



Weatherization Program Policies & Procedures Manual

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Purpose and Goals

The main purpose of the **REAL Services' Weatherization** program is to make the homes safer and reduce the energy burden of low-income people. This goal is accomplished by making improvements to the homes that reduce energy consumption. The program can provide weatherization related measures to homes and, as funds allow, correct situations that could adversely affect the health and safety of the home's occupants.

The program uses guidelines as issued by U. S. Department of Energy and Indiana Housing and Community Development Authority (IHCDA) to determine who is eligible to participate in the program and what measures may be completed on the homes of program participants.

REAL Services completes an assessment audit and then employs contractors to perform the measures added to the home. Contractors must provide services within the guidelines provided in the IHCDA's Field Guide.

REAL Services' area of operation for the Weatherization program is St. Joseph, Elkhart, Marshall, Kosciusko and Fulton counties in northern Indiana.

CLIENT POLICIES

ELIGIBILITY DETERMINATION

A unit is eligible if it is occupied by a family whose income is at or below 200% of the federal poverty level for DOE funding, or at or below 200% for LIHEAP funding. Income guidelines will be adjusted annually according to the Federal Register.

Real Services, Inc. personnel will verify with internal tracking spreadsheets/IWAP whether a home has been previously weatherized. Real Services, Inc. will follow DOE and LIHEAP requirements before determining whether a home can be “re-weatherized” per Section 300 in the Weatherization Assistance Program Policy and Procedure Manual. Additionally, Real Services, staff will confirm verbally, that the Client has not had weatherization completed on their home within the guideline noted in the most recent update to the IHEDA Weatherization Program Manual.

- Eligible clients must live within Elkhart, Kosciusko, Fulton, Marshall or St. Joseph Counties
- The household income of all members over 18 years of age, must meet federal program guidelines.
- The application must be completed by the person whose name is on the utility bill.
- Proof of ownership,
- If renting, a landlord /renter agreement must be signed agreeing to the Weatherization process.
- The individual must be eligible for the EAP program for LIHEAP funding, or at or below 200% of poverty for those who are accessing DOE funding.

CLIENT INTAKE

Documentation of the client’s income must be available in the client’s file.

- ZERO INCOME-The Zero Income Claimant Form must be used to verify zero income for each household resident, age 18 and over, that claims no income for the 12 months prior to the application date.
 - Zero income claimants must have the have a notarized affidavit claiming zero income for LIHEAP. This documentation must be placed in the client’s file.
 - This form may be notarized by REAL Services staff or independently.
 - No weatherization services will be rendered without this documentation.
 - If documentation is not available, an exemption or approval must be obtained from IHEDA prior to work beginning. (example: an individual listed on the EAP application who has since moved out of the home)

CLIENT SELECTION

Priority will be assigned to EAP eligible clients in accordance with 10 CFR 440.16 as follows: Clients must meet one of the following five (5) categories.

- 1) Elderly head of household (60 years or older)
- 2) Disabled household members
- 3) Households with children under the age of 18
- 4) High energy users determined by utility company information
- 5) Household with a high-energy burden

As a secondary prioritization, households within the priority categories will be served based on application date, with the oldest application date being served first. When concentrating outreach and service to a particular area, the secondary prioritization process may be waived.

Households who do not belong in at least one of the priority categories may be served only after all households in priority categories have been served.

Client prioritization will be applied equally to renter and owner occupied households.

LANDLORD TENANT POLICY

Owners of properties that are being considered for weatherizing and who have tenants who have been deemed eligible, will be asked to provide certain assurances. Those assurances are:

- Granting permission for the weatherizing of their property;
- Clients must be deemed financially eligible for the program. The application process is initiated through the Energy Assistance program.
- Understanding the causes that may lead to a deferral;
- That all health and safety measures will be the responsibility of the landlord to correct, including furnace, water heaters, gas stoves or refrigerators;
- They have no plans to sell the property during 12(twelve) months after the completion of the weatherizing services;
- If they should sell the property within two years, they understand that they will be required to pay back the cost of weatherizing the home.
- They will not increase rent for a period of one year after the completion of the weatherizing services, unless the increase was prearranged and not the result of improvements from the weatherizing of the home.
- The Rental Agreement is secured through Energy Assistance Intake
- As with other Weatherization clients, landlords must provide proof of home ownership.
- Landlords (owners) must sign a written agreement with REAL Services.
- Tenants are required to have lived at the rental property for one calendar year prior to being eligible. This must be the address and or apartment number on the qualifying individual's application.

SCOPE OF WEATHERIZATION WORK

Services must be delivered within one year of the most current EAP application. If an application is expired or will expire during the service delivery process, the individual must be reapproved.

The audits must fall within the timeframe of the grant that the program is operating under to ensure that all program activity is being charged appropriately.

PRE-AUDIT

- REAL Service staff will conduct an initial walk through, to determine if the home is eligible for weatherization services. If the home is not eligible, it may be deferred or considered for other funding. See deferral section.
- If the home is eligible for weatherization services, the Weatherization Auditor will perform an audit of the home or schedule, using the appropriate inspection form provided by the State of Indiana.

DEFERRALS

Deferrals may take place during any phase of the weatherization process, including but not limited to:

- During or after the initial audit,
- During the work performance phase, or
- Immediately following the identification of a health and safety risk to either the occupants, staff or contractors.

Postponement of work is advisable until deferral issues can be resolved either by the client and/or by alternative sources of assistance. Below are examples of existing conditions under which a dwelling unit can be deferred until certain corrective actions occur:

- Elevated carbon monoxide levels where abatement is not possible using WAP funds
- Existing moisture problems that cannot be resolved under the health and safety limits
- House with sewage or other sanitary problems that not only endangers the client, but the workers who will perform the weatherization work
- Occupant's health condition
- Building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and these conditions cannot be resolved in a cost effective manner
- Client is uncooperative, abusive, or threatening to crew, subcontractors, auditors, inspectors, or others who must work on or visit the house
- Extent and condition of lead-based paint in the house would potentially create further health and safety hazards
- The house has been condemned or electrical, heating, plumbing, or other equipment has been "red tagged" by local or state building officials or utilities.
- The home is in foreclosure, for sale or condemned and the owner will not be occupying the units throughout the duration of the weatherization work.

- Any existing condition that could endanger the health and/or safety of the work crew or subcontractor and cannot be safely abated within the scope of weatherization

All clients who are deferred will receive a letter outlining the reason(s) for the deferral. A copy of the deferral letter will be placed in the client file. The deferral letter will be specific as to the reason(s) for the deferral, outline next steps for the client, and provide a timeline for action, generally 30 days. Pictures documenting the major conditions (where possible) leading to deferral must be placed in the client file.

If the applicant is a renter, both the applicant and the landlord will be notified of the reason(s) for the deferral. If the client does not correct the issue(s) within 30 days of notification, the home will be denied weatherization services.

If a deferral occurs at any point during the work performance phase, the client has 30 days from date of deferral to correct the issue(s). If the corrections are not made by the 30 days, the weatherization is terminated. REAL Services will request approval for an alternate close-out of the project from IHCD.

During the pre-audit and the initial discovery of issues that would necessitate a deferral of the home, it is critical that the auditor attempt to identify a comprehensive list of deferral issues. If funding becomes available to address deferral issues or if the client wishes to make the improvements in order to proceed with weatherizing the home, it is most helpful if all problems are identified.

Information on all deferred properties will be maintained by Weatherization Program staff, including the date, client, property and the reason for deferral. This information may be used to identify properties that could be helped with alternative funding and also determine a specific deferral rate for REAL Services program that may be compared to other Weatherization Programs across the state.

AUDIT

- REAL Services will perform a weatherization audit following the standards set forth in the “Indiana Weatherization Field Guide”. Real Services, Inc. Auditors are advised of where to find and how to use the correct forms while performing the weatherization audit.
- Real Services Auditors will adhere to the “State of Indiana Weatherization Single Priority List” when determining the work required per home and writing their work orders per the Indiana Weatherization Field Guide (Chapter 2).
- If there are any reasons why an auditor cannot follow the priority list, a NEAT audit will be ran. The NEAT audit will dictate the scope of work that will be performed in the home. Documentation will be placed in the file.
- Auditors will follow Real Services’ latest agreed upon shell price lists or rotating bid process when writing their work orders for the contractor.

- All weatherization paperwork must be filled out correctly and reviewed by the auditor.
- If a mechanical contractor finds there is a crack in a heat exchanger, or for some other health and safety reason, a furnace needs to be replaced; the mechanical contractor must contact the auditor of record to discuss the issues that have been discovered.
 - A Real Services' Auditor must meet the mechanical contractor on site to verify the health and safety issue in order for furnace replacement to occur or have one contractor submit a photograph.
 - The Contractor will submit a quote to replace the furnace;
 - Approval is needed from Real Services prior to replacement.
- If the contractor finds a discrepancy on the work order with what is existing, or they find that a change in the scope of work is required, the contractor will call/email/text/send photographs to the Auditor of record and discuss the requirements needed to complete the job.

FINAL INSPECTION

- When all work is reported complete on a home, a final inspection will be performed. The final inspector will verify the following:
 - That all materials and jobs listed on the invoice have been completed and installed correctly.
 - That the work are has been left in an acceptable condition.
 - That finish materials matched existing materials.
 - That combustion appliances operate safely, completing worst-case draft tests and CO tests as appropriate.
 - Complete a final blower door test.
 - Use an infrared scanner to inspect insulation and air sealing quality.
 - Use simple pressure diagnostic techniques to verify the effectiveness of air sealing.
 - That the crew used the correct lead-safe procedures if appropriate.
 - Ensure that all required paperwork is in order.
- The final inspection will be completed by a certified QCI.
- Whenever possible, the QCI will be encouraged to complete interim audits and report concerns to the Auditor for their review. The auditor may then, at their discretion, authorize the contractor to make amendments to the work order or request remediation.
- The QCI will not be involved in the development of the work order for either mechanical or shell work for a home where they have completed the final inspection.
- The final inspector will ascertain the feelings of the client about the weatherization, educate on newly installed equipment and have the client sign and date the Weatherization Final Inspection form. The client will be provided a copy of the Final Inspection form.
- Any work the final inspector finds to be either incorrect or incomplete, will be documented. A Rework Notice or Additional work order will be issued to the contractor. The contractor has five (5) business days to correct the work and notify REAL Services that the job is now complete. An additional final inspection will be completed, if needed.

- In the event that a final inspection is failed, the client will be required to re-sign the inspection form after the rework is completed and the QCI has signed that the project has passed.

CLIENT EDUCATION

Client energy education is required under the audit priority list in Indiana. Paramount to helping individuals conserve energy and maintain reasonable energy costs, is the need for accurate and comprehensive information.

The intent in providing energy education is to help the client understand how their home operates as a system, and how measures performed can assist in keeping them safe and comfortable while saving their financial resources.

Auditors will be responsible for providing energy education materials to all potential clients. Those individuals whose home is deferred will also be provided with energy education information. The sharing of this valuable information will be documented in each client file.

CONTRACTORS

CONTRACTOR BACKGROUND CHECKS

All Real Services Weatherization employees and contractors will abide by the State of Indiana Weatherization Assistance Program Policies and Procedures (Section 600), concerning background checks.

The Real Services Weatherization Program Manager will review the contractor's invoices to verify that all employees working in the home are in compliance.

The Real Services Weatherization Technical Manager will either himself (or have a Real Services Auditor) visit the homes periodically to verify that the contractor's employees on site have had the correct background checks.

If during an work site visit, it is discovered that a new employee is on the site for whom we have no record of the completion of a required background check, or there is no background check paperwork available onsite, the employee will be removed until the correct paperwork is made available to REAL Services.

APPROVING CONTRACTORS

REAL Services will annually place a legal ad soliciting new contractors to participate in the Weatherization Program. All interested businesses will be required to complete an application providing basic information on the structure of their organization.

All staff employed by the contractor and designated to work for the Weatherization Program properties, will be required to submit to a criminal background check, and provide evidence of the outcome to REAL Services, prior to beginning work on any project.

Additional requirements include the provision of evidence of sufficient liability and workers compensation insurance coverage.

REAL Services will check all potential applications against the Federal disbarment list prior to approving the contractor for projects.

All Contractors wishing to become Weatherization certified will be required to pass competency training within the timeline established by IHCD. Contractors providing specialty services are not required to pass competency training.

CONTRACTOR RECERTIFICATION

Annually, REAL Services will complete a review of the federal contractor disbarment list to verify that Contractors with whom we have a working agreement, are not listed.

If any contractor is listed, REAL Services will not proceed with recertification of the contractor or the contracting process. If the contractor is currently working with a valid contract, REAL Services will notify the contractor that we will no longer contract with them through the Weatherization Program. No goods or services will be encumbered or paid through DOE or LIHEAP funding.

CONTINUING EDUCATION UNITS (CEUs)

- All Indiana Weatherization Competent individuals must acquire 16 CEUs per year (April 1 – March 31).
- The requirement of Continuing Education Units is designed to ensure that Indiana's Competent and Certified individuals increase their knowledge base beyond what is necessary to obtain the competency.
- REAL Services Weatherization Manager is responsible for tracking all contractors CEUs.
- All questions concerning CEUs can be directed to the Weatherization Program Manager.
- REAL Services and IHCD require that all CEU's be obtained through the accredited Weatherization courses offered at INCAA.
- Training outside of INCAA must receive prior approval from IHCD's Community Programs Manager prior to attending. Proof of this training must be provided to REAL in a certificate form.
- All Competent individuals must attend one Annual Competency Maintenance Training.

CONTRACTOR CERTIFICATION

Indiana's Weatherization Program requires that all certified contractors provide evidence of having met specific competency standards established by IHCD. Further, competency standards must be maintained and record provided to REAL Services, prior to expiration.

Competency standards include:

Retrofit Installers

Crew Leaders (shell only)

All individuals wishing to work with the Weatherization Program must be working for an approved contractor, in order to access training through INCAA and becoming Indiana Weatherization Competent.

CONTRACTOR MEETINGS AND COMMUNICATION

REAL Services believes in the value of working in partnership with the Weatherization Program Contractors. Excellent communication is critical to maintaining that partnership.

REAL Services will provide, at a minimum, an annual meeting where new contracts will be made available. On an on-going basis, REAL Services will provide feedback to the contractors on their progress in meeting program requirements. Information on program compliance will include expiring certifications, licensure, insurance and progress in meeting CEU requirements.

Contractors who have expired insurance or who have failed to sign their contract prior to the expiration date will be notified that they will not receive additional work until the required information has been provided.

WARRANTY OF WORK

Through the contracting process, Contractors will be required to guarantee the work performed for a period of one year from the date of installation, and as noted in the Manufacturer's Warranty.

REAL Services will not provide warranty on work or appliances beyond the Contractor's obligation.

PROGRAMMATIC

LEAD-BASED PAINT / XRF

- Any home built before 1978 or that has a child under the age of six (6) living there will be given to a Real Services Auditor that is certified to use an XRF. All data collected will be included in the client file. (see Child Occupied Facilities)
- If the XRF detects lead paint, the contractors will adhere to the required “Lead Safe Work Practices” as stated in the Indiana Weatherization Field Guide (3-3 to 3-17).

CHILD OCCUPIED FACILITY

Definition:

“Child-occupied facility” means a building or portion of a building that:

- 1) Was constructed prior to January 1, 1978
- 2) Does not qualify as target housing
- 3) Is visited regularly by a child who is six (6) years of age or younger and any of the following conditions exist for the building or portion of the building:
 - (A) The child visits at least two (2) days a week (Sunday through Saturday) and each visit lasts at least three (3) hours.
 - (B) The child visits at least six (6) hours each week
 - (C) The child’s combined annual visits during a calendar year total at least sixty (60) hours. The term includes day care centers, preschools, and kindergarten classrooms.

CONFINED SPACES

Confined Spaces

Definition:

A space that has limited or restricted means for entry and exit, and it is not designed for continuous occupancy. Confined spaces include, but are not limited to, underground vaults, tanks, storage bins, manholes, pits, silos, process vessels, and pipelines. *For construction or reconstruction work, attics, crawl spaces and overhangs with limited ceiling space or small space can be considered a confined space – especially for the purpose of SPF (29 CFR 1926 – General Construction Standard)*

SPF – Spray Polyurethane Foam

Real Services considers all crawl spaces, attics and most basements to be confined spaces per the OSHA 29 CFR 1926 rule. Any Real Services personnel, auditors, inspectors, contractors, etc. attempting to enter a designated confined space, as identified above, must conform to (a) the health and safety precautions as per (1) OSHA 29 CFR 1926 sub part C of the General Construction Standard, (2) IOSHA Guidance for Construction as applicable to Green Job Hazards, (3) OSHA Guidance for Green Job Hazards, Section titled “Green Job Hazards –

Weather Insulating/Sealing section, prior to entering the space, and (b) notify coworker or other responsible person on the jobsite when the employee is entering the confined space(s).

References:

- [OSHA.gov/dep/greenjobs/index.html](https://www.osha-slc.gov/dep/greenjobs/index.html)
- [OSHA.gov/dep/greenjobs/weather_spf.html](https://www.osha-slc.gov/dep/greenjobs/weather_spf.html)
- [OSHA.gov/dep/greenjobs/weather_confined.html](https://www.osha-slc.gov/dep/greenjobs/weather_confined.html)
- OSHA General Duty Clause, Section 5 a.1
- Indiana Department of Labor, IOSHA State Plan

METHAMPHETAMINES POLICY

Staff responsible for client intake will check the Meth Lab website www.in.gov/meth/1371.htm) before the pre-audit to identify if the house is listed. If the house is listed on the website as a Meth Lab, no contact will be made. Indication of a meth house will be noted on the application.

If a client calls inquiring about services, and their home has been identified on the website, staff will advise them that the house is on the Meth Lab website list, and because of that, REAL Services cannot provide services until their house has been cleaned as verified by evidence of having passed testing procedures.

REAL Services will send out a deferral letter, indicating that the house is listed on the Meth Lab website. REAL Services will document when a house is clean and has passed testing procedures so that weatherization activity may continue.

REAL Services staff and contractors who suspect Methamphetamine activity in the home should leave immediately and notify the Weatherization Program Manager. The Weatherization Program Manager will report to the Director of Housing Services and the determination will be made with regard to contacting authorities.

If Weatherization staff or contractors have been exposed to the home, the affected persons will be notified of possible exposure.

CLIENT CONFIDENTIALITY

REAL Services will not disclose CLIENT's confidential information to any other party without the prior written consent of CLIENT, REAL SERVICES may, however, disclose confidential information to its employees and/or programs only if the employee has a legitimate need to know and has agreed to terms similar to those in this Agreement.

Community Action Agency may also disclose this Confidential Information to:

- Medical personnel in an emergency;
- Qualified personnel for research, audits, or program evaluation, as long a CLIENT identities are not revealed;

- Appropriate authorities in cases of suspected criminal activity;
- Third party based on court orders; and
- Appropriate authorities in cases of suspected child abuse or neglect.

REAL Services will be responsible for any use or disclosure of Confidential Information by any of its employees or agents to third parties.

CLIENT GRIEVENCE POLICY

The client has the right to have an application considered without regard to race, color, religious creed, national origin, political beliefs, sex or marital status. The client has the right to appeal any decision regarding their application. A copy of the Weatherization Grievance Procedures will be given to any individual who has been or is a Weatherization client and who expresses concern regarding a decision.

The appeal process is intended to assure fair treatment of applicants. It is not intended to provide procedures by which the applicants may challenge the program guidelines such as eligibility or residency requirements, or to require REAL Services Weatherization Program to deliver services over which they have no control.

The client may communicate a grievance to the Weatherization Program Manager. If the issue is not resolved to the client's satisfaction, the Director of Housing Services should be notified in writing, within 10 days of receipt of the adverse decision.

If the client feels that REAL Services has not resolved the grievance appropriately, the client will be directed to contact the appropriate individual at the Indiana Housing and Community Development Authority, who after review, will refer the appeal to the IHCDCA Compliance Attorney.

The client will receive written acknowledgement of receipt of the appeal within 5(five) business days of its receipt, noting the day the appeal was received. All pertinent material from the case will be requested from Weatherization Sub-Grantee by the Compliance Attorney in order to make a determination. The applicant, as deemed appropriate, shall have the opportunity to review all documentation submitted to IHCDCA

The IHCDCA Compliance Attorney will have 45 (forty-five) days from IHCDCA's receipt of the written request for appeal to review the file and make a determination. The decision of the IHCDCA Compliance Attorney is final.

CLIENT FILES

Files will be organized in such a way as to maximize ease of access and to ensure uniform implementation of program requirements.

Intake staff will be responsible for securing initial eligibility information. Auditors will be responsible for securing technical information as the weatherizing process proceeds. All documents will support that proper policies and procedures were followed in the performance of work. All requirements of IHCD's most updated manual for the Weatherization Program, as noted in Section 200, will be followed.

A standardized file order will be established and maintained to ensure that all required documents are obtained. The Weatherization Program Manager will be responsible for a final review of the file and placement of the documents in the designated order.

PROGRAM MANAGEMENT

INVENTORY

No less than annually, REAL Services will conduct an inventory of all capital equipment and supplies.

The inventory will include:

1. A description of the item;
2. A manufacturer's serial number, model number, federal or national stock number, or any other identifying number;
3. The funding source paying for the property, including an award number;
4. The name of the title holder;
5. The date of purchase or acquisition;
6. Applicable percentages charged to each funding source, if multiple sources provided funding;
7. The location and condition of the property;
8. Record of any incident of accident that the property was involved in;
9. Unit acquisition cost; and
10. The disposition information, including the date of disposal and any funds generated from sale.

In addition, REAL Services will require that monthly inventory checks be completed on all Weatherization vehicles containing supplies and equipment.

In the event that an employee terminates employment for any reason, an inventory of their equipment will be completed on the final day of employment. Inventory will be completed by the Weatherization Program Manager with the departing employee or the employee's supervisor, in attendance.

The Director of Housing Services will be notified immediately of any discrepancies when the inventory process is completed.

CONFLICT OF INTEREST

The agency will have a process to ensure that applications from employees, family members of employees, and/or members of the Board of Directors receive a higher level of review and approval.

Procedures:

- Any Staff Member, Staff Family Member and/or Board Member will complete a mail-in application to the Energy Assistance Program; providing all required information
- Staff, Staff Family and Board Members' applications will be processed by the EAP Director (or assistant EAP Director in Director's absence). The applications will be reviewed, approved (or denied) and initialed by the EAP Director and CEO of REAL Services.

- The standards for eligibility and documentation of all EAP applications will be applied to Staff, Family of Staff and Members' applications
- Staff, Staff Family and Board Members' applications will be kept in the EAP Director's office. If the applicant receives Weatherization services, the application will be noted.
- REAL Services Staff must provide their most recent check stub available. If additional information must be provided, an updated check-stub must be submitted as well.
- REAL Services Staff must submit a wage and voucher history from Work One.
- Agency employees and members of the Board of Directors complete a Disclosure Form on an annual basis as an additional level of review and transparency.

SHARED USE OF WEATHERIZATION EQUIPMENT

On occasion, equipment may be made available for temporary use to another organization or program. REAL Services will provide a method for calculating the cost of use and charge any program or organization appropriately.

Detailed records of use will be maintained by the Weatherization Program Manager.

Any funds received will be used expressly for the purposes of furthering the work of the Weatherization Program. Funds received will be identified as Program Income and their use will follow IHCD guidelines as outlined in 403-Program Income of the Weatherization Program Manual.

Rental of equipment will not be used as a means of competing with private companies that provide equivalent services.

MANAGEMENT OF WORK FLOW

A work flow will be established that enhances the Weatherization Program to work efficiently and effectively while maintaining program requirements. The work flow established will begin at the point of determining client eligibility, as follows:

1. Once the client has been deemed eligible, the client file tracking sheet should be affixed to the front of the client's paper file. Files will be color coded according to the county.
2. The file will be placed in the PRIORITY box according to the matrix number. The higher matrix numbers will be placed in front. Whenever a new file is added, the order of the files may change.
3. When the pre-audit is complete, the client will be assigned a job number and information added to the tracking database.
4. If the home is deferred, the Auditor should place the file in the appropriate box.
5. When the work order is complete, it will be given to the Aging in Place Coordinator for bid/award.
6. The Aging in Place Coordinator will place the file in the box assigned to the appropriate contractor.
7. Once the mechanical invoice is received, The Weatherization Program Manager will pull the file and notify the Auditor and place the file in the "Ready for Inspection" box.
8. The auditor will complete their inspection and ask for a re-work or approve the invoice for payment. If the invoice is approved, the file will be given to the Director of Housing Services for payment.
9. If there is a rework, the auditor will note that on the file and place it back in the "Rework" box. The process will then start again until the work is approved.

10. Once the mechanical invoice is paid, the Director of Housing Services will give the file to The Weatherization Program Manager.
11. The client's information will be entered in Roeing. The file will then be given to Todd.
12. The work will be assigned to a shell contractor.
13. When the work has been awarded, the file will be placed in the appropriate contractor's box.
14. Once the shell invoice is received, The Weatherization Program Manager will pull the file and place the file in the "Ready for Final" box.
15. The QCI will complete the final inspection and ask for a re-work or approve the invoice for payment. If the invoice is approved, the file will be given to the Director of Housing Services, for payment.
16. If there is a rework, the auditor will note that on the file and place it back in the "Rework" box. The process will then start again until the work is approved.
17. When payment is complete, the file will be given to The Weatherization Program Manager to check for completeness, put the file in order, and complete the data entry in Roeing.

VEHICLES, EQUIPMENT AND SUPPLIES

The purchase of any vehicles, equipment or supplies will follow the procurement policies noted in this manual and within the guidelines established by IHCD and the Weatherization Program Manual.

All vehicles, equipment and supplies paid for by IHCD will be used exclusively for the use by the Weatherization Program. If equipment is made available for temporary use to another organization or program, REAL Services will provide a method for calculating the cost of use and any funds received will be used expressly for the purposes of furthering the work of the Weatherization Program. Detailed records of use will be maintained by the Weatherization Program Manager.

Any vehicle purchased with federal funds will list Indiana Housing and Community Development as the lien holder. The title will be mailed to IHCD Weatherization Program, who will hold the title.

When the property no longer has use or is no longer needed, the Weatherization Program will dispose of the item(s). Any disposal of inventory will follow IHCD guidelines regarding sale and disposal of property.

REAL Services will develop a maintenance schedule for all inventoried property, and track compliance as appropriate.

TRACKING AVERAGE COST PER HOME

In order to stay within IHCD guidelines for average cost per home, REAL Services will bill only within the allowable limits in each monthly reimbursement request.

Any expense for program operations, beyond the maximum allowable will be paid from agency funds or local resource if available.

The average cost per home, as determined by IHCD, will be updated weekly as operational and program expenses change. The updated information will be posted in an area visible to Weatherization Program staff and contractors.

TRACKING COMPLETIONS

Home completions will be tracked in a database maintained by the Director of Housing Services as invoices are presented and processed.

Tracking of completions will enable "real time" calculations of average cost per home and allow REAL Services to easily identify progress in meeting program benchmarks.

Tracking will include information on the client's county of residence and matrix number to ensure compliance with both the allocation of funds and the priorities established by IHCD.

When the number of completions projected differs from the number delivered, a contract revision request will be completed and submitted to IHCD for approval.

ENTERING WORK IN ROEING

The Weatherization Program Manager will be responsible for entering data in Roeing on the weatherization process.

Recognizing the need for timely data entry for IHCD to accurately and effectively monitor utilization, client information will be added to Roeing when the mechanical invoice is received and ready for payment. All technical information will be entered as it becomes available.

When all invoices have been received and the final audit performed, the remaining data will be entered and the file closed. Any changes occurring after the file has been closed will require approval and opening of the file by IHCD staff. Requests to reopen files should be limited, which requires precision by the Weatherization staff to ensure that information is entered as completely and accurately as possible.

CLIENT FILE ORDER

Client files will be maintained in an intuitive manner. The intent in having a file order is to ensure ease of access to information from program auditors and staff. File order will be determined by the Weatherization Program Manager with input from the technical staff.

Files will be placed in order after the last invoice has been received. Each section of the file will be introduced by a checklist outlining the contents of that section. Every file will follow the checklist on the appropriate section.

INFORMATION BREACH

The Weatherization Program will follow the policies of REAL Services, in the event of a breach of information.

STAFF TRAINING AND CERTIFICATION

- All Indiana Weatherization Competent individuals must acquire 16 CEUs per year (April 1 – March 31).
- The requirement of Continuing Education Units is designed to ensure that Indiana's Competent and Certified individuals increase their knowledge base beyond what is necessary to obtain the competency.
- Staff are encouraged to continue to progress and build on their technical and programmatic knowledge.
- Staff are required to seek all relevant certifications for their area of expertise.
- REAL Services Weatherization Manager is responsible for tracking all staff training and CEUs.
- All questions concerning CEUs can be directed to the Weatherization Program Manager.
- REAL Services and IHCDA require that all CEU's be obtained through the accredited Weatherization courses offered at INCAA.
- Training outside of INCAA must receive prior approval from IHCDA's Community Programs Manager prior to attending.
- All Competent individuals must attend one Annual Competency Maintenance Training.

PROCEDURES FOR SAFETY DATA SHEETS

In order to provide quick access and reference in the event of an emergency, Real Services will maintain a binder containing information regarding all applicable GIS/MSDS hazardous materials. The information will be housed in the weatherization office.

Information on all pertinent hazardous materials will also be available in each agency field employee vehicle. Access to these binders will be available at all times and on all jobsites in the event of an emergency or upon request. Data sheets will be updated as needed, or when new products are added to either the building or the vehicles, or when manufacturers issue changes and updates to existing data sheets.

Each field employee will be provided with required personal protective equipment (PPE). These required items include at a minimum, respirators (half-mask or paper), disposable non-permeable coveralls, protective gloves, safety glasses and shoe covers. Any recommended additional PPE will be provided to the field employee upon request to the safety representative or the employee's direct supervisor.

Examples of additional PPE items include knee pads, bump hats, hard hats, coveralls, hearing protection and applicable safety equipment.

REAL Services will periodically visit sites to determine if the contractor has provided MSDS information that is available to workers.

Employees are required to report all accident incidents, whether in the field or in the facilities regardless of the severity of the injury. Incident report forms may be obtained from REAL Services intranet, Administration and Finance or their direct supervisor. Incident reports shall

be filed at the earliest possible time after the incident but no later than 24 hours after the occurrence. See: Worker's Compensation and Medical Treatment.

OSHA

All Weatherization workers, staff and contractors, will be required to complete OSHA 10 training within the first six months of employment.

OSHA 30 training will be required for all crew supervisors and HVAC employees who may be working alone. This training must be completed within the first six months of employment. All employees and contractors will be required to follow OSHA guidelines at all times.

WORKER'S COMPENSATION AND MEDICAL TREATMENT

If a weatherization employee suffers a work-related injury requiring treatment, they are to use the "Authority to Treat" form when seeking medical care at that appropriate facility.

In the event that an injury occurs, an incident report must be completed and sent to Administration and Finance within 24 hours of the incident, regardless of whether treatment beyond first-aid is required.

DRUG FREE WORKPLACE

REAL Services will not employ individuals known to use drugs illegally and/or uses illegal drugs. The Agency will provide drug testing for all candidates considered for full-time employment as part of the recruitment and selection process and will deny employment to candidates who test positive.

The use of drugs illegally or the use of illegal drugs of any kind, alcohol, or other chemical substances during working hours or at times when the use of a substance affects an employee's ability to perform his/her job is not permitted.

The Federal Drug Free Work Place legislation, specifically Section 628 of Public Law 100-440, adopted by Congress to be effective 1/16/89 is, by reference, made a part of these policies.

SITE VISITS

Auditors will attempt to complete periodic and unannounced site visits to ensure that work is progressing per the program guidelines and scope of work.

During the site visit, auditors will also check for the availability of SDS relevant to the materials being used by the workers. In addition, auditors may check that recommended safety equipment is available and safety guidelines are followed.

QUALITY ASSURANCE

In a commitment to excellence, REAL Services has established quality assurance procedures for the weatherization program. The perspective of service recipients is critical to evaluating the quality of the program. Client input will be obtained from a satisfaction survey that will be sent to clients that have received Weatherization services. The survey will be conducted annually. Any concerns identified through the client survey will be discussed with the client. All issues will be evaluated and resolved if possible. Client confidentiality will be maintained at all times.

COVID 19 Policies and updates

Respirator Protection and Safety Plan

Per IHCDAs guidance all Weatherization professionals must wear proper personal protective equipment at all times while in a client's home.

During the COVID 19 active pandemic, REAL Services staff will have the option to wear full mask respirators if they so choose to wear one. OSHA requirements for regular maintenance and proper fit will be followed by all staff who utilize full mask or can style respirators. REAL does not utilize extended use respirator practices. This plan is intended to give guidance for auditor style work. Whenever retrofit work is being completed the standard SWS protections will be followed.

Standard Facemask Protection Plan

Per the CDC's guidelines, staff will be required to wear, at minimum, a cloth face cover when utilizing PPE. The cloth masks will be worn while inside a home and providing weatherization services. The CDC does not recommend using facemasks meant for healthcare workers, therefore REAL will not require staff to wear those style masks. However the employee still has the option to utilize respirators. This plan is intended to give guidance for auditor style work. Whenever retrofit work is being completed the standard SWS protections will be followed.

Existing Employee Health Screening Plan

All REAL Services Weatherization employees will self-screen prior to each shift. Their temperature is documented daily. All employees will report any symptoms of COVID 19 to their supervisor. Staff will stay home if they are displaying any symptoms.

COVID 19 Safety

All Weatherization professionals will complete the COVID-19 safety class prior to resuming in-home weatherization services. Any contractor that has not completed the training will be bypassed on bids and round robin jobs. Once the training has been completed the contractor will return to their respective place outline in the procurement section of the policy and procedures manual.

Contractor Requirements

All contractors will be required to follow IHCDAs guidance on in home weatherization that is outlined in the mandatory COVID training.

❖ **See last page for Comprehensive COVID-19 Plan**

FINANCIAL POLICIES

PROCUREMENT PROCEDURE

1. The Agency will prepare a notice seeking contractors; geographic limits; procedure for securing additional information; and a deadline for a response.
2. The Agency will direct the notice to potential providers, hereinafter referred to as “contractors,” via the newspaper in the area with the widest circulation in order for contractors to register their intent with the Agency. In addition, known contractors will be notified directly of services being requested.
3. Eligibility of interested contractors will be determined by the Agency in accordance with the following:
 - a. Adequate liability insurance coverage as required by law;
 - b. Determination of contractor’s compliance with Indiana’s Worker’s Compensation rules.
 - c. Appropriate licensure and certification.
 - d. Compliance with the requirements of the Agency Agreement.
4. After eligibility determination by the Agency, an “Agreement” will be executed with each qualified contractor. The agreement outlines the conditions, requirements and standards that the contractor must follow.
5. The Agency will determine the work to be performed.
6. All eligible mechanical contractors will be given the opportunity to bid. Contractors will be sent bid opportunities based on the geographic area they specified on the “Contractor Information” section of their last executed Contract. Contractors will be responsible to contact the resident for an appointment to view the work to be completed.
7. Request for bids will be sent to the contractor via e-mail or facsimile. Bids must be returned to REAL Services within five (5) business days.
8. Bids must be written according to the work order. An additions or changes must be identified and justified. Labor and materials must be listed separately on any bid submitted.
9. REAL will approve the lowest mechanical bid. The winning contractor will be notified via facsimile or email. All work must begin within five (5) business days of the awarded bid.
10. A simple project like a “clean and tune”, water heater replacement or fan installation will be sent to a mechanical contractor serving the area where the home is located, and who is available to do the work. The project will be sent round robin and will not be bid. Contractors who have less than three (3) open projects will be given priority in the round robin process.
11. The bid may be awarded to the alternate contractor if the work cannot be completed according to time frames outlined in this procedure or guidelines set forth by IHADA.

12. All work will be completed within ten (10) business days from the date of award notification including testing. Form submission and invoice will be submitted within 5 days of completion. In unusual circumstances, the contractor may request an extension.
13. Contractors will not be paid for any work until the home is completed, inspected and approved by REAL Services staff and the client.
14. In order to ensure a continued work flow, for the mechanical process, mechanical awards will be granted to contractors with less than three (3) active jobs. Contractors with more than three active projects will only be awarded a home when all available contractors also have three active projects. Contractors will then be awarded jobs based on the lowest number of active jobs. The contractor with the lowest number of active homes will receive priority. This will go for both bid and round robin style awards. In bid jobs the lowest bid from a contractor with less than three projects will be awarded. An active project is defined by any job that has been awarded but not completed. Furthermore, any job that has been with a contractor for longer than the allotted time frame, on the award and agreed upon in the contractor's contract with REAL, will be recalled from that contractor and awarded to the next lowest bidder or the next contractor in the round robin lineup.
15. For Shell contractors, work will be distributed in a round robin fashion based on the geographic area they specified on the "Contractor Information" section of their last executed Contract. Shell contractors will follow the price list and work requirements noted in the agreement.

MECHANICAL AND SHELL PRICING

- REAL Services will conduct an annual review of price listing for shell materials. Prior to this annual review, contractors will be allowed to submit bid sheets. REAL Services will conduct a cost –analysis to ensure set prices are "fair and reasonable".
- Real Services Auditors will write their work order pricing based on the latest "up-to-date/agreed upon" price list. This price list will be compiled by Real Services.
- If a contractor feels they need a revised price on certain items before the annual price review, it is up to the contractor to bring this revised price to the attention of the Weatherization Technical Manager.
- If/once a new price is agreed upon the Weatherization Technical Manager will advise the Real Services Auditors and contractors by printing out a revised price list for each.
- If new or reoccurring items appear on contractor invoices, REAL Services will work with local vendors to determine the price and add the item(s) to the approved price list.

SPENDING AND PRODUCTION BENCHMARKS

Annually, REAL Services submits production and spending projections that serve as performance benchmarks, through the contract budget form.

Monthly, REAL Services will compare projections for both spending and production and them submit contract revisions to IHEDA as needed.

REAL Services will post spending and production benchmarks in an accessible area to both Weatherization staff and contractors.

Progress on production benchmarks will be shared with contractors via a quarterly update. The update will also provide information on the contractor's progress in meeting the CEU benchmarks for their staff.

REAL Services Weatherization program will set a goal of meeting and exceeding production benchmarks, expressly for the purposes of accessing any additional incentive funding offered through IHEDA.

INVOICING

- Contractor invoices, including a list of all employees who worked in the client's home, will be submitted along with an agency invoice to the Weatherization Program Manager. After verification, a voucher for payment will be submitted to the fiscal department.
- Contractor invoices must separately identify material costs from Labor costs, as per the Indiana Weatherization Field Guide, and Real Services work order. If the invoice does not follow this format, the invoice will be rejected until it is submitted correctly. The date of the corrected invoice submission will be the recorded date the invoice was received.
- The Weatherization Program will approve the invoice after the contractor has completed their work and the project has passed an Interim Audit (for Mechanical Contractors) or Final Audit (for Shell Contractors). The invoice will not be submitted for payment until all work is complete, inspected and approved.
- All approved invoices will be submitted for payment processing within the timelines specified in the Agreement.
- If an Interim or Final Inspection has "failed", the Real Services Inspector will notify the contractor of items that must be addressed in order to pass. The contractor has five (5) business days to remedy the issues or show proof of attempts to remedy the items.
- Real Services, Inc. will enter the invoice into the accounts payable system; make a claim to IHEDA for payment of the invoice.
- REAL Services will attempt to pay the contractor within 1(one) week of a correctly submitted invoice.

CLAIMS REIMBURSEMENT

REAL Services will submit properly completed and supported claims monthly. Claims for work provided on homes will only occur after the invoice has been received and the work inspected and approved by Weatherization staff.

REAL Services will submit a claims reimbursement plan to IHEDA for their approval prior to implementation and prior to any changes in reimbursement practices.

All close out reports and final claims will be submitted to IHEDA within the required 45 calendar days after the end of the program year.

ALLOCATION OF FUNDS

Weatherization funding will be targeted based on the most current census information available at the www.census.gov website. Funding, will be targeted to each county for both DOE and LIHEAP based on the total population for each county.

The agency will strive to provide a proportionate share based on the percentage of the population. Once all eligible individuals have been contacted, if funding remains, it may be used to serve another county that has a need that exceeds their available funding.

Funding applied within each county will be based on the priority list outlined in ***Client Selection** portion of this manual, in accordance to 10 CFR 440.16.

Counties	population	percentage
Elkhart	201,971	33 %
Fulton	20,500	3 %
Kosciusko	78,564	13 %
Marshall	47,107	8 %
St. Joseph	267,618	43 %
TOTAL	615,760	100%

LANDLORD CONTRIBUTIONS

Per Section 300 of the Indiana Policy and Procedures Manual, priority systems must be applied equally to both renter and owner occupied dwellings. In order to ensure that both renters and home owners are equally served, landlords will not be required to provide any financial contribution.

Multi-Family OWNER CONTRIBUTIONS

To ensure the equal treatment of all renters and owner occupied dwellings, REAL's Multi-Family policy will mirror the Landlord policy for all other renters. Multi-Family owner contributions will not be required.

Landlords may follow the appeal process outlined for clients under the Client Grievance Policy for any deferred property.

ACCESSING TRAINING FUNDS FOR CONTRACTORS AND EMPLOYEES:

IHCDA has made funding available for training of staff and contractors. All reimbursement must go through the Weatherization program that will determine the perimeters and provide guidelines on seeking reimbursement.

Any exceptions to this policy must be pre-approved by the Weatherization Director and/or IHEDA.

Contractor qualifications – A contractor must demonstrate their commitment to providing weatherization services by having an active contract with the Weatherization Program before accessing funds. If the contractor or their staff does not complete the training, they may not request reimbursement.

Allowable Costs – Allowable training costs include:

- class fees (INCAA courses only – listed in section 602 and 604 of the Weatherization policy manual);
- material fees (if applicable);
- mileage (at the agency's rate);
- lodging for one person per contractor for a training lasting two or more days;
- written field testing costs
- CEU events
- Time attending training

Documentation – All expenses must include documentation.

- ✓ Documentation must be provided to the agency within 2 weeks of training completion.
- ✓ Submissions must be on an invoice provided by the Weatherization program.
- ✓ Documentation must include a copy of the receipt for the expense.
- ✓ Class fees must also include a copy of the certificate indicating the class was successfully completed.
- ✓ Certificates may include BPI portal information or a document from INCAA verifying that the person successfully passed.

Weatherization plan in response to COVID-19

The following plan will be in place during the active COVID-19 pandemic of 2020. The plan will be re-assessed as needed and in accordance with IHCD rules and policies.

Personal Protective equipment:

All weatherization staff and contractors will follow REAL's Respirator Protection and Safety Plan. Due to the availability of certain masks, any face covering will be acceptable provided that it covers both the mouth and nose. If a non-traditional mask is used, the CDC's recommendation regarding the use of cloth face masks will be followed. All weatherization staff and contractors will also be required to sanitize their hands before and after each on-site visit or wear disposable gloves.

Equipment Sanitation:

All weatherization staff and contractors will be required to sanitize any equipment used during an on-site visit prior to entering another residence. Refer to the CDC's website on cleaning and disinfecting your facility for best practices.

Maintaining Social Distancing:

Any portion of weatherization requiring staff or contractors to be on site at a residence must be conducted while following social distancing guidelines with the residents. Residents will be asked to stay in a location where work is not being performed whenever possible. Client education and/or any necessary paperwork must follow the same guidelines and will be conducted by phone if feasible.

Additional Screening Measures:

To protect weatherization staff and contractors, the following list of questions will be asked to each client, responses will be documented, before scheduling any on-site visit during the entire weatherization process:

1. Has anyone in your residence had close contact with or cared for someone diagnosed with COVID-19 within the last 14 days?
2. Has anyone in your residence experienced any cold or flu-like symptoms in the last 14 days (including fever, cough, sore throat, difficulty breathing)?
3. A Covid-19 information sheet, including client responsibility and safe practices will be provided to each client along with other Weatherization documents.
4. The screening process will include ensuring that all at risk groups are identified. Any home with an at-risk individual will be skipped on the list until IHCD's guidance allows Wx to continue in those homes.

Weatherization staff and contractors will communicate on a regular basis to discuss any COVID-19 concerns on any in-process jobs. Any client reporting having contact or symptoms will be put on a mandatory 14 day waiting period before being reassessed. If a client appears to be sick during an on-site visit, work must cease immediately and the job will be put on a mandatory 14 day waiting period before being reassessed for completion.