**Weatherization Grantee Health and Safety (H&S) Plan *Optional Template***

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| **1.0 – General Information** | |
| **Additional information that does not fit neatly in one of the other sections of this document.** | |
| Enter Additional H&S Information Here | |
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| **2.0 – Budgeting** | |
| *Grantees are encouraged to budget H&S costs as a separate category and, thereby, exclude such costs from the Average Cost Per Unit (ACPU) cost limitation. This separate category also allows these costs to be isolated from energy efficiency costs in program evaluations. H&S costs that are budgeted and reported under the Program Operations category rather than the H&S category, the related H&S costs must be included in the calculation of the ACPU and cost-justified through the Grantee’s Department of Energy (DOE)-approved energy audit tool.* | |
| **Select which option used below.** | |
| Separate H&S Budget | Contained in Program Operations |
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| **3.0 – H&S Expenditure Limits** | |
| *Pursuant to* [*10 CFR 440.16(h)*](https://www.ecfr.gov/cgi-bin/text-idx?SID=f78e4ee30175d8063f1e1ce6eb728f94&mc=true&node=se10.3.440_116&rgn=div8)*, Grantees must establish H&S expenditure limits for their Program and provide justification for those limits by explaining the basis and related historical H&S expenditures. DOE acknowledges that it may be necessary for Grantees to deviate from historical expenditures when certain circumstances arise (e.g. funding source changes).*  [*10 CFR 440.16(h)(2)*](https://www.ecfr.gov/cgi-bin/text-idx?SID=f78e4ee30175d8063f1e1ce6eb728f94&mc=true&node=se10.3.440_116&rgn=div8) *dictates that these limits must be expressed as a percentage of the ACPU. To calculate this percentage use the following formula:*  *For example, if the ACPU is $5,000 and a Grantee’s Program expends an average of $750 per dwelling on energy-related H&S measures, the Total Average H&S Cost per Unit would equal 15 percent. DOE acknowledges that this percentage may vary significantly between Grantees due to different geographical areas and depending upon the availability of other funding sources, resource availability, etc. Low percentages should include a statement of what other funding supports H&S costs, while larger percentages will require greater justification and relevant historical support.*  *15 percent is not a maximum limit on H&S expenditures. DOE will conduct a secondary level of review on H&S Plans with a Grantee request of more than 15 percent of Program Operations used for H&S purposes, .* ***DOE strongly encourages using the table below in developing justification for the requested H&S budget amount.*** *In accordance with* [*10 CFR 440.18(d)(15)*](https://www.ecfr.gov/cgi-bin/text-idx?SID=f022d7020e1bf0a19a73d6edb7c32f62&mc=true&node=pt10.3.440&rgn=div5#se10.3.440_118)*, these funds are to be expended by the Program in direct weatherization activities, “of which is necessary before, or because of, installation of weatherization materials.” This same section of the regulation excludes the H&S costs from the ACPU limitation if H&S costs are budgeted separately.*  *DOE recommends reviewing recent budget requests and compare those to actual H&S expenditures to see if previous budget estimates have been accurate. The resulting Total Average H&S Cost per Unit multiplied by the Grantee’s production estimate in the Annual File should correlate to the H&S budget amount listed in the Grantee’s annual plan..* | |
| **H&S expenditure limits and justification explaining the basis for setting the limits.** | |
| Describe H&S Expenditure Limits and Justification Here | |
| **Utilizing the spreadsheet embedded below, provide a full list of H&S measures using historical data from your program, including average cost, and frequency rate. If installing more than a single instance of one measure in a unit (e.g. multiple CO alarms), Grantees may aggregate costs so that frequency does not exceed 100%, or enter a justification into the measure column, which explains why that measure has a frequency rate of over 100%. The spreadsheet will auto calculate your expected Total Average H&S Cost per Unit.**  **Instructions: Double-click icon directly below to open, view and edit Measure Matrix Spreadsheet. Complete the spreadsheet by entering the required information. To save, close the spreadsheet and it will save to this document.** | |
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| **4.0 – Incidental Repair Measures** | |
| *Any measures that could potentially be identified as H&S but the Grantee chooses to instead identify and treat those measures as incidental repair measures (IRMs), must be implemented consistently throughout the Grantee’s weatherization program. The measure must fit the regulatory definition of an IRM and be cost justified along with the associated energy conservation measure and/or package of measures.* [*10 CFR 440.3*](https://www.ecfr.gov/cgi-bin/text-idx?SID=f022d7020e1bf0a19a73d6edb7c32f62&mc=true&node=pt10.3.440&rgn=div5#se10.3.440_13) *defines Incidental Repairs as, “those repairs necessary for the effective performance or preservation of weatherization materials.*” | |
| **H&S measures identified and treated as IRMs within your Program.** | |
| List All H&S Measures Which Are Listed As IRMs Here | |
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| **5.0 – Occupant Pre-Existing or Potential Health Conditions and Hazard Identification and Notification Form(s)** | |
| *Grantees must include policies/procedures for informing clients of the aspects of weatherization that may put a client with pre-existing health conditions at risk during installation of measures. This screening may occur as part of the initial application for weatherization and/or during the energy audit. Procedures must include what steps will be taken and/or available to the client to ensure that weatherization work will not aggravate pre-existing health conditions. Additionally H&S assessments are required to identify hazards in the home. For those hazards identified, appropriate testing is required when applicable. The client/landlord/property manager must be informed in writing of all testing results, including identification of a hazards revealed by the testing that will lead to deferral/referral.*  *Grantees are required to develop documentation forms that include at a minimum:*   * *Occupant Pre-existing or Potential Health Conditions;*   + *Screen occupant(s) to self-report known or suspected health concerns either as part of initial application for weatherization, during the energy audit, or other parts of the weatherization process as specified;*   + *Inform client in writing of any known risks; and*   + *Provide client with Subgrantee point of contact information in writing so client can inform of any issues.* * *Hazard Identification Notification Form*   + *The occupant(s) (and Landlord’s, if applicable) name and address;*   + *Date(s) of the energy audit/assessment and when the occupant(s) (and Landlord, if applicable) was informed of a potential H&S issue;*   + *A clear description of the problem;*   + *A statement indicating if, or when weatherization could continue; and*   + *The occupant(s) (and Landlord’s, if applicable) signature(s) indicating that they understand and have been informed of their rights and options.* | |
| **Procedure for soliciting occupants’ health and safety concerns related to components of their homes** | |
| Describe Guidance Provided To Subgrantee Here | |
| **Procedure for determining whether occupants suffer from health conditions which may be negatively impacted by the act of weatherizing their dwelling** | |
| Describe Guidance Provided To Subgrantees Here | |
| **Procedure for addressing potential health concerns including pre-existing health conditions when they are identified** | |
| Describe Guidance Provided To Subgrantees Here | |
| **Documentation Form(s) have been included for review?** | |
| Yes  No | |
| **Location where forms have been uploaded/submitted** | |
| Separate attachment to SF424  Separate attachment to H&S Plan | |

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| **6.0 – Health and Safety Categories** |
| *For each of the following H&S categories identified by DOE:*   * *Explain whether you concur with existing guidance from Weatherization Program Notice (WPN) 17-7 and how that guidance will be implemented in your Program, if you are proposing an alternative action/allowability, or if the identified category will not be addressed and will always result in deferral. Alternatives require comprehensive explanations as to how it meets the intent of DOE guidance.* * *Where an action/allowability or testing is “required” or “not allowed” through WPN 17-7, Grantees must concur, or choose to defer all units where the specific category is encountered.* * *Any activities that are marked as deferral/referrals must contain the H&S reasons specified within the Master File Section V.1.2 Box 5 Deferral/Referral.* * *Unless an alternate funding source(s) is declared, utilize DOE funds to address the particular category.* * *Describe the explicit methods to address the specific category.* * *Describe in detail what testing protocols (if any) used to assess the particular category.* * *Define and quantify minimum thresholds that determine minor, major, and limited definitions and the criteria used to make a determination on a case-by-case basis.* * *Define “at-risk” occupant(s) and identify minimum documentation requirements for them.* * *Client Education activities specific to H&S reasons is required within the Master File Section V.8.4 Training and Technical Assistance of the annual application.* * *Training activities specific to H&S reasons is required within the Master File Section V.8.4 Training and Technical Assistance of the annual application.* |

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| **6.1 – Air Conditioning and Heating Systems** | | |
| **Concurrence, Alternative or Deferral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Air Conditioning Unallowable with DOE Funds  Heating Unallowable with DOE Funds  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Procedure for unsafe or non-functioning primary heating/cooling systems** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Procedure for unsafe or non-functioning secondary heating systems, including unvented secondary space heaters** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Definition of and documentation required for “at-risk” occupants** | | |
| Describe Definition Of And Documentation Requirements Here | | |
| **Testing protocols** | | |
| Describe Detailed Testing Protocols Here | | |

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| **6.2 – Asbestos (Confirmed and/or Presumed Asbestos Containing Material)** | | |
| **Concurrence, Alternative or Deferral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Asbestos on Heating, Ventilation and Air Conditioning (HVAC) systems, distribution, venting and other small surfaces that will be disturbed through the course of weatherization work policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Asbestos in attics, walls, floors roofs and foundations that will be disturbed through the course of weatherization work policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Vermiculite that will be disturbed through the course of weatherization work policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Blower door testing policy when asbestos/vermiculite is present** | | |
| Describe Blower Door Testing Policy Here | | |
| **Testing protocols** | | |
| Describe In Detail Testing Protocols Here | | |
| **Documentation requirements** | | |
| Describe In Detail Documentation Requirements Here | | |
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| **6.3 – Biologicals and Unsanitary Conditions**  (e.g., odors, mustiness, bacteria, viruses, raw sewage, rotting wood) | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Biological and unsanitary conditions in dwellings policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Testing protocols** | | |
| Describe In Detail Testing Protocols Here | | |
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| **6.4 – Building Structure and Roofing (e.g., roofing, wall, foundation)** | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Structural issues in dwellings policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Define and quantify minor or allowable structure and roofing issues. At what point are these considered beyond the scope of weatherization?** | | |
| Describe Minor, Allowable and Quantify Definitions Here | | |
| **If priority lists are used and these repairs are designated as IRMs, at what point is a site-specific electronic energy audit required?** | | |
| Describe Guidance Provided To Subgrantees Here | | |
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| **6.5 – Code Compliance** | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Code compliance issues in dwellings policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
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| **6.6 – Combustion Gases** | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Combustion gas issues discovered during testing, including those that require an immediate response policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Testing protocols** | | |
| Describe In Detail Testing Protocols Here | | |
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| **6.7 – Electrical** | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Electrical hazards, including knob & tube wiring, in dwellings policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Define and quantify minor electrical issues. At what point are these considered beyond the scope of weatherization?** | | |
| Describe Minor And Quantify Definitions Here | | |
| **If priority lists are used and these repairs are designated as IRMs, at what point is a site-specific electronic energy audit required?** | | |
| Describe Guidance Provided To Subgrantees Here | | |
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| **6.8 – Formaldehyde, Volatile Organic Compounds (VOCs), Flammable Liquids, and other Air Pollutants** | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Formaldehyde, VOCs, flammable liquids and other air pollutants in dwellings policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Testing protocols** | | |
| Describe In Detail Testing Protocols Here | | |
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| **6.9 – Fuel Leaks** *(please indicate specific fuel type if policy differs by type)* | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure | | |
| **Fuel leak remediation protocols** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **At what point are fuel leaks considered beyond the scope of weatherization?** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Testing protocols** | | |
| Describe In Detail Testing Protocols Here | | |
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| **6.10 – Gas Range/Ovens** | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Unsafe gas range/ovens policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Testing protocols** | | |
| Describe In Detail Testing Protocols Here | | |
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| **6.11 – Hazardous Materials Disposal [e.g., Lead, Refrigerant, Asbestos, Mercury (including CFLs/fluorescents), etc.]** *(please indicate where policy differs by material)* | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Hazardous materials disposal policy (existing material/appliance and hazardous material)** | | |
| Describe Disposal Policy Here | | |
| **Documentation requirements** | | |
| Describe In Detail Documentation Requirements Here | | |
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| **6.12 – Injury Prevention of Occupants and Weatherization Workers**  (e.g., repairing stairs and replacing handrails) | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Injury prevention measure(s) policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Define and quantify minor or allowable injury prevention measures. At what point are these considered beyond the scope of weatherization?** | | |
| Describe Minor, Allowable and Quantify Minor Definitions Here | | |
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| **6.13 – Lead Based Paint** | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Lead safe work protocols** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Testing protocols** | | |
| Describe In Detail Testing Protocols Here | | |
| **Documentation requirements** | | |
| Describe In Detail Documentation Requirements Here | | |
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| **6.14 – Mold and Moisture**  (e.g., drainage, gutters, down spouts, extensions, flashing, sump pumps, dehumidifiers, landscape, vapor retarders, moisture barriers) | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Moisture related issues in dwellings policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Define and quantify minor or allowable moisture-related measures. At what point are these considered beyond the scope of weatherization?** | | |
| Describe Minor, Allowable and Quantify Definitions Here | | |
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| **6.15 – Pests** | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Pests and pest intrusion prevention policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Define and quantify pest infestation thresholds. At what point are these considered Beyond the scope of weatherization** | | |
| Describe Minor and Quantify Pest Infestation Definitions Here | | |
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| **6.16 – Radon** | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Procedure for radon in dwellings** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Testing protocols** | | |
| Describe In Detail Testing Protocols Here | | |
| **Documentation requirements** | | |
| Describe In Detail Documentation Requirements Here | | |
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| **6.17 – Safety Devices: Smoke and Carbon Monoxide Alarms, Fire Extinguishers** | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Installation or replacement policy for the following safety devices:** | | |
| Smoke Alarms: Describe Smoke Alarm Guidance Here | | |
| Carbon Monoxide Alarms: Describe Carbon Monoxide Alarm Guidance Here | | |
| Fire Extinguishers: Describe Fire Extinguishers Guidance Here | | |
| **Testing protocols** | | |
| Describe In Detail Testing Protocols Here | | |
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| **6.18 – Ventilation and Indoor Air Quality** | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| **Version of American Society of Heating Refrigeration and Air-conditioning Engineers (ASHRAE) 62.2 Implemented (optional: identify Addenda used)** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Procedures for complying with implemented ASHRAE standard** | | |
| Describe Guidance Provided To Subgrantees Here | | |
| **Testing protocols** | | |
| Describe In Detail Testing Protocols Here | | |
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| **6.19 – Window Repair, Door Repair** | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Window repair and door repair H&S policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
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| **6.20 – Worker Safety (e.g., OSHA)** | | |
| **Concurrence, Alternative or Deferral/Referral** | | |
| Concurrence with DOE Guidance | Alternative Guidance | Results in Deferral/Referral |
| Unallowable Measure with DOE Funding  Other Funding Source Addresses H&S Issue  Enter Funding Source | | |
| **Federal, state and local worker safety requirements policy** | | |
| Describe Guidance Provided To Subgrantees Here | | |
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