



# **PY15 Midyear Policy Meeting**

MN Weatherization Assistance Program

January 20, 2016

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Reasons & approach

Layout of manual, role of appendices

Section by Section Updates

# **MIDYEAR MEETING**

# **POLICY UPDATES**

# Policy Manual Update

- **Goal:** To review changes and clarifications made to the WAP Policy Manual, including existing policy reminders
- **Reason for midyear changes:**
  - Recommendations made by DOE
  - Clarifications needed as identified through frequent questions or discovery of errors
- **Approach to policy changes:** annually at the onset of each program year, midyear as needed

# Policy Manual & Appendices

Policy Manual

A

B

C

D

E

F

## Policy Manual

WAP policies, procedures and technical requirements are detailed in the W

[Program Year 2015 Weatherization Policy Manual](#) 

# Policy Manual & Appendices

- WAP contract language:
  - The Grantee (SPs) will perform work and expend funds in accordance with the following:
    - USDOE WPN's and Memos
    - MN WAP Policy Manual
    - MN WAP Field Guide, which includes the MN SWS
    - EAPWX State Plans
    - Propane Gas Account Funds (*MN Statute*)
    - REEGP (*MN Session Laws*)

# Policy Manual Update

- Changes, clarifications and reminders:
  1. Program Management
  2. Household Eligibility
  3. Dwelling Eligibility
  4. Audit Event
  5. Standalone Event
  6. Fiscal Policy
  7. Procurement
  8. Service Provider Monitoring

# Section 1: Program Management

- **Revised:** Unit Average Definition (1.3.1)
  - Program sub-fund categories NOT included in the calculation: Standalones, Liability Insurance, and Fiscal Audits
  - Vehicle and equipment purchases ARE included
- **Revised:** Production Planning (1.3.2)
  - Service Providers must have a *system and tools in place* to plan production & maximize funds

# Section 1: Program Management

- Production Planning Cont'd (1.3.2):
  - **Clarified:** EAPWX unit goals are calculated after *subtracting* the budgeted amount for Standalone events.
  - **Changed:** 1.3.2, #3
    - Removed: Service Providers are not required to notify Commerce when production significantly deviates from goals
    - **Added:** Updates to internal production plans must be made available to Commerce upon request
    - No change: Service Providers are expected to revise their *internal* production plan. Changes do *not* need to be reported in eHeat

## Section 2: Eligibility & Service Reqs.

- **Revised:** Household Eligibility (2.1)
  - Per DOE, incorporated eligibility language from DOE and EAPWX state plans
  - 200% Federal Poverty Income Guidelines OR 50% State Median Income, whichever is greater
- **Revised:** Income Documentation for Public Housing (2.2, #2)
  - Reference added to policy 2.1 for income eligibility requirements

## Section 2: Eligibility & Service Reqs.

- **Revised:** Priority for Providing WX Services (2.3)
  - Added per DOE: Households who do not meet at least one DOE priority criteria may only be served if all eligible priority HH's have been served
  - Clarified: Additional criteria may only be used within DOE priority criteria, not outside of
  - Reminder: Priority systems must be applied equally to renter and owner-occupied HHs

# Section 3: Dwelling Eligibility

- **Revised:** Proof of Ownership (3.1)
  - Clarified: Proof of ownership must be document in HH files, language aligns with sections 4 & 5
  - Clarified: Refer to the EAP Policy Manual for proof of ownership ~~policy~~ *documentation requirements*
  - Purpose: Ensure authorization for improvements from the building owner, ensure landlord agreements are secured when needed
  - Contact the WAP mailbox with specific questions

# Section 3: Dwelling Eligibility

- **Revised:** Multi-family Rental Reqs. (3.3.2)
  - Changed per DOE: WX of individual dwelling units is not allowed, entire dwelling must be WX'd
  - Reminder: EAPWX funds may only be used to pay for measures in eligible, occupied units

# Section 3: Dwelling Eligibility

- **Revised:** Landlord Contribution (3.3.4)
  - Added: Service Provider policy for requiring landlord contributions and the amount of contributions must be *documented in local policy*.
  - Reminder: Contributions are required for dwellings with 5+ units, local decision for 1-4 unit dwellings
    - Contributions cannot be required if the landlord qualifies for EAP/WAP

# Section 3: Dwelling Eligibility

- **Revised:** Mixed-Use Buildings (3.4)
  - Changed per DOE: Type 2 buildings, those where living area does not overlap with the business portion or there is minor overlap, must be WX'd in all areas
    - WAP funds can only be used in living areas, which requires building/business owner contributions
  - Changed: Commerce pre-approval *required* for all Type 2 buildings (vs. recommended)

# Section 3: Dwelling Eligibility

- **Clarified:** Previously Weatherized Dwellings (3.6)
  - Dwellings pre-WX'd *at any time* constitute the lowest priority for service.
    - Reminder: Pre-WX dwellings should only make up a small percentage of PY services.
  - **Clarified: EAPWX funds follow the same disaster plan found in the DOE State Plan**
    - Incorporates language from the EAPWX State Plan

# Section 3: Dwelling Eligibility

- **Revised:** Deferrals (3.8)
  - Clarified per DOE: Service Providers may elect to defer a home...where conditions, *that cannot be addressed by WAP funds*, prevent... weatherization...
  - Added: Conditions where a Service Provider may defer, include, but are not limited to:
    - *The dwelling is in the process of being sold*
      - Goal: Ensure dwelling access and eligibility
    - *The dwelling is in the process of being remodeled*
      - Goal: Ensure accurate modeling and assessment

# Section 6: Fiscal Policy

- Fiscal policy – not just for fiscal staff
- **Revised:** WAP Funds (6.2)
  - Incorporated statute language into the description of Propane Funds
    - Propane funds...*may be used to improve the energy efficiency of residential liquefied petroleum gas heating equipment in low income household, and when necessary, to provide weatherization services to the homes.*

# Section 6: Fiscal Policy

- **Revised:** Budget Revisions (6.8)
  - Changed: Budget revisions to fund categories (Admin, TTA, Program) cannot take place after the end of the program year (June 30), *or after the expiration of a fund (ex: EAPWX funds that end on September 30), whichever is first.*
    - Response to OLA concerns
    - Reminder: Allow at least one week for processing

# Section 6: Fiscal Policy

- Budget Revisions Cont'd
  - Reminder: Variations to Sub-Fund categories (ex: Health & Safety, Standalones, etc.) do not need to be changed in eHeat budget
- **Revised: Fund Categories (6.9.1)**
  - Clarified Program Support and Direct Service definitions

# Section 6: Fiscal Policy

- Fund Categories Cont'd
  - Program Support: *Costs associated with delivering WAP services to households, which are not reportable in WA. This includes energy audit expenses (even those resulting in deferral), inspection costs, client intake, client education costs and other costs necessary to deliver*
  - Direct Service: *Material and labor costs...performed by crews or contractors...*

# Section 6: Fiscal Policy

- **Revised:** Expenditure Categories (6.9.2)
  - Added sub-policy references for each category
- **Revised:** Allowable TTA Expenses (6.9.2.1)
  - When funding allows, TTA may be used for contractor stipends *and training expenses*
    - In relation to policy 7.6.1
- **Clarified:** Allowable Direct Service Expenses (6.9.2.2)
  - *Added personnel expenses for crews,*
    - Aligns with existing policy in Section 6
  - *Added permit fees for specific dwellings*

# Section 6: Fiscal Policy

- Revised: Allowable Equipment & Supply Expenses (6.9.2.5-6)
  - Revised the definition of equipment to align with the federal definition
    - Reminder: All equipment purchases (\$5,000 or more) require Commerce and DOE approval
    - Computing devices typically do not meet this definition
  - Separated the list of supplies
  - Contact Commerce with questions about pre-approval requirements or the definition of supply vs. equipment

# Section 7: Procurement

- **Revised:** Retention Agreements (7.6.1)
  - Changed per DOE: Retention agreements must be secured when *TTA funds are used to train contractors* (not just when stipends are offered)
    - Reminder: Agreements should requires that contractors work in the program for a specific amount of time, to be determined by the SP, and must align with the cost of the TTA provided.
    - Contact Commerce with questions, sample agreements are on [www.WAPTAC.org](http://www.WAPTAC.org)

# Section 7: Procurement

- **Reminder: Set Price Lists (7.8)**
  - When contractors are selected on a rotating basis, SPs must have a documented system to indicate how contractors are selected. Uneven distribution must be justified and documented.

# Section 8: Monitoring & Compliance

- No changes to Section 8
- **Reminder:** Service Provider Monitoring Requirements (8.1.1)
  - Upload client files to the FTP site by the date specified by field monitors

# Policy Manual Update

## Changes, clarifications and reminders:

1. Program Management
2. Household Eligibility
3. Dwelling Eligibility
4. Audit Event
5. Standalone Event
6. Fiscal Policy
7. Procurement
8. Service Provider Monitoring

# Section 4. Audit Event

- 4.1 Definition
- 4.2 Types of Measures
- 4.3 Household File Contents
- 4.4 Energy Audit
- 4.5 Work Orders Issued to Contractors/Crews
- 4.6 Quality Control Inspection
- 4.7 Callback Event

# Section 4. Audit Event

## 4.1 Definition

- **Revised:** WA reference

**POLICY:** The Minnesota Weatherization Assistance Program uses WA software version **8.10.0.6** to generate ...

# Section 4. Audit Event

## 4.2 Types of Measures

### 4.2.1 Energy Conservation Measure

- **Revised:** Added specificity to SIR and funds

**POLICY:** ...All ECMs with an SIR of 1.0 or greater must be completed. **All Audit Events must include at least one ECM with an SIR of 1.0 or greater associated with each funding type used on that job.**

# Section 4. Audit Event

## 4.3 Household File Contents

- **Revised:** Clarity about signature on forms  
**POLICY:** .... Files may be maintained electronically or in paper form. Any forms requiring a signature must be completed prior to being dated and signed by all related parties.

# Section 4. Audit Event

## 4.3 Household File Contents

### 4.3.1 Eligibility Forms:

- **Revised:** Clarity about forms
  - Income Eligibility - eHEAT Application Summary
  - Documentation indicating that previously weatherized status has been verified and complies with Section 3.6 Previously Weatherized Dwellings
  - State Historic Preservation Office Review (prior to start of work)
  - Proof of ownership (if owner occupied)
  - Landlord Agreement, (if renter occupied)

# Section 4. Audit Event

## 4.3 Household File Contents

### 4.3.2 Forms

- Description from Commerce Website added to each form
- **Revised:** Changes forms (see next slides)

# Section 4: Audit Event

## AUDIT DATA COLLECTION FORM

Client Name:	HH#		
Address: City:	Phone 1: Phone 2:		
Audit Date:	Auditor:	Temp In:	Out:

*Reference to the City of Minneapolis has been removed*

# Section 4. Audit Event

## BLOWER DOOR & HOUSE PRESSURES

AUDITOR:  CLIENT NAME:

AUDIT DATE:  CLIENT ID:

### Auditor Blower Door Testing

Room-to-Room Pressures (Pa)					Pressure Pan Testing (Pa)				
LOCATION	Initial P	Post	Adjust	QCI	LOCATION	#	TYPE	AUDIT	QCI
Bedroom 1	<input type="text"/>	<input type="text"/>	Y N	<input type="text"/>		<input type="text"/>	S or R	<input type="text"/>	<input type="text"/>
Bedroom 2	<input type="text"/>	<input type="text"/>	Y N	<input type="text"/>		<input type="text"/>	S or R	<input type="text"/>	<input type="text"/>
Bedroom 3	<input type="text"/>	<input type="text"/>	Y N	<input type="text"/>		<input type="text"/>	S or R	<input type="text"/>	<input type="text"/>
Bedroom 4	<input type="text"/>	<input type="text"/>	Y N	<input type="text"/>		<input type="text"/>	S or R	<input type="text"/>	<input type="text"/>

Worst Case CAZ Depressurization and Spillage Limit							
	Audit	Pre-WX	Day 1	Day 2	Day 3	Post WX	QCI
Date:	<input type="text"/>						

# Section 4. Audit Event

## MECHANICAL TESTING FORM (CONTRACTOR)

<b>CONTRACTOR:</b> <input type="text"/>	<b>CLIENT NAME:</b> <input type="text"/>
<b>TECHNICIAN(S):</b> <input type="text"/>	<b>CLIENT ID:</b> <input type="text"/>
<b>DATE OF WORK:</b> <input type="text"/>	

HEATING PLANT			HEATING PLANT (CONT)			DHW	
MD# (IF REPLACED) <input type="text"/>			<b>METER CLOCKING (AS NEEDED)</b>			MD# (IF REPLACED) <input type="text"/>	
SR# <input type="text"/>			LOW	HIGH	SR# <input type="text"/>		
<b>FLUE GAS ANALYSIS</b>			<b>GAS PRESSURE TEST</b>			<b>FLUE GAS ANALYSIS</b>	
	LOW	HIGH	RATED INPUT: <input type="text"/>			INLET TEMP: <input type="text"/>	
INLET TEMP: <input type="text"/>			CLOCKED: <input type="text"/>			FLUE GAS: <input type="text"/>	
			MAN. SPECS: <input type="text"/>			NET STACK: <input type="text"/>	

# Section 4. Audit Event

## FINAL INSPECTION FORM

Client name: \_\_\_\_\_

Client ID# \_\_\_\_\_

### Weatherization Work

- 1. Air seal major air leaks
- 2. Insulate the attic(s)
- 3. Insulate exterior walls
- 4. Insulate the foundation walls / rim joists
- 5. Insulate the crawlspace/mobile home belly
- 6. Weather strip exterior doors
- 7. Clean and tune or repair the heating plant
- 8. Replace the heating plant
- 9. Install a programmable thermostat
- 10. Revent the heating plant
- 11. Revent / repair the water heater
- 12. Replace water heater
- 13. Install pipe wrap on water heater / boiler
- 14. Install a kitchen / bath fan

- 15. Revent the existing kitchen / bath fan
- 16. Install smoke / CO alarms
- 17. Revent the clothes dryer
- 18. Install or change the combustion air
- 19. Perform Lead Safe Work Practices
- 20. Replace the main refrigerator
- 21. Replace light bulbs
- 22. Mitigate back drafting issues at the following appliance(s): \_\_\_\_\_
- 23. Repair fuel leaks at \_\_\_\_\_
- 24. Removal or disconnection of Knob and Tube wiring
- 25. Other \_\_\_\_\_
- 26. Other \_\_\_\_\_

# Section 4: Audit Event

- Safety Assessment Form (highlighted text added)

I understand that the items listed above present a potential safety hazard to me and anyone in my home and I have received client education on these topics. I have received a copy of the Safety Assessment – Mold and Moisture form, if applicable. I further understand that Weatherization services may not be able to correct the identified safety items. I understand that the issues identified above include only those observed by the Energy Auditor.

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Client Signature (required)

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Date

# Section 4: Audit Event

- **New:**
  - Fuel Switch Request Summary Form
    - This form must be submitted to Commerce and details each fuel switch request analysis
  - Fuel Switch Request – Client Authorization
    - This form must be signed by the client to authorize the fuel switch request. The form is also signed by Commerce if/when approved

# Section 4: Audit Event

- Fuel Switch Request Summary Form

## FUEL SWITCH REQUEST SUMMARY

Service Provider

Client

Client ID#

### Space Heating

Existing Primary Heating System Fuel Type

Gas  Oil  Electric  Propane

Existing Secondary Heating System Fuel Type (If Applicable)

Gas  Oil  Electric  Propane

Proposed Primary Heating System Fuel Type

Gas  Oil  Electric  Propane

Existing Heating System AFUE:

Existing Heating System BTU/HR:

WA Post Retrofit Heat Load:  BTU/HR

No-heat:  Yes  No

Existing Heating System Type  boiler  furnace

### Water Heating

Existing DWH Fuel Type

Gas  Oil  Electric  Propane

Proposed DWH Fuel Type

Gas  Oil  Electric  Propane

# Section 4: Audit Event

- Fuel Switch Request – Client Authorization



## FUEL SWITCH REQUEST FORM – Client Authorization

### Client Authorization

This is an agreement between [redacted] (SP) and \_\_\_\_\_ (Client)

Client Address \_\_\_\_\_ Client ID# \_\_\_\_\_

I hereby authorize [redacted] (SP) to request a fuel switch for the following heating system(s) in my home.

#### Primary Heating System

Request Fuel Switch:  Yes  No

Current Fuel Type:  Gas  Oil  Electric  Propane

New Fuel Type (if applicable):  Gas  Oil  Electric  Propane

# Section 4. Audit Event

## 4.3 Household File Contents

- 4.3.3 Energy Audit Information
- **Revised:** clarified that the audit data collection form is optional
- **Removed:** reference to site map
  - Covered in WA Addendum
- **Removed:** requirement to use a Commerce approved form for ASHRAE calculations
  - This is now included in WA 8.10

# Section 4. Audit Event

- 4.3 Household File Contents
  - Removed: work order from the list in 4.3.4
    - This is already included in policy 4.3.5
  - Revised: added form descriptions to 4.3.5

# Section 4. Audit Event

## 4.4 Energy Audit

- **Revised:** Incorporated language from the DOE State Plan

**POLICY:** ...start of any weatherization work **and be conducted by a qualified person that has received the Building Performance Institute Building Analyst or Quality Control Inspector Certifications or another Commerce approved certification.** An energy audit...

# Section 4. Audit Event

## 4.4 Energy Audit

- 4.4.1.3 Client Education
- **Added:**
  - Observed Health and Safety items, including those that are outside the scope of the Weatherization Assistance Program

# Section 4. Audit Event

- 4.4 Energy Audit
  - **Revised:** Clean and tune policy moved to 4.4.2.1 from 4.4.2.2
  - **Removed:** The following justification as a reason for a clean and tune (policy 4.4.2.1)
    - ~~Heating plant has not been serviced in 2 or more years~~

# Section 4. Audit Event

- 4.4 Energy Audit
  - 4.4.2 Measure Consideration
- Removed: Derating of heating plant efficiency has been removed and is no longer allowable per DOE guidance.

# Section 4. Audit Event

- 4.4 Energy Audit

- Added: Procedure added to policy 4.4.2 – Measure Consideration

**PROCEDURE:**

Model the heating plant for replacement using the steady state efficiency as determined by a sample of the flue gas taken with a calibrated combustion analyzer when the heating plant is at steady state operation.

If the heating plant does not have an SIR of 1.0, evaluate the unit for a clean and tune per section 4.4.2.3

# Section 4. Audit Event

- 4.4 Energy Audit

  - 4.4.2.4 ASHRAE 62.2-2013

- **Revised:**

**POLICY:** All households will meet all aspects of the ASHRAE 62.2-2013 standard. ASHRAE calculations must be done **using WA 8.10.0.6**. The continuous flow rate must be set according to the final blower door readings.

# Section 4. Audit Event

- 4.4 Energy Audit
  - 4.4.2.5 Duct Sealing
- **Revised:** Reference added to a new document in Appendix C

**POLICY:** Ductwork will be sealed and insulated according to the SWS (Appendix C - Duct Sealing Guidance)

# Section 4. Audit Event

## Duct Sealing Guidance - under development

- Will detail what components to seal
  - Inside thermal boundary
  - Outside thermal boundary
- Will explain how to seal based on component type, distance from air handler, and size of gap
- Will detail WA modeling and allowable measure types based on situation

# Section 4. Audit Event

- 4.4 Energy Audit
  - 4.4.3 Work Orders

- **Added:**

- 4.4.3.1 Changes to energy model**

- POLICY:** Service Providers will verify that all estimated and actual measure SIRs and the cumulative job SIR are 1.0 or greater, taking into account any changes to the energy modeling in WA. (Appendix C – Measure and Cumulative Job SIR Verification)

# Section 4. Audit Event

- 4.4 Energy Audit
  - 4.4.3 Work Orders
- Revised: Moved Change Order from 4.4.3.1
- Revised: 4.4.3.2 Change Orders
  - **POLICY:** When the scope of work (measures or their costs) deviates from ~~the Service Agreement~~ an issued work order a change order is required to reflect the updated scope of work. The Change Order Form must be included in the client file and requires a client's signature when a measure is added or deleted. A client signature is not needed when there is a change only in the cost of a measure.

# Section 4. Audit Event

- 4.6 Energy Audit

- Revised: Language added to policy 4.6.6.2 –  
Sensory Inspection

- Verify that work was done in accordance with the Standard Work Specification and applicable codes **and in a professional manner.**

# Section 5. Standalone Event

5.1 Definitions

5.2 Standalone Events - Measure Type

5.3 Household File Contents

5.4 Standalone Event - Site Visit

5.5 Standalone Event – Work Order

5.6 Standalone Event – Contractor Requirements

5.7 Quality Control Inspection

# Section 5. Standalone Event

- 5.1 Definition
- Revised: Aligned policy reference with Section 4
  - **POLICY:** ... For all heating plant replacements follow **Section 4.4.2.1** of this document.

# Section 5. Standalone Event

- 5.3 Household File Contents

- Revised: Aligned with policy 4.3

**POLICY:** ...household file contains all required documents. **Files may be maintained electronically or in paper form. Any forms requiring a signature must be completed prior to being dated and signed by all related parties.**

# Section 5. Standalone Event

- 5.3 Household File Contents
- **Revised:** Aligned with policy 4.3.1
  - Income Eligibility - eHEAT Application Summary
  - Proof of ownership (if owner occupied)
  - Landlord Agreement (if renter occupied)

# Section 5. Standalone Event

- 5.7 Quality Control Inspection
- **Revised:** Aligned language with policy  
4.6.6.2
  - Verify that work was done in accordance with the Standard Work Specification (SWS) and applicable codes **and in a professional manner.**
  - Take photos of all **inspected** work.

Questions?

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