining the reasons for termination and affording the other signatories at least thirty (30) days to consult and seek alternatives to termination.

SIGNATORIES

Claire Bristol Johnson

4/21/10

UNITED STATES DEPARTMENT OF ENERGY
OFFICE OF ENERGY EFFICIENCY AND RENEWABLE ENERGY
OFFICE OF WEATHERIZATION AND INTERGOVERNMENTAL
PROGRAMS

DATE

Elizabeth M. Johnson

4-20-2010

SOUTH CAROLINA STATE HISTORIC PRESERVATION OFFICE

DATE

[Signature]

4-20-10

SOUTH CAROLINA STATE ENERGY OFFICE

DATE

[Signature]

4/20/2010

SOUTH CAROLINA OFFICE OF ECONOMIC OPPORTUNITY

DATE

APPENDIX A—WAP UNDERTAKINGS EXEMPT FROM SECTION 106 REVIEW

All undertakings will be done in accordance with applicable local building codes or the International Building Code, where applicable. In accordance with 36 CFR 800.3(a)(1), the following undertakings have been determined to have no potential to cause effects on historic properties:

A. Exterior Work

- 1) Air sealing of the building shell, including caulking (except caulking horizontal joints in wood siding), weather-stripping, and other air infiltration control measures on windows and doors, and installing thresholds in a manner that does not harm or obscure historic windows or trim.
- 2) Thermal insulation, such as non-toxic fiberglass and foil wrapped, in, floors, ceilings, attics, and foundations in a manner that does not harm or damage historic fabric.
- 4) Removable film on windows (if the film is transparent and not significantly tinted or reflective), solar screens, or window louvers, in a manner that does not harm or obscure historic windows or trim.
- 5) Reflective roof coating in a manner that closely resembles the historic materials and form, or with materials that restore the original feature based on historic evidence, and in a manner that does not alter the roofline, or where not on a primary roof elevation or visible from the public right-of-way.
- 6) Storm windows or doors, and non-historic wood screen doors in a manner that does not harm or obscure historic windows, doors, or trim.
- 7) In-kind repair of existing windows, doors, including frames, or compatible replacement of windows, doors, and frames not visible from the public right of way. Compatible replacement means matching: the pattern and size of the openings; proportions of the frame and sash; configuration of window panes; muntin profiles; characteristics of the glass; and associated details such as arched tops, hoods, or other decorative elements.
- 8) Repair of minor roof and wall leaks prior to insulating attics or walls, provided repairs closely resemble existing surface materials

B. Interior Work

1. Energy efficiency work within the building shell:

- a. Thermal insulation in, floors, ceilings, attics, crawl spaces, ducts and foundations
- c. Plumbing work, including installation of water heaters in areas that are not primary interior spaces (entrance halls, parlors, courtrooms, corridors, etc.)
- d. Electrical work, including improving lamp efficiency
- e. Sealing air leaks using weather stripping, door sweeps, and caulk and sealing major

- air leaks associated with bypasses, ducts, air conditioning units, etc.
- f. Repair or replace water heaters in areas that are not primary interior spaces (entrance halls, parlors, courtrooms, corridors, etc.)
 - g. Adding adjustable speed drives such as fans on air handling units, cooling tower fans, and pumps
 - h. Install insulation on water heater tanks and water heating pipes
 - i. Install solar water heating systems, provided the structure is not visible from the public right of way
 - j. Install waste heat recovery devices, including desuperheater water heaters, condensing heat exchangers, heat pump and water heating heat recovery systems, and other energy recovery equipment not visible from the public right of way
 - k. Repair or replace electric motors and motor controls like variable speed drives
 - l. Incorporate other lighting technologies such as dimmable ballasts, day lighting controls, and occupant controlled dimming provided that such changes do not alter the visual character of historic light fixtures in primary interior spaces (entrance halls, parlors, courtrooms, corridors, etc.)

2. Work on heating and cooling systems (excluding changes to primary interior spaces (entrance halls, parlors, courtrooms, corridors, etc.):

- a. Clean, tune, repair or replace heating systems, including furnaces, oilers, heat pumps, vented space heaters, and wood stoves
- b. Clean, tune repair or replace cooling systems, including central air conditioners, window air conditioners, heat pumps, and evaporative coolers
- c. Install insulation on ducts and heating pipes
- d. Conduct other efficiency improvements on heating and cooling systems, including replacing standing pilot lights with electronic ignition devices and installing vent dampers
- e. Modify duct and pipe systems so heating and cooling systems operate efficiently and effectively, including adding return ducts, replace diffusers and registers, replace air filters, install thermostatic radiator controls on steam and hot water heating systems
- f. Install programmable thermostats, outdoor reset controls, UL listed energy management systems or building automation systems and other HVAC control systems

3. Energy efficiency work affecting the electric base load of the property (excluding historic light fixtures in primary interior spaces (entrance halls, parlors, courtrooms, corridors, etc.):

- a. Convert incandescent lighting to fluorescent
- b. Add reflectors, LED exit signs, efficient HID fixtures, and occupancy (motion) sensors
- c. Replace refrigerators and other appliances

4. Health and safety measures:

- a. Installing fire, smoke or carbon dioxide detectors / alarms
- b. Repair or replace vent systems on fossil-fuel-fired heating systems and water heaters to ensure that combustion gasses draft safely to outside
- c. Install mechanical ventilation, in a manner not visible from the public right of way, to ensure adequate indoor air quality if house is air-sealed to building tightness limit

**APPENDIX B – SEP AND EECBG UNDERTAKINGS EXEMPT FROM
SECTION 106
REVIEW**

A. Category 1 - No Consultation Required

In addition to the undertakings provided in *Exhibit A (WAP Undertakings exempt from Section 106 Review)*, DOE and the SHPO have concluded that the following undertakings do not have the potential to cause effects on historic properties per 36 CFR § 800.3(a)(1):

1. General efficiency measures not affecting the exterior of the building:

- a. Energy audits and feasibility studies
- b. Weatherization of mobile homes and trailers
- c. Caulking and weather-stripping around doors and windows in a manner that does not harm or obscure historic windows or trim.
- d. Water conservation measures – like low flow faucets, toilets, shower heads, urinals – and distribution device controls
- e. Repairing or replacing in kind existing driveways, parking areas, and walkways with materials of similar appearance
- f. Excavating to gain access to existing underground utilities to repair or replace them, provided that the work is performed consistent with previous conditions
- g. Ventilating crawl spaces
- h. Replacement of existing HVAC equipment including pumps, motors, boilers, chillers, cooling towers, air handling units, package units, condensers, compressors, heat exchangers that do not require a change to existing ducting, plumbing, electrical, controls or a new location, or if ducting, plumbing, electrical and controls are on the rear of the structure or not visible from any public right of way.
- i. Adding or replacing existing building controls systems including HVAC control systems and the replacement of building-wide pneumatic controls with digital controls, thermostats, dampers, and other individual sensors like smoke detectors and carbon monoxide detectors (wired or non-wired)
- j. New installation of non-hard wired devices including photo-controls, occupancy sensors, carbon dioxide, thermostats, humidity, light meters and other building control sensors, provided the work conforms with applicable state and local permitting requirements
- k. Adding variable speed drive motors
- l. Insulation of water heater tanks and pipes
- m. Furnace or hot water tank replacement that does not require a visible new supply or venting in areas that are not primary interior spaces (entrance halls, parlors, courtrooms, corridors, etc.)

2. Insulation measures not affecting the exterior of the building:

- a. Thermal insulation installation in, floors and ceilings (excluding spray foam insulation)
- b. Duct sealing, insulation, repair or replacement in unoccupied areas
- c. Attic insulation with proper ventilation; if under an effective R8 - add additional R-19 up to R-38 (fiberglass bat only)
- d. Band joist insulation - R-11 to R19 as applicable
- e. Water heater tank and pipe insulation

3. Electric base load measures affecting neither the exterior of the building nor historic light fixtures in primary interior spaces (entrance halls, parlors, courtrooms, corridors, etc.)::

- a. Appliance replacement (upgrade to EnergyStar appliances)
- b. Compact fluorescent light bulbs
- c. Energy efficient light fixtures, including ballasts (Replacement)
- d. LED light fixtures and exit signs (Replacement)
- e. Upgrade exterior lighting (replacement with metal halide bulbs, LEDs, or others) along with ballasts, sensors and energy storage devices not visible from any public right of way

B. Category 2 - - No consultation required if the work meets the Secretary of the Interior's *Standards for Treatment of Historic Properties* and verified by staff meeting the Qualification Standards for Historic Architect or Architectural Historian

1. Efficiency and repair measures:

- a. Painting over previously painted exterior surfaces, provided destructive surface preparation treatments are not used (such as water-blasting, abrasive cleaning and chemical removal)
- b. Installation or replacement of downspout extensions, provided that the color of the extensions is historically appropriate for the period and style of the property
- c. Repairing or upgrading electrical or plumbing systems and installing mechanical equipment, in a manner that does not permanently change the appearance of the interior or exterior of the building
- d. Installation of new HVAC equipment (such as pumps, motors, boilers, chillers, cooling towers, air handling units, package units, condensers, compressors, or heat exchangers) in areas that are not primary interior spaces (entrance halls, parlors, courtrooms, corridors, etc.) in a manner that does not permanently change the appearance of the building, and are not visible from the public right of way.
- e. Integrated shingle-style or thin film solar systems on the rear roof of the structure, behind the parapet or not visible from the public right of way.
- f. Solar systems (including photovoltaic and solar thermal) not visible from the public right of way and if ground-mounted can be installed without ground disturbance and if roof-mounted will not require building reinforcement.
- g. Wind system additions to existing wind power facilities that will not require ground disturbance and if building mounted will not require building reinforcement.
- h. Lead-based paint abatement in accordance with the Standards and Preservation Brief #37

- i. Building cleaning in accordance with the Standards and Preservation Briefs #1, #6, and #10
- j. Repairing masonry, including re-pointing and rebuilding chimneys in accordance with the Standards and Preservation Brief # 2
- k. New lighting controls including photo-sensors and shading elements if not visible from the public right of way
- l. New metering devices in a manner that does not permanently change the appearance of the interior or exterior of the building, or if the addition is on the exterior of the structure and is not visible from the public right of way
- m. New water efficient fixtures and fittings in a manner that does not permanently change the appearance of the interior or exterior of the building

2. Installation or repair of roofing, siding, and ventilation:

- a. White Roofs, Cool Roofs, Green Roofs, Sod or Grass Roofs not visible from the public right-of-way
- b. Rainwater catches and/or gray water systems not viewable from the public right of way
- c. Repair of existing exterior siding provided that new siding closely resembles the existing siding in dimension, profile and texture
- d. Flat or shallow pitch roof replacement (shallow pitch is defined as a pitch with a rise-to-run ratio equal to or less than 3" to 12") with no part of the surface of the roof visible from the ground
- e. Roof repair or replacement with materials that closely resemble the historic materials and form, or with replacement materials that are close to the original in color, texture, composition and form to restore the original feature based on historic evidence, and in a manner that does not alter the roofline
- f. Installing vents (such as continuous ridge vents covered with ridge shingles or boards, roof vents, bath and kitchen vents, soffit and frieze board vents or combustion appliance flues) if not located on a primary roof elevation or not visible from the public right-of-way
- g. Installing vents in foundationwalls, if painted or finished to match the existing foundation material.

3. Windows and doors:

- a. Installing storm windows, storm doors or wood screen doors in a manner that does not harm or obscure historic windows, doors or trim
- b. Installing insulated exterior replacement doors where the door openings are not altered and are not visible from the public right-of-way
- c. Window or glazing treatments that do not change the appearance of the interior or exterior of the building,

APPENDIX C – AUGUST 28, 2009 DELEGATION MEMORANDUM
(next page)

the agreement of the Tribe to do so. Where no such agreement exists, EERE will initiate tribal consultation.

Authorized Applicants must notify EERE whenever:

- Either the EERE Applicant or the SHPO/THPO believes that the Criteria of Adverse Effect pursuant to 36 CFR § 800.5, apply to the proposal under consideration by EERE;
- There is a disagreement between an Applicant, or its authorized representative, and the SHPO/THPO about the scope of the area of potential effects, identification and evaluation of historic properties and/or the assessment of effects;
- There is an objection from a consulting party or the public regarding their involvement in the review process established by 36 CFR Part 800, Section 106 findings and determinations, or implementation of agreed upon measures; or
- There is the potential for a foreclosure situation or anticipatory demolition as defined under 36 CFR § 800.9(b) and 36 CFR § 800.9(c), respectively.

EERE will participate in the consultation when such circumstances arise.

EERE expects its Applicants that are so authorized, to involve consulting parties in Section 106 findings and determinations and to carry out the exchange of documentation and information in a respectful, consistent and predictable manner. Technical assistance is available to Applicants from EERE regarding the coordination of Section 106 reviews, if needed.

If you have any questions, please contact Dr. F. G. (Skip) Gosling, DOE Federal Preservation Officer/Chief Historian, Office of History and Heritage Resources, (202) 586-5241 or skip.gosling@hq.doe.gov or Steven P. Blazek, NEPA Compliance Officer, (303) 275-4723 or steve.blazek@go.doe.gov.

ATTACHMENT A: STANDARD MITIGATION MEASURES FOR ADVERSE EFFECTS

The Recipients and the SHPO may develop and execute an Agreement that includes one or more of the following Standard Mitigation Measures, as may be modified to a particular activity, with the concurrence of both parties, for undertakings determined to have an adverse effect on listed or eligible historic resources. The ACHP will not be a party to these Agreements. However, the Recipients must submit a copy of each signed Agreement to the SHPO, and the ACHP within 30 days after it is signed by the Recipients and the SHPO.

1. Recordation The Recipients shall ensure that the historic property is recorded prior to its alteration in accordance with methods or standards established in consultation with the SHPO. The SHPO shall identify appropriate archive locations for the deposit of recordation materials and the Recipients shall be responsible for submitting required documentation to identified archive locations. The Recipients and the SHPO may mutually agree to waive the recordation requirement in situations where the integrity of the building has been compromised or other representative samples of a similar historic resources has been previously recorded.

2. Architectural Salvage The Recipients, in consultation with the SHPO, shall identify significant architectural features for salvage, and appropriate parties to receive the salvaged features. The Recipients shall ensure that any architectural features identified for salvage are salvaged prior to initiation of undertakings and properly stored and curated. When feasible, and determined appropriate in consultation with SHPO, salvaged architectural features shall be reused in other preservation projects.

3. Rehabilitation

The Recipients shall ensure that the treatment of historic properties which the SHPO has determined does not meet the *Standard*, or SHPO approved design guidelines, is carried out in accordance with treatments agreed upon by the Recipients and the SHPO and are incorporated in the final plans and specifications. The final plans and specifications shall be approved by the SHPO prior to initiating the undertaking.

4. New Construction

The Recipients shall ensure that the design of new buildings, or additions, which the SHPO has determined does not meet the *Standards*, or SHPO approved design guidelines, is carried out in accordance with the final plans and specifications reviewed and approved by the SHPO prior to initiating the undertaking.

5. Archaeology

In cases where the undertaking will cause unavoidable adverse effects to National Register eligible archaeological properties, the Recipients shall consult with the SHPO to determine whether data recovery or some other treatment measure is in the public interest. If data recovery is the agreed upon treatment measure, the Recipients shall consult further with the SHPO to develop and implement a data recovery plan for those portions of the historic property that will be adversely affected. The data recovery plan shall:

- be based on firm background data, sound planning, and accepted archaeological methods;
- be consistent with applicable State laws and regulations;
- be accomplished in a thorough, efficient manner, using the most cost- effective techniques practicable;
- provide for appropriate curation of archeological materials and records, and
- provide for reporting and interpretation of what has been learned in a format understandable and accessible to the public;
- be consistent with the National Park Service's *Archeology and Historic Preservation: Secretary of the Interior's Standards and Guidelines* (at: http://www.nps.gov/history/local-law/arch_stnds_7.htm), and shall take into account the ACHP's publications, *Recommended Approach for Consultation on Recovery of Significant Information from Archeological Sites* (1999), ACHP Section 106 *Archeology Guidance* (at: <http://www.achp.gov/archguide/>), and any archaeological guidance issued by the SHPO.



Final Inspection Report

Agency _____ Inspection Date _____ Re-Inspection Date(s) _____

Client Name: _____ Address: _____

Assessor: _____ Inspector: _____

Gas Electric Propane Solid (Type) _____

Ranch 2 Story Tri-level Mobile Other: _____

Exterior Condition: Fair Good Excellent Notes: _____

Brick Vinyl Siding Alum Siding Wood Siding Block Other _____

Comments: _____

Completed In Progress Square Footage _____

Blower Door Results (@CFM₅₀) Pre : _____ Post : _____ Inspection(s) : _____

Pressure Pans Verified: _____

Flow Hood Verified: _____

Enter <input checked="" type="checkbox"/> PASS	when ALL ITEMS COMPLY with SC WAP standards and guidance.
Enter <input checked="" type="checkbox"/> FAIL	if CORRECTIVE ACTION IS REQUIRED to bring the failed item into compliance.
Enter N/A	if the item is not required for this inspection.

FILE REVIEW: <i>Forms listed below must appear in client file.</i>	Pass/Fail - 1, 2, 3			Re-Inspection
	PASS	FAIL	N/A	PASS
Client Intake Data:				
DBA Application and Residence Documents				
Income verification and eligibility				
Fuel Bills				
Weatherization Assessment Data:				
Client Information Booklet:				
General Info				
Homeowner Agreement				
Mold & Moisture Form Signatures				
Lead Hazard Form Signatures				
Unvented Space Heater Agreement				
Service Agreement				
Deferral Notification				
Assessment Booklet				
CAZ Forms				
Work Plan Data:				
Work Order				
NEAT-MHEA audit				
Job Cost Estimate				
Lead Safe Work / Certified Remodeler Form(s)				
Insulation Certificate				
Job Close-Out Data:				
Final Inspection				
CAZ Form agrees with Test-out				
Client Review Form Signature				
REDcalc (ASHRAE 62.2)				
Building Work Report (BWR)				
HVAC Documents				
Photos - Pre & Post				

ON-SITE WORK INSPECTION

Dwelling was assessed using : <input type="checkbox"/> NEAT <input type="checkbox"/> MHEA <input type="checkbox"/> Priority Measures				Re- Inspection
HEALTH & SAFETY MEASURES	PASS	FAIL	N/A	PASS
Smoke/Carbon Monoxide Alarms <i>(1+ each device per heated level, inside or near all bedrooms)</i>				
CAZ Tested				
CAZ Repairs				
Work Meets SWS Standards				
Other H&S Repairs:				
AIR SEALING:				
Air Sealing Performed				
Window/Door weather-stripping				
Attic - Top Plate				
Work Meets SWS Standards				
Incidental Repair Measures:				
ATTIC:				
Attic Insulation Installed				
R-Value: Pre Post Quantity Added				
Sidewall/Knee-wall Insulation Installed				
R-Value: Pre Post Quantity Added				
Joist cavities sealed beneath knee-walls				
Good coverage and R-Value				
Good Patching/Plug work (ceiling or Mobile Home Lid)				
Insulation Certificate Completed & Posted				
Heat Sources / Vents / Chases blocked & sealed				
Attic Access Air-sealed and Insulated to same R-Value				
Ventilation				
Work Meets SWS Standards				
Incidental Repair Measures:				
Duct Sealing/Insulation:				
Ducts cleaned/vacuumed				
Register Boots & Ducts correctly sealed and insulated				
Pressure Pans Tested correctly				
Ducts Insulated to R-6+				
Zonal Testing/Pressures				
Work Meets SWS Standards				
Incidental Repair Measures:				

ON-SITE WORK INSPECTION <i>(continued)</i>				Re-Inspection
OTHER ENERGY RELATED REPAIRS (Not noted elsewhere)	PASS	FAIL	N/A	PASS
Work Meets SWS Standards				
Other Repair Measures				
Measure(s) tied to SIR				

MISSED OPPORTUNITIES:

ADDITIONAL COMMENTS/NOTES:

I certify that the completed weatherization work is in compliance with OEO and DOE policies and that the materials and workmanship comply with the SC SWS.

Quality Control Inspector - Print Name

Signature

Date

**Proposed PY 2015 Weatherization Assistance Program State Plan
Public Hearing
Friday, March 13, 2015**

Attendees

Name	Agency
Dianne Walde	GLEAMNS Human Resources Commission
Pat Kimble	GLEAMNS Human Resources Commission
Ray Neal	Palmetto Community Action Partnership
Nat Brown	Palmetto Community Action Partnership
Maurice Pieters	Aiken/Barnwell Counties Community Action Agency
LaShonda Scott	Lowcountry Community Actions
Denise Pensmith	Member of Public
Paul Younginer	SC OEO
Jonathan Gieseler	SC OEO
Bertie McKie	SC OEO
Susan Porter	SC OEO
James Miller	SC OEO

My name is Paul Younginer. I am the senior manager of the weatherization assistance program. Also attending from OEO, James Miller – OEO Director, Bertie McKie - Executive Administrator, Susan Porter - Attorney, and Jonathan Gieseler - Program Coordinator.

The purpose of this hearing is to take public comments on the Program Year 2015 South Carolina Weatherization Assistance Program State Plan. This hearing will be recorded and transcribed into public record. Each person attending this hearing wishing to comment orally should sign-in on the sheet that was placed near the door.

Earlier today, the Energy Advisory Committee met and approved the PY 2015 Weatherization Assistance Program State Plan.

The PY 2015 Weatherization Assistance Program total funding allocation for South Carolina is \$1,495,092. The total 2015 WAP allocations include estimated Weatherization Assistance Program Year 2014 and Weatherization Assistance Program Year 2013 funds. These funds will be carried over and combined with Weatherization Assistance Program 2015 allocation. This application will be submitted through the Performance and Accountability for Grants in Energy, which is commonly referred to as PAGE.

There are several changes that occurred since the draft was published. The corrections are noted on the green sheets. The following corrections were discussed:

On page one is the subgrantee detail for Aiken/Barnwell Counties Community Action Agency. The Congressional District number 03 replaces 02. Add thirty-eight cents to the tentative dollar amount which is \$202,075.38. In the Congressional District Served, add South Carolina Congressional District 03.

On page two is the subgrantee detail for Carolina Community Actions, Inc. In the Congressional District Served, add South Carolina Congressional District 04.

On page three is the subgrantee detail for Chesterfield-Marlboro Economic Opportunity Council. In the Congressional District Served, add South Carolina Congressional District 05.

On page four is the subgrantee detail for GLEAMNS Human Resources Commission, Inc. In the Congressional District Served, add South Carolina Congressional District 04.

On page five is the subgrantee detail for Lowcountry Community Action Agency. In the Congressional District Served, delete South Carolina Congressional District 01. Add South Carolina Congressional District 02.

On page seven is the subgrantee detail for Palmetto Community Action Partnership. In the Labor Source section, the source of labor are Agency Crews and not Contractors.

On page eleven, change 82 to 81 for the number of units for GLEAMNS Human Resources Commission, Inc.

On page eleven, Production Schedule, replace 440 with 339.

On page eleven, under Miscellaneous, add

The total average cost per unit (ACPU) is \$7,105. The total ACPUs will be comprised of DOE WAP and LIHEAP WAP funds. The ACPUs for DOE WAP is \$2,917. The ACPUs for LIHEAP WAP is \$4,188.

DOE WAP ACPUs -	\$2,917
LIHEAP WAP ACPUs -	<u>\$4,188</u>
Total	\$7,105

On page twelve, the Estimated Energy Savings (Mbtus): replace $440 \times 30.50 = 13,420$ to $339 \times 30.50 = 10,339$. This year estimated savings is 10,339.

On page twenty-six, replace the definition of High Energy User from “Energy Usage is above average as a result of household composition and/or unusual needs for energy” to “LIHEAP eligible household.”

On page fifty-two, under “SC OEO Weatherization Staff,” add “Bertie McKie, Executive Administrator.”

Paul Younginer – Are there any questions.

Ray Neal – Go to page twenty-two. Are agencies allowed to weatherize multi-units that contain 4 or less units per building?

Paul Younginer – Yes, agencies can weatherize multi-units that contain four or less units per building. A NEAT audit would be used to determine what measures would be installed for that type of structure. If the building contains five units or more, the agency would have to provide to the state office a brief narrative with photos describing the building(s), including its age, condition, number of units, spatial orientation(s), heating/cooling type (central or distributed) and condition, and any other notable conditions. Building assessment sheets, such as lighting inventory; heating and cooling equipment and controls; air leakage determination; water usage information; combustion, carbon monoxide, and combustion appliance zonal testing; insulation type and levels, base load analysis, the type of windows and doors and health and safety issues.

Also, agencies would have to provide a Weatherization statement of work, the project timeline, and projected costs for materials and labor, and any landlord contributions or buy-down provisions. All multi-unit projects will be forwarded to DOE on a case by case basis for approval to proceed.

Ray Neal – The 2014 Weatherization Assistance Program State Plan referenced the use of the LIHEAP WAP funds. In the 2015 Weatherization Program State Plan this reference was removed?

Paul Younginer – The LIHEAP WAP funds will be used like DOE WAP funds. DOE rules will apply to LIHEAP WAP funds.

Ray Neal – With that being said as we move into the NEAT/MHEA arena, when you run the NEAT or MHEA audit, there is always the possibility that the program will say what you can or cannot install in the dwelling as far as heat goes. If you have at-risk occupants, what do you do in this case? If NEAT or MHEA says that we cannot do a certain measure. What do agencies do if the household is an at-risk occupant?

Paul Younginer – Last year the health and safety percentage was 3%. The health and safety percentage in the 2015 Weatherization Assistance Program state plan is 14.9%. Agencies will be allowed to replace the heating appliance utilizing health and safety funds.

Ray Neal – Will the PY 2014 Weatherization Assistance Program run side-by-side with the PY 2015 Weatherization Assistance Program? Will you be providing some sort of communication to the agencies about how these funds will combined?

Paul Younginer – A memorandum will be issued describing the closeouts of the 2013 and 2014 Weatherization Assistance Program funds. Agencies will need to provide the balance of remaining funds as of March 31, 2015. The agencies will carry forward the unspent 2013 and 2014 funds and combine with the 2015 funding.

Pat Kimble – When will the DBA weatherization FACSPRO be updated to include the NEAT and MHEA information in the software?

Paul Younginer – DBA will provide an estimate for installing the revising South Carolina's version of DBA to include this enhancement. Once approved, it should be ready to be installed in April.

LaShonda Scott – Will the state office be providing a list of individuals that are certified quality control inspectors for agencies to possibly contract with if the agency does not have a quality control inspector on staff by April 1, 2015.

Paul Younginer – Yes, we will provide that information to the agencies next week.

Pat Kimble – The quality control inspector can only do final inspections and no other aspects of the program?

Paul Younginer – That is incorrect. The Quality Control Inspector can do the assessment but cannot do the actual work on the dwelling.

Jonathan Gieseler – Preferably, if an agency has two quality control inspectors, one would do the assessments and the other would do the inspections.

LaShonda Scott – That is still optional? The quality control inspector can do the assessments and final inspections?

Paul Younginer – Yes.

Ray Neal – In regard to the database that will be upgraded to better track fund sources and fund balances, what should agencies do until this system is up and running?

Paul Younginer – This program should be completed and ready to use in April. The state office will provide guidance on the enhancement.

Jonathan Gieseler – Will the PY 2013 and PY 2014 funds be labeled as PY 2013 and PY 2014 or will they be labeled as PY 2015?

Paul Younginer – PY 2013 and PY 2014 will be combined with PY 2015 and be labeled PY 2015.

Ray Neal – When will the grant agreements go out?

Paul Younginer – We are in the process of rewriting the grant agreements and will be sending out the agreements in April.

Susan Porter – The state office is revising the grant agreements to make them more user friendly. The substance and material is the same. The grant agreements have been amended to bring them in compliance with the OMB super circular.

Pat Kimble – Since our agency uses contractors, will the contractor agreements change as well?

Paul Younginer – We will provide instructions in the grant agreement for agencies to follow regarding contractors and contractor agreements.

It is 2:31 p.m., are there any additional comments? Hearing none, the Public Hearing is officially closed.

Energy Advisory Committee Meeting
Friday, March 13, 2015
11:00 a.m.

Minutes

Attendees

1. Trish Jerman, South Carolina Energy Office
2. Geoffrey Penland, Santee Cooper Electric Cooperatives
3. Cristina Freeman, South Carolina Electric & Gas
4. Paul Younginer, SC Governor's Office – OEO
5. Jonathan Gieseler, SC Governor's Office – OEO
6. Bertie McKie, SC Governor's Office – OEO
7. James Miller, SC Governor's Office – OEO
8. Susan Porter, SC Governor's Office – OEO

Paul Younginer reported on the Program Year (PY) 2013 and 2014 Weatherization Assistance Program (WAP). The minimum quota of dwellings to complete for WAP PY 2013 is 449. The total dwellings completed for WAP PY 2013 is 567. The minimum quota of dwellings to complete for WAP PY 2014 is 624. The total dwellings completed for WAP PY 2014 is 252. All remaining PY 2013 and PY 2014 will be combined with PY 2015 funding which will need to be expended by March 31, 2016.

Paul Younginer discussed the proposed PY 2015 Weatherization Assistance Program State Plan. The South Carolina Weatherization Assistance Program will be implemented through contract agreements with local community action agencies to deliver services to all forty-six (46) counties in South Carolina. The Department of Energy allocation for South Carolina is \$1,495,042. Also, a total of \$5,823,722 will be provided from the Low-Income Home Energy Assistance Program.

Comments

Geoffrey Penland requested OEO to send a letter explaining the purpose of the Energy Advisory Board and their roles. Also, they would like the opportunity to participate in any weatherization technical training classes. Also, he recommended that OEO enforce the subgrantees to comply with fulfilling the requirements of the Weatherization Assistance Program.

Geoffrey Penland made the motion to approve the PY 2015 WAP State Plan. The motion was seconded by Cristina Freeman and approved.

Adjournment

The meeting adjourned at 11:53 a.m.

Attachment - WAP PY 2014 Carryover

BUDGET COLUMN HEADING	TOTAL PRIOR YEAR & CURRENT ACTIVE YEAR CARRYOVER (Identify the Cost Categories you are moving the funds from)	PROPOSED BUDGET CARRYOVER (Identify the Cost Categories that you are moving the funds to in the proposed budget for the new program year)
Grantee Administration	79,165	79,165
Subgrantee Administration	80,680	80,680
Grantee T&TA	118,748	118,748
Subgrantee T&TA	70,992	70,992
Program Operations	451,877	451,877
Health & Safety	0	0
Financial Audits		
Liability Insurance		
Totals	801,461	801,461

Reason for the carryover amount

WAP PY 2014 funding was approved October 2014. Subgrantees did not have adequate time to expend WAP PY 2014 funds.

SC Governor's Office – Office of Economic Opportunity
 Organizational Chart
 June 3, 2015

