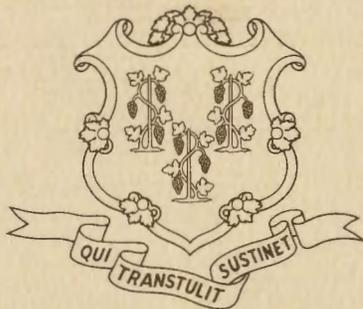


Weatherization Assistance for Low Income Persons

Connecticut

General Assembly



LEGISLATIVE
PROGRAM REVIEW
AND
INVESTIGATIONS
COMMITTEE

November 1980

CONNECTICUT GENERAL ASSEMBLY

LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS COMMITTEE

The Legislative Program Review and Investigations Committee is a joint, bipartisan, statutory committee of the Connecticut General Assembly. It was established in 1972 as the Legislative Program Review Committee to evaluate the efficiency and effectiveness of selected state programs and to recommend improvements where indicated. In 1975 the General Assembly expanded the Committee's function to include investigations and changed its name to the Legislative Program Review and Investigations Committee. During the 1977 session, the Committee's mandate was again expanded by the Executive Reorganization Act to include "Sunset" performance reviews of nearly 100 agencies, boards, and commissions, commencing on January 1, 1979.

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WEATHERIZATION ASSISTANCE FOR LOW INCOME PERSONS:

A PROGRAM REVIEW

LEGISLATIVE PROGRAM REVIEW AND

INVESTIGATIONS COMMITTEE

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ACRONYMS

BPPD	Bureau of Program Planning and Development, Connecticut Department of Human Resources
CAFCA	Connecticut Association for Community Action
CAP	Community Action Program Agency
CSA	U.S. Community Services Administration
DAS	Connecticut Department of Administrative Services
DHR	Connecticut Department of Human Resources
DIM	Connecticut Department of Income Maintenance
DOE	U.S. Department of Energy
LIPA	Low Income Planning Agency
LPR&IC	Legislative Program Review and Investigations Committee
NERCOM	New England Regional Commission
OEA	Office of Energy Assistance, Connecticut Department of Human Resources
OPM	Connecticut Office of Policy and Management

LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS COMMITTEE

Weatherization Assistance for Low Income Persons: A Program Review

SUMMARY

In January 1980, the Legislative Program Review and Investigations Committee (LPR&IC) initiated a study of the state's major energy conservation program for the poor, the federally funded U.S. Department of Energy (DOE) Weatherization Assistance for Low Income Persons Program in Connecticut. It was the intention of the committee that recommendations aimed at improving the administration and operation of this program, particularly at the state level, would result from the review.

The DOE weatherization program provides states with funds to make energy conservation improvements on the homes of low income people, particularly the elderly and the handicapped. Established in 1976, the program is federally funded, state administered and locally operated. During its first few years of operation, effective implementation was impeded by significant policy and management problems which resulted in low production rates for all states including Connecticut.

As the different problems with the performance of weatherization work became clear, statutory changes and modifications of the program regulation were made at the federal level. Implementing so many changes which affected nearly every procedure for the operation of the program in a little more than six months complicated DOE and state agency administrative efforts and disrupted production at the local level. By examining both positive and negative aspects of the program, the committee hoped that problems encountered in the past could be avoided and successful state implementation efforts could be promoted.

Operation of the DOE weatherization program involves the performance of a variety of activities at different organizational levels. The U.S. Department of Energy is responsible for disbursing federal funds, promulgating regulations and monitoring and evaluating state operations. The Department of Human Resources (DHR) oversees the administration of the Connecticut weatherization grant. It is responsible for effectively managing program resources and for seeing that state and local weatherization activities comply with all DOE requirements. The local weatherization agencies, which in

Connecticut are primarily community action agencies (CAPs), actually operate the program and perform the weatherization work for clients.

During the preparation of this report, revisions in federal policy and actions taken by the Department of Human Resources resulted in improvements in some aspects of the operation of the weatherization assistance program in Connecticut. The recommendations made by the Legislative Program Review and Investigations Committee are intended to focus on additional changes which the committee believes will further increase the program's effectiveness and facilitate the weatherization of more low income homes in the state.

RECOMMENDATIONS

Improving Planning and Evaluation

1. The CAPs should be given ample opportunity to contribute to and comment on the annual State Plan well before its submission to DOE. In addition, the Department of Human Resources should prepare an unambiguous and concise summary of the State Plan to be submitted as part of the A-95 process. This summary should be available to all interested parties.
2. DHR should establish broad program objectives under which the CAPs will operate the weatherization program. These objectives should be a function of a general statewide energy policy, developed through a formalized process that includes contributions by the CAPs and other interests. In addition, a planning document which establishes clear, achievable and measurable goals should evolve from the program objectives.
3. The goals, while annualized for program purposes, should span longer periods, such as three or five years, and be clearly articulated to elements and actors within the delivery system of the program. Again, development of the goals should include the formal involvement of the CAPs.
4. The Connecticut weatherization assistance program should take advantage of as many other funding sources as possible. Working within the requirements of the various grantor agencies, DHR should work to ensure that the total amount of housing receiving assistance is maximized.

5. Principles concerning program measurement which will be used to guide the operation of the weatherization program should be adopted. Specifically, the committee believes that agency performance indicators should be concerned with the potential for total annualized energy savings rather than a simple count of the number of household units serviced. At no time should long-term benefits be sacrificed for short-term quota goals. Furthermore, the indicators used to evaluate performance should be precise and difficult to subvert.
6. Workmanship quality standards should be established as a performance threshold that is vigorously monitored. Recognizing that such standards do not exist currently, specific, objective, quantifiable standards should be established for each weatherization technique; those standards should be an integral part of the monitoring process.
7. Performance evaluation should focus on the greatest cost/benefit techniques of weatherization. That is, the evaluation should be weighted toward those techniques which produce the greatest energy savings versus costs.
8. In determining the mix of housing to be weatherized, priorities ought to be established between public and private housing, single and multifamily housing, and owner occupied and rental units within the context of the overriding principle of the program for energy conservation. The mix of housing should be considered during the planning stage when completed unit goals are established.
9. Within the constraint of emphasizing energy conservation, the goals of units to be weatherized by each CAP should be established to reflect quality workmanship standards. Different quantitative goals and performance indicators should be established which will take into consideration the amount and quality of work completed instead of just the total number of units weatherized. These quantitative indicators should take into account different types of housing (e.g., multiple vs. single family homes).

Strengthening Communication and Improving Information Use

10. The Department of Human Resources should use specific mechanisms to provide timely information to the CAPs. At a minimum:
 - 1) when new or proposed federal regulations are issued, a DHR staff person should telephone each CAP

weatherization coordinator and provide the title and date of publication in the Federal Register of those regulations;

- 2) DHR should provide a written analysis of the effects of newly adopted regulations to the weatherization coordinator and the executive director of each CAP;
 - 3) when changes are made in weatherization program reporting requirements, a written explanation should be sent to the weatherization coordinator and executive director of each CAP, prior to the implementation date of those changes (if necessary, this written material should be followed by a telephone conversation or a meeting);
 - 4) DHR should send a listing of technical assistance courses and conferences being sponsored by private or governmental organizations that may be of interest to weatherization program workers on a monthly basis to the CAP weatherization coordinators and executive directors (if an application deadline precedes the next list, telephone calls should be made to the weatherization coordinators);
 - 5) written summaries of state-wide performance results should be sent quarterly by DHR to the CAP executive directors and weatherization coordinators, one week after those results are due at DOE; and finally,
 - 6) DHR should be cognizant of other information which the CAPs may need to facilitate implementation of the weatherization program and make that information available to the appropriate staff people on a timely basis.
11. Data collected through the CAP monthly reports in the areas of program output, applications and the workforce should be utilized by DHR in future planning and program development efforts. It is important that DHR begin to compile, analyze and disseminate this information to the CAPs rather than just collect it.
 12. DHR should contact each CAP by November 30, 1980, and verify that they know how to fill out the report forms correctly. DHR monitors should provide technical assistance to any CAP which has not completed its latest required reports correctly.

13. DHR should have the CAPs submit information in their quarterly performance reports explaining any areas where they are behind target. As a minimum, each CAP whose performance is at or below 80 percent of the targeted goal for its area should be required to submit a statement outlining the causes and the corrective action that will be undertaken to catch up.

Increasing Training and Technical Assistance Activities

14. Additional technical assistance should be provided to work crews in the areas of furnace repairs, solar heating, construction and carpentry. After the funding for the training currently provided by LIPA expires in October, if no additional funding is available to LIPA, DHR should provide technical training sufficient to ensure that at least one individual in each CAP has the expertise and has been designated to train his/her fellow workers in basic weatherization skills.
15. The contract for a financial management consultant should be finalized by November 30, 1980. The governor should be informed of the acute need for the training to be provided under this contract and she should be asked to expedite its approval. If approval is not obtained by November 30, 1980, DHR should develop resources for an alternative program in fiscal and cost accounting training. Once resources are obtained, the alternative training program should be implemented no later than January 1, 1981.
16. By January 1, 1981, DHR should develop an inventory control system which will enable agencies to keep track of the receipt, storage and disbursement of weatherization work materials. Training in the establishment and operation of this system should be provided by DHR to all the CAPs by March 1, 1981.
17. DHR should prepare and distribute a written report outlining the process a CAP must use, if it wants to hire a contractor.

Improving State Agency Monitoring Procedures

18. DHR should take steps to authorize weatherization monitors to work on a "flex time" schedule, either on a permanent or pilot project basis.

19. DHR should include an inventory verification check as part of its on-site monitoring activities at the CAP agencies.
20. DHR should establish the procedure for obtaining client feedback specified in this report. (See p. 70.)

Increasing Weatherization Outreach Efforts

21. The Department of Human Resources should expand its public information effort for the Weatherization Assistance for Low Income Persons Program. Specifically, DHR should:
 - 1) have separate radio or television public service announcements, focusing on the various program target groups (i.e., elderly, handicapped, low income in general), prepared and distributed;
 - 2) work with real estate management and other groups to inform landlords about the benefits they can receive from the weatherization program (i.e., structural improvements and reduced energy consumption in their buildings);
 - 3) work with the public utility companies and encourage them to provide information about the weatherization program to their customers; and
 - 4) ensure that systematically, across the state, the CAPS use community, church and civic groups and contact landlords to get information about the weatherization program out to eligible clients.

Enforcing Landlord-Tenant Agreements

22. DHR should establish a specific complaint mechanism to handle complaints about violations of the landlord agreement. The mechanism should provide for adequate notice and a fair hearing for both the tenant and the landlord. Penalties for violations of the agreement should be established.

Supplementing Weatherization Services: Providing Energy Conservation Information

23. Every CAP should provide energy conservation information directly to all clients who apply to the weatherization program at the time an application is submitted. The information to be provided should include the telephone numbers of energy information hot lines and general energy

conservation pamphlets listing low cost/no cost energy conservation activities. Written material should be available in multi-lingual versions depending on the clientele of the particular CAP.

Increasing Coordination of Energy Programs for Low Income Persons.

24. Procedures should be established statewide to ensure that applicants for all energy assistance programs are informed of the weatherization program and, if potentially eligible, are encouraged to apply.
25. The General Assembly should take action to insure that a policy which makes the receipt of energy assistance contingent upon agreement to apply for weatherization assistance is incorporated in all state funded energy assistance programs.

Coordinating Housing Rehabilitation and Weatherization Efforts

26. Since greater efforts are needed to gather data concerning substandard, energy inefficient housing that exists in the state, DHR should work with the Energy Division of the Office of Policy and Management to insure that data will be collected concerning the rehabilitation needs of homes audited by the CONN SAVE program.
27. The committee supports the Department of Human Resources' plan to use NERCOM funds to finance the Rehabilitation Technician Demonstration Project. If NERCOM funding for this purpose is not approved, DHR should investigate alternative state and federal funding sources.
28. DHR and the Housing Department should continue to coordinate their respective weatherization activities and expand these joint efforts to include housing rehabilitation programs.
29. In addition, the Office of Policy and Management, as the state's lead agency for energy matters, should take all steps necessary to make energy conservation rehabilitation a priority. At a minimum, these steps should include centrally collecting information on rehabilitation resources; overseeing joint planning and cross-reference of clients by the many agencies serving residents of substandard housing; and arranging regular meetings of the agencies and organizations directly involved with substandard housing issues to exchange information and coordinate program administration.

CHAPTER I

INTRODUCTION

Energy conservation efforts have become a national priority as supplies of traditional fuels decrease and energy costs continue to soar. In October 1979, the Connecticut General Assembly convened a special session to address, among other things, problems facing the state that were caused by high and rising energy and fuel costs. The legislature's concern for energy problems did not end with the close of the special session. In January 1980, the Legislative Program Review and Investigations Committee (LPR&IC) authorized a program review of the state's Weatherization Assistance for Low Income Persons Program.

Federally funded, state administered and locally operated, the weatherization program is the only residential energy conservation program currently in operation for the low income. In its first two years of operation between August 1977 and December 1979, approximately 240,000 low income homes were weatherized nationwide compared to a goal of 753,000. Connecticut's production rate midway through the 1979-80 program year stood at 26 percent, meaning only about 750 homes had been weatherized out of a goal of 2,814. In the previous program years, only about 500 Connecticut homes had been weatherized using United States Department of Energy (DOE) funds, while the state's cumulative goal was 2,340.

Inadequate funding could not explain the low production rates nationally or in Connecticut. States had expended less than 20 percent of the total available DOE weatherization appropriation, \$490.5 million, as of December 1979. Connecticut had spent only 38 percent of its share through June 1979 and was allocated over \$3 million in new grants and "carry over" monies to weatherize homes during the July 1979 to June 1980 program year.

The Legislative Program Review and Investigations Committee felt efforts should be made to determine why the weatherization program was not operating at maximum production levels. Two areas in particular were identified as subjects for review. The committee wanted to assess the efficiency and effectiveness of the management and monitoring of the program, focusing on the administrative interaction between the Department of Human Resources (DHR) and the local operating agencies. In addition, program effectiveness in terms of client (low income households) satisfaction with the weatherization work already completed was to be examined.

It was the intention of the committee that recommendations aimed at improving the administration and operation of the program, particularly at the state level, would result from the review. Some recommendations aimed at local level operations have also been included, but the committee's jurisdiction over matters outside of state governmental operations is limited. Similarly, although the committee cannot mandate changes in areas under the purview of the United States Department of Energy, the scope of the review covers the impact of federal policies and regulations on state weatherization activities.

It is the belief of the committee that implementation of its recommendations will result in more low income housing units being weatherized more rapidly. This action will in turn result in reduced energy consumption and fuel costs.

Methodology

A variety of sources and methods of data collection were used in the preparation of this report. In addition to personal and telephone interviews with representatives of the federal, state and local agencies involved in the implementation of the weatherization program, two questionnaires, an organizational survey and a client interview instrument were utilized. A public hearing was also held by the committee on June 11, 1980.

Agency interviews. During both the initial stage of finalizing the scope of the review process and the formal information gathering phase, the LPR&IC staff was in contact with staff at the Department of Human Resources. Between February and September 1980, six formal interviews were held. Among the people interviewed were the commissioner of DHR, the state project director, the assistant project director and the management information systems coordinator. On a number of other occasions, LPR&IC staff met informally with or telephoned DHR staff.

The department was also asked to provide the committee with a variety of written material. In addition to basic information, such as the names, titles and job descriptions of the staff assigned to the weatherization program, DHR also provided copies of:

- 1) the various analysis and report forms utilized in the program;

- 2) the department's testimony on federal regulations affecting the program;
- 3) labor availability questionnaires prepared by each CAP for DOE;
- 4) previous state plans and the application and plan for 1980;
- 5) quarterly reports on the amount of funds expended and units completed by each CAP; and
- 6) analyses of the individual subgrantees' effectiveness, prepared and submitted to DOE on September 1, 1979.

Additional data were obtained through formal interviews with staff from the Low Income Planning Agency (LIPA), their presentation of information about the operation of the weatherization program at the local level during several committee meetings, and LPR&IC staff attendance at the July 1980 meeting of the Connecticut Association for Community Action (CAFCA). Information was also obtained from the Energy Division of the Office of Policy and Management.

Staff questionnaires. Detailed questionnaires on the operation of the weatherization program in Connecticut were sent to the executive director and weatherization energy coordinator of each CAP as well as the entire DHR staff involved in the implementation of the weatherization program. Many of the questions were worded similarly in an effort to obtain the perspective of both types of agency about the same potential problem areas. In addition, each questionnaire had some questions unique to the different organizational levels in the program. (See Appendices II and III.)

There was a 100 percent return rate for DHR questionnaires. The sample size was 13 respondents. The total return rate for the CAP staff members surveyed was 43 percent. Among the weatherization coordinators, the return rate was 64% (9 of 14); among the executive directors, the rate was 21 percent (3 of 14). Responses were received from one or both individuals in 9 of the 14 agencies.¹

¹ Subsequent to the compilation of the questionnaire data, one additional questionnaire was received from a CAP not previously represented in the survey. The data were not retabulated to include this response.

Organizational survey. In addition to completing the staff questionnaires, the CAP executive directors were asked to provide information about the organization and staffing of the weatherization program in their agencies. Included in the survey was a specific question about the number and types of staff working on the program and a request for an organizational chart; there were also several open-ended questions. (See Appendix IV.)

Weatherization client survey. In an effort to obtain information about client satisfaction with the weatherization program, how people first heard about the program, and the type of work done on the housing units, a client survey instrument was developed for use in structured interviews. Originally comprised of 17 questions, it was necessary to drop portions of several of the questions because of the ambiguous responses received from many of the people interviewed. (See Appendix V.)

The process for selecting the weatherization clients to be interviewed was multi-layered. First, the agencies from which clients would be chosen were determined; then, the actual people to be interviewed were picked.

The proposed criteria for selecting the agencies whose clients would be interviewed were:

- 1) geographic location;
- 2) type of service area (rural, urban);
- 3) size of service area (land area and eligible client population);
- 4) agency experience with the program (funding levels, units completed); and
- 5) any other unique or unusual program characteristics that might be appropriate.

These criteria were intended to serve as the basis for selecting a representative group of about half of the CAPs from among the agencies voluntarily willing to participate in the survey.

At a meeting of CAFCA in March 1980, this framework was discussed. As a result of the suggestions made by the CAPs,

six agencies were chosen--Bristol Community Organization, Inc. (BCO), Community Renewal Team of Greater Hartford, Inc. (CRT), TEAM, Inc., of Derby, Human Resources Agency of New Britain, Inc. (HRA), Norwalk Economic Opportunity Now, Inc. (NEON) and New Opportunities for Waterbury, Inc. (NOW).

Staff from LPR&IC then visited each of the six CAPs. The names of 25 clients whose homes were weatherized between July 1, 1979 and March 31, 1980, were randomly pulled from the files of each agency. These individuals were contacted by CAP personnel in an effort to schedule 15 interviews per agency service area. The additional names were pulled because participation was voluntary and it was anticipated some clients might not submit to being interviewed. In addition, some individuals could not be reached.

Survey assignments were divided among three LPR&IC staff members with each surveying all respondents in a particular CAP. All interviews were conducted face to face in the homes of the respondents, except for three done by telephone. The survey questions were read to the respondents, including multiple choice answers. An interpreter provided by the CAP was used to translate the questions and answers for respondents who did not speak English.

The LPR&IC staff spent part or all of 14 days interviewing clients in 24 towns. In some instances people were not home one or more times when the interviewer arrived at a scheduled time. Subsequent efforts were made to contact these individuals, but it was not always possible to reach them. As a result, the total number of interviews completed was 76.

Other information sources. Interviews were also conducted via telephone with federal officials from the United States Department of Energy, including the director of state and local programs in Washington, D.C. and the weatherization program manager for the DOE regional office in Boston. Representatives from the regional office were invited to participate in the committee's public hearing, but due to a scheduling conflict were unable to attend. LPR&IC staff attended the DHR public hearing on the 1980 state weatherization plan, held in June 1980 and also observed an agency budget meeting in July 1980, during which DHR and one CAP finalized its goals, staffing and funding levels for the next grant period.

Acknowledgements

The Legislative Program Review and Investigations Committee and its staff wish to thank the community action program agencies, the Connecticut Association for Community Action and the Low Income Planning Agency for their assistance in the preparation of this report. The committee would like to express special thanks to the clients of the weatherization assistance program who agreed to participate in the study and allowed LPR&IC staff to visit their homes. The committee appreciates the time spent by staff of the Department of Human Resources in providing information for this review. The committee also wishes to acknowledge the significant contribution made by Elaine Anderson, a former member of the committee staff, in research design and development of the study during its early stages.

CHAPTER II

HISTORY and BACKGROUND

The U.S. Department of Energy (DOE) Weatherization Assistance for Low Income Persons Program is a federal grant program which provides states with funds to make energy conservation improvements on the homes of low income people, particularly the elderly and handicapped. While the states receive and administer the DOE weatherization grants, the program is operated at the local level primarily within community action program agencies (CAPs).² Since its inception in 1976, significant policy and management problems have impeded the effective implementation of the program at all three levels--federal, state and local. Production rates³ have been low for all states and especially disappointing in Connecticut.

As the LPR&IC proceeded in its review of the weatherization program in Connecticut, it became apparent that progress here and across the nation has been hampered and sometimes halted by frequent changes in regulations, policy interpretations, approved expenditure categories and required administrative procedures. The uncertainty and confusion produced by the DOE program's evolutionary nature has been aggravated, until recently, by the fact that most states were concurrently operating low income weatherization programs funded through other federal sources, largely the Community Services Administration (CSA). The fact that allowable expenses, eligibility standards, and administrative procedures differed among these programs further complicated efforts by the states and CAPs to weatherize low income homes.

The following discussion traces the development of the DOE weatherization program, highlighting significant policy decisions and administrative changes which have created and resolved many of the implementation problems. In addition to describing the program's history at the federal level, an overview

² CAPs are private non-profit corporations or public agencies, established pursuant to the federal Economic Opportunity Act of 1964, which administer antipoverty programs. (See Chapter III for a description of the Connecticut CAPs.)

³ Production rates indicate the number of homes actually weatherized compared to the goal of homes to be weatherized.

of Connecticut's experience implementing weatherization assistance is presented.

The DOE Weatherization Assistance Program: Complications at the Federal Level

In 1976, the Federal Energy Administration (FEA), predecessor agency of the Department of Energy, was authorized to establish a weatherization assistance program for low income people with priority to be given to the elderly, the handicapped and Native Americans.⁴ The poor were targeted for assistance because they suffer the most from the energy crisis and are least able to make conservation improvements on their own. Funds provided under the DOE program could be used to purchase and install weatherization materials such as insulation, caulking and weatherstripping and make other improvements to reduce energy consumption on eligible low income homes.

The DOE program was originally intended to supplement weatherization activities conducted under the Community Service Administration's emergency energy conservation services program.⁵ Through this program, CSA provided a wide range of energy related financial and other assistance, including emergency fuel grants ("crisis intervention") and home weatherization, to the poor and near poor. From 1976 through December 1979, about 373,000 low income homes, nearly 2,300 in Connecticut, were weatherized with CSA funds.

The DOE and CSA programs ran concurrently for several years although CSA funding was not reauthorized after FY 78.⁶ CSA

⁴ The authorization was contained in Title IV of The National Energy Conservation and Production Act of 1976 (P.L. 94-385).

⁵ That program was established in January 1975 under the Community Services Act of 1974 (P.L. 93-644).

⁶ Federal fiscal years run from October 1 of one calendar year through September 30 of the next calendar year and are abbreviated in this report with the ending year preceded by FY. (For example, the period from October 1, 1979 - September 30, 1980, is written as FY 80.)

State of Connecticut fiscal years run from July 1 of one calendar year through June 30 of the next calendar year and are abbreviated in this report with the beginning and ending years preceded by FY. (For example, the period from July 1, 1979 - June 30, 1980, is written as FY 1979-80.)

weatherization activities continued to a limited extent through FY 79 and into FY 80 with unexpended funds available from earlier authorizations (\$145 million for the first three years of CSA operation and \$65 million for FY 78). Congress consolidated funding for low income weatherization activities in FY 79 and since then has made appropriations only to DOE. Authorized funds for the DOE program through FY 80 totaled \$585 million.

Complications in DOE administration. Start-up of the weatherization program was delayed by a reorganization of the federal energy agency. The newly established Department of Energy assumed responsibility for the weatherization program and other FEA functions in October 1977. While weatherization regulations promulgated by FEA in May 1977 were in effect, DOE still spent much of its first quarter of program operation (October to December 1977) establishing the necessary administrative systems and executing contracts with the states. Initial funding allocations were not distributed by DOE to the states until November and December--halfway through the 1977-78 program year. Only about 500 homes nationwide were weatherized with DOE funds during 1977 as a result of the federal administrative complications.

Amendments to the weatherization law and regulations. Implementation problems persisted throughout 1978, indicating to federal administrators that changes in weatherization regulations and procedures were needed. Nationwide, less than one quarter of the homes DOE expected to be weatherized were completed by December 31, 1978 (96,000 units versus a 393,000 goal).

Based on its first year of weatherization experience, DOE proposed major revisions in the program regulations and requirements. In addition, statutory modifications and expansion of the program, which had been anticipated for more than a year, finally occurred with passage of the National Energy Conservation Policy Act (NECPA, P.L. 95-619) in November 1978. DOE issued a new set of final regulations covering its proposed revisions on January 2, 1979. Program revisions resulting from NECPA were incorporated later as amended regulations issued in May and August 1979.

The most significant program change effective under the January 1979 regulations, and one vigorously supported by state and local agencies, was a new DOE funding category called "program support." The program support provision allowed the use of up to 30 percent of a weatherization grant for certain essential operating expenses--purchase or lease of tools, equipment and vehicles; maintenance; transportation; and on-site

supervisory personnel. Under prior regulations, most operating expenses were ineligible costs; DOE funding was provided almost exclusively for materials purchase.

The January regulations and subsequent amendments also clarified the definition of repair materials, raised the total per home cost ceiling from \$400 to \$800 and standardized DOE and CSA eligibility criteria and materials requirements. As mandated by NECPA, a standard procedure for determining the optimum set of cost effective weatherization measures to be installed in a low income home was developed and instituted through the August 1979 set of amended regulations.

Implementing so many changes which affected nearly every procedure for the operation of the program in a little more than six months complicated DOE and state agency administrative efforts and disrupted production at the local level. However, the long-term effect proved to be positive. Administrative flexibility at state and local levels increased and inconsistencies between DOE and CSA weatherization programs were eliminated. None of the revisions, however, permitted the use of DOE weatherization funds for the payment of installation labor ("crew worker") expenses as state and local agencies had urged.

The program's problem with labor costs. Federal policy mandated that DOE weatherization funding be used primarily for purchasing materials. According to the weatherization law, the program's labor resources should be secured through federal manpower programs such as CETA and volunteer services "to the maximum extent practicable."⁷ DOE regulations, strictly interpreting this policy, prohibited use of the weatherization grants for crew worker costs. Despite the serious problems caused by a reliance on CETA and other trainees or volunteers for the weatherization labor force, DOE continued to restrict allowable personnel costs solely to on-site supervisor salaries until late summer 1979.

By this point weatherization labor shortages had become critical for most states. In some regions, CETA workers were unavailable for assignment to weatherization projects and in

⁷ Under CETA, the Comprehensive Employment and Training Act (P.L. 93-203) of 1973, states and localities are provided with funding for employment and training programs and related supportive services which serve the unemployed, the underemployed and the economically disadvantaged.

many states, alternative sources of labor funding had run out. Even if available, trainees or volunteers seldom possessed the skills needed to properly install weatherization materials. Unskilled workers coupled with inadequate training or supervision resulted in workmanship quality problems. Turnover due to unmet training needs and noncompetitive CETA salary levels was yet another difficulty faced by local agencies. Without an adequate weatherization labor force, materials stockpiled in warehouses, production rates lagged and the amount of unexpended weatherization grants grew even larger in 1979. At the same time, ever-escalating energy prices dramatically increased the need for low income weatherization assistance.

In Connecticut, many of the problems local agencies had in implementing the weatherization program were related to inadequate supplies of skilled weatherization crew workers. The results of the LPR&IC surveys of DHR and CAP staff highlighted some of the labor problems experienced by the local weatherization agencies. Over two-thirds of the CAP staff who responded to the questionnaire reported that inadequate weatherization labor funding had presented some degree of a problem to their agency's ability to meet its goals during the past year. Almost three-quarters of the CAP respondents believed that the lack of CETA labor was either a major or minor problem and 58 percent of the respondents cited difficulty in retaining skilled labor as a problem for their agencies. At the same time, 46 percent of the DHR staff respondents felt that inadequate labor funding had been a problem for local agencies and over half thought both the lack of CETA labor and unreliable or untrainable CETA workers had been a problem. Difficulty in retaining skilled labor was noted as a problem facing local agencies by 61 percent of the DHR staff.

In August 1979, to redress the serious work force situation, DOE initiated a special waiver procedure under which states with documented CETA labor shortages could hire working supervisors or engage contractors to install weatherization materials. By December 1979, with 44 states operating under waiver procedures, DOE had recognized the need to provide weatherization labor funding on a more permanent basis. Emergency regulations adopted in February 1980 permitted the use of program funds for installation labor. The new regulations also increased the maximum allowable expenditure per home from \$800 to \$1,000, with the extra amount available for newly authorized labor costs. In cases of extreme CETA labor shortages, the per home cost limit could be raised to as much as \$1,600, again to provide additional labor funding. With these changes, DOE finally assured that the workers necessary to install weatherization materials would be available for the program.

Under the current DOE labor funding provisions, Connecticut's weatherization work force situation has improved. The July - December 1980 CAP allocations provide enough funds to cover positions previously funded by Title XX and, to some extent, CETA. In addition several CAPs which exceeded their FY 1979-80 completed unit goals received DOE funding for additional worker positions during the July - December 1980 program period. Current CAP allocations also provide for small increases in the salary levels for the crew workers. It is expected that these increases will help address the turnover problems experienced in the past. In any event, DHR ensured through its budget process that CAP workers would continue at salaries at least as high as the level they worked at during the previous year. The department also hopes that its new CETA/Labor Ombudsman, in working out problems between local weatherization agencies and CETA prime sponsors, can address some of the difficulties experienced in the past with CETA labor.

Recent performance improvements. Weatherization efforts rapidly expanded in the latter half of the 1979-80 program year and to date, improved performance has continued. The program's turnaround in 1980 is attributed to DOE's resolution of the labor funding issue and the establishment over time of a workable administrative system.

By the beginning of the current program period (July 1, 1980), policies and procedures revised under the February 1980 and earlier sets of amended regulations were in effect. While state and local agencies are still adapting their weatherization operations to conform with DOE requirements, the confusion and uncertainty experienced in previous years has diminished. Some basic issues--weatherization of rental units and multi-family dwellings, obtaining reliable estimates of energy cost savings, the adequacy of administrative funding, and the priorities for selecting homes to be weatherized--remain troublesome for state and local agencies. DOE is considering further revisions for upcoming program years. In the meantime, with the mechanism for implementing the program finally in place, DOE, the states and the local weatherization agencies are concentrating on maintaining accelerating production rates while giving greater attention to high quality work standards.

Connecticut's Experience with Weatherization Assistance

The first DOE weatherization funds were allocated to Connecticut in December 1977 in the midst of the state's massive

executive reorganization.⁸ Initially, the weatherization grants were received by the Office of Policy and Management (OPM) and "passed through" first to the Department of Community Affairs (DCA) and later to its successor agency, the Department of Human Resources (DHR). DOE found the state's "pass-through" system somewhat confusing and requested a more direct grant relationship. Therefore, in April 1979, the governor designated DHR the state DOE weatherization grantee. For the most part, the various organizational shifts at the state level had little impact on the local agencies' weatherization activities.

Successful CSA and NERCOM programs. In conjunction with the Connecticut community action agencies, DCA, and later DHR, have been operating the state's CSA weatherization program since October 1976. These agencies were also responsible for weatherizing homes with funds from the New England Regional Commission (NERCOM).⁹ Good results had been achieved with both programs for a number of reasons, a major one being the availability of an adequate weatherization work force. CETA funded workers were available for assignment to the CAPs and the relatively liberal CSA and NERCOM regulations allowed Connecticut to successfully coordinate resources from all three programs. The state had also received about \$1.5 million in federal Title II (anti-recessionary) funding in April 1977. These funds were applied to weatherization efforts and used primarily to provide CAPs with crew labor funding, although some tool and vehicle purchases were also permitted. The Title II grant amount assured the state of an adequate labor supply for its various weatherization activities at least through late summer 1978. Connecticut CAPs weatherized over 700 low income homes using NERCOM funds and nearly 3,000 with CSA funds from July 1976 through June 1980.

⁸ Legislation to completely reorganize the state's executive branch was enacted in 1977 and most agency changes became effective January 1, 1979. The Office of Policy and Management (OPM) however, was established earlier on October 1, 1977. OPM absorbed the staff and functions of the Department of Planning and Energy Policy, the original grantee for the DOE program.

⁹ NERCOM, a policy coordinating body composed of the six New England governors, channels grants made available by the U.S. Department of Commerce for plans and programs to promote economic well-being in the region to the individual states. NERCOM funds for low income home weatherization projects in Connecticut were available from June 1976 through June 1979.

Implementation problems with the DOE program. Connecticut's immediate problems with the DOE program were unrelated to the labor funding issue. Instead, the earliest difficulties, which arose in November 1977, centered on the inconsistencies between the DOE and CSA programs. The state believed the CAPs would run into serious administrative problems if expected to operate two weatherization programs that had different requirements, particularly dissimilar eligibility standards. It was also believed that the conflicts between the DOE and CSA programs soon would be resolved by the National Energy Conservation Policy Act, then pending final congressional action.¹⁰ To minimize CAP involvement in the program until the expected NEPCA corrections were in place, Connecticut's first plan for the initial 1977-78 DOE allocation proposed to weatherize state funded elderly housing projects.

DOE rejected this first plan and while the state developed other approaches for the elderly housing proposal over the next few months, none was found acceptable.¹¹ DOE did allow the unexpended initial allocation (\$394,000), which the state had held in the hope that its elderly housing plan would be approved, to be carried over with Connecticut's second grant (\$889,500) authorized in May 1978. The state developed a new plan to use the combined grants for other than elderly housing during the 1978-79 program year. However, in the spring of 1978, further implementation delays occurred due to confusion over program support funding and emerging labor shortages.

As noted earlier in this chapter, until recently DOE grants could only be used for materials, some small tools and limited transportation costs, leaving state and local agencies responsible for most operating expenses as well as labor costs. When DOE indicated amended regulations allowing 30 percent of its funds to be used for program support, including supervisory labor and equipment, might become effective in the summer of

¹⁰ Before NEPCA passage, the DOE eligibility income limit was established at 100 percent of the federal poverty level guidelines while CSA's income limit was set at 125 percent.

¹¹ A survey of state owned elderly housing project residents, conducted after the first plan was submitted, revealed that a number of the residents while low income could not meet the DOE income criteria. Another DOE objection concerned a requirement that units have individual utility meters, which was not the case in Connecticut's elderly housing projects. This requirement was subsequently eliminated in revised DOE regulations.

1978, state and local agencies became reluctant to commit their own limited resources toward operating expenses for weatherization projects if DOE would be covering those costs in the near future. Inadequate program support funding hindered local agency efforts until regulations establishing the 30 percent provision were finally issued in January 1979.

In the meantime, Connecticut's primary source of weatherization labor funding, the Title II grant, was not renewed and existing funds ran out in September 1978. The state's CETA funds were also tightening up and by January 1979 CETA labor was virtually unavailable for the weatherization program. When the General Assembly was informed that weatherization labor shortages might arise in late 1978, it appropriated \$200,000 in the state's FY 1978-79 budget to insure the availability of workers for the program.

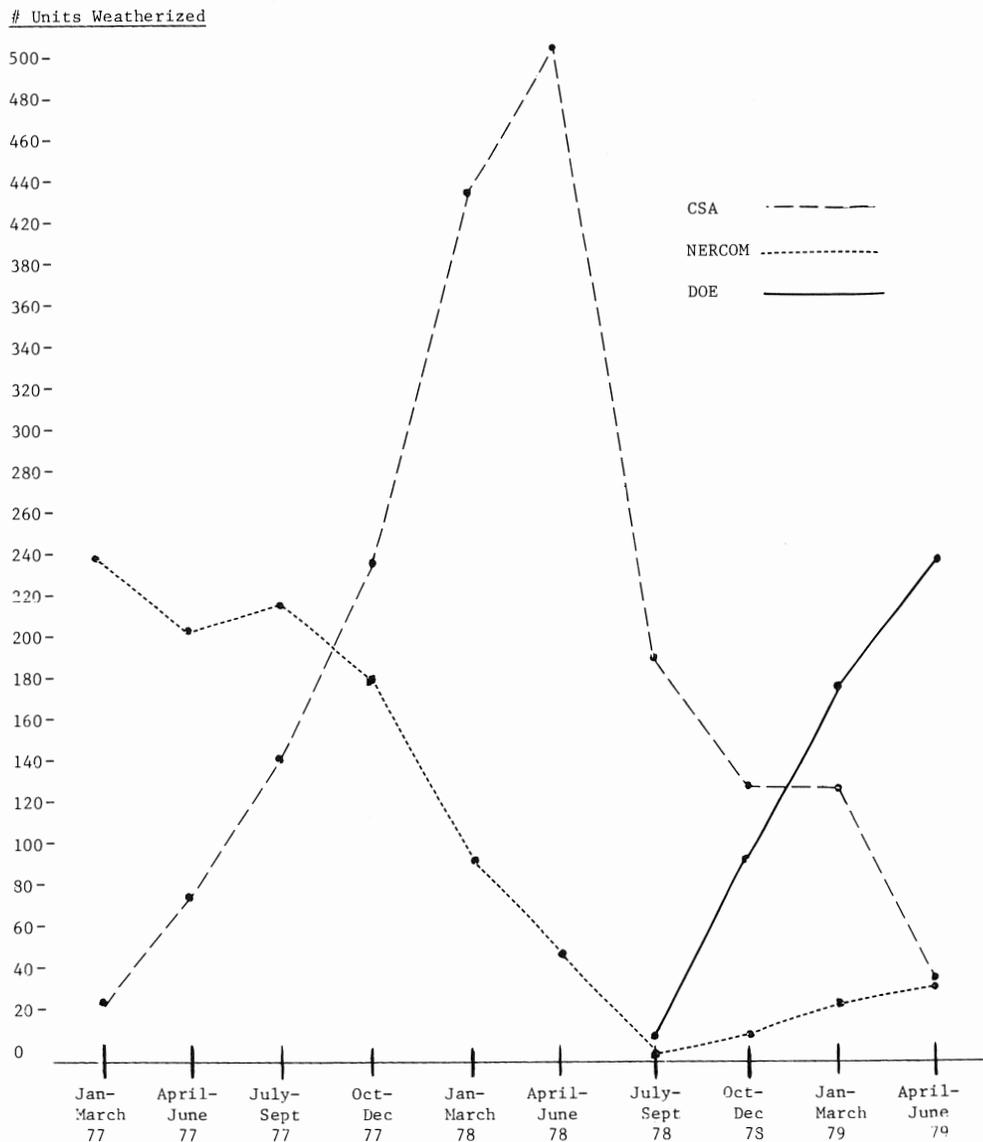
With only state general fund money available for labor, the total weatherization work force was reduced by more than half (from 127 to 53 workers) midway through the 1978-79 program year. The state's rate of production for all weatherization projects including the DOE program also dropped more than half. By June 30, 1979, the end of the second program year, the state had spent barely 40 percent of the available DOE funding (\$1.2 million) and weatherized just over 500 Connecticut homes. Reported units completed each quarter through June 30, 1979, are shown below for each weatherization program (CSA, NERCOM, and DOE). (See Figure II-1.)

The DHR weatherization project director and over thirty other states presented testimony documenting the overriding labor funding problem during a March 1979 DOE public hearing. However, as noted earlier, DOE refused the states' request that the labor funding policy be altered in time for the program year beginning July 1, 1979. Fortunately, Connecticut was able to make other arrangements to maintain a weatherization work force during the 1979-80 program year. DHR, which is the state's Title XX agency as well as the DOE weatherization grantee, received approval to commit nearly one million dollars of Connecticut's Title XX funds for crew labor expenses.

While the labor funding problem was resolved at least temporarily, DHR ran up against another administrative obstacle. In order to carry over and reallocate prior years' unexpended weatherization funds as well as allocate the new FY 1979-80 grants, the states had to settle ("tie off") all weatherization accounts in accordance with DOE's current fiscal reporting requirements. Gathering the necessary "tie off" information (e.g., detailed expenditure accounts, inventory data, work-in-progress figures, etc.) for the DOE report proved to be

extremely difficult for DHR. In addition, agency staff had to complete similar year-end financial statements for other weatherization funding sources (CSA and NERCOM). Four to five months of the program year elapsed before the CAPs received their FY 1979-80 allocations while DHR developed and completed these fiscal reports.

Figure II-1. Quarterly Production Under CSA, NERCOM and DOE Weatherization Programs, January 1977 through June 1979.*



* CSA and NERCOM programs began in January 1977; DOE program began operating in July 1978

Source: LPR&IC Staff Analysis of Connecticut Department of Human Resources Data.

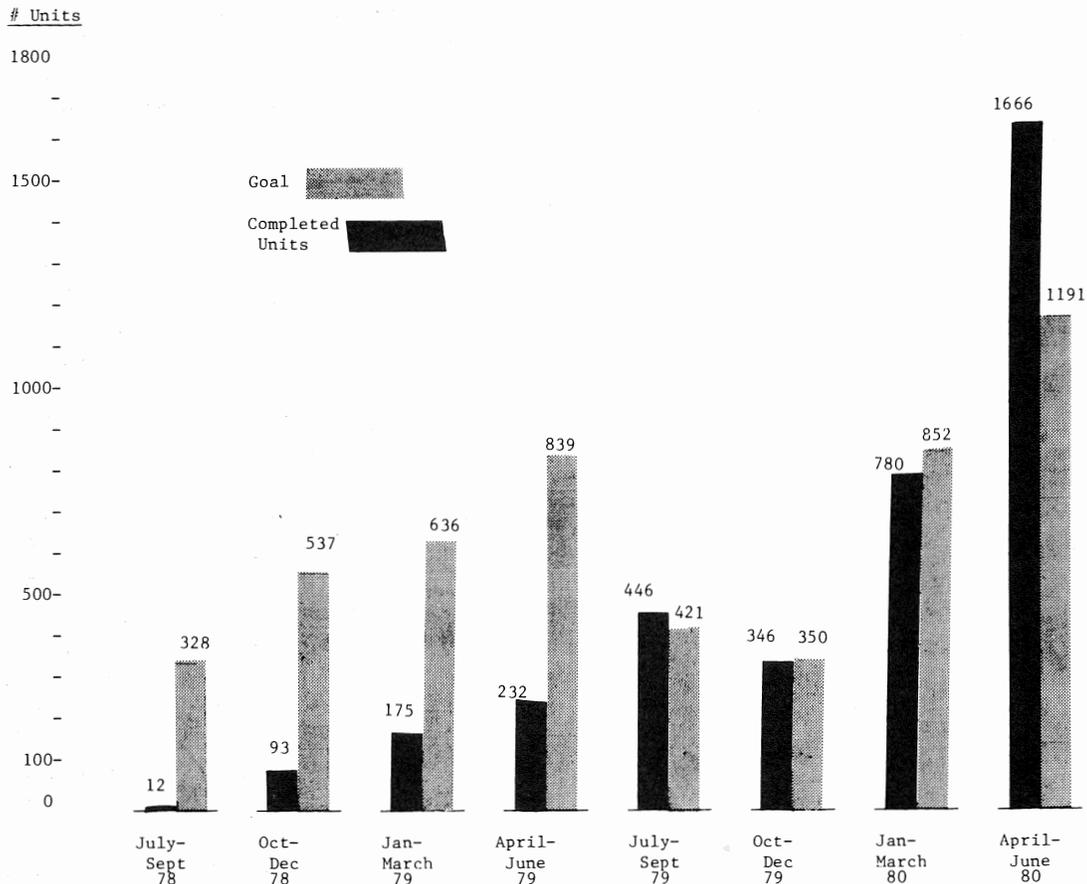
Much of the delay in collecting the required "tie off" data was due to the condition of local records. Local agency weatherization records were complicated and sometimes inaccurate with expenditures charged inappropriately, primarily because of the multiple funding sources and the frequent changes in DOE's accounting and reporting requirements. Insufficient direction and technical assistance from the state agency also was to blame for CAP record-keeping deficiencies.¹² As a result, DHR had to reconstruct the information that was available from the CAPs--a time consuming process--in order to present an accurate financial account of the state's weatherization activities through June 30, 1979.

Information deficiencies also contributed to DHR's tardy response to the DOE labor waivers first offered in August 1979. The applications for the waivers, which allowed increased program support funding for hiring "working supervisors" and contracting for certain installation services (but not crew labor costs), had to be supported with specific, statewide labor force statistics. DHR had difficulty developing the necessary figures and did not meet with DOE staff concerning approval of the state's waiver application until mid-December 1979.

Connecticut weatherization goals exceeded. The waiver provisions were soon superseded by the February 1980 DOE revised regulations. As described earlier in this chapter, the revised regulations have had a positive impact on weatherization production efforts in all states. State and local agencies also benefited from their nearly two years of experience with the program and over many months had improved or developed new operating procedures and structures for weatherization. Both factors played a role in the fact that Connecticut's statewide goal of 2,814 completed units for the July 1, 1979 to June 30, 1980, period was exceeded by 424. More homes were weatherized in the final quarter of FY 1979-80 (1,666 units) than in all three preceding quarters (1,572 units). (See Figure II-2.) In fact, over twice as many Connecticut homes were weatherized in the final FY 1979-80 quarter (April through June 1980) than in all prior program years.

¹² The state agency had its own troubles interpreting and complying with the often revised DOE policies. Furthermore, staff shortages--only two field monitors were available to oversee and assist fourteen local agencies--limited the state's management effectiveness.

Figure II-2. DOE Weatherization Program Goals and Units Completed Each Quarter (July 1978 through June 1980).



Source: LPR&IC Staff Analysis of Connecticut Department of Human Resources Data.

Concerns prompt committee review. When the Legislative Program Review and Investigations Committee authorized a review of the state's weatherization program in January 1980, it seemed unlikely, given the level of CAP performance through December 1979, that the statewide goal of 2,814 units could be achieved by June 30, 1980. The state's adjusted mid-year goal of 771 units was exceeded by 21, but in order to meet the unrevised annual goal, over 2,000 homes would have to be

weatherized during the second six months of the program year.¹³ This meant that local agency production would have to increase 255 percent. In addition, while over half of the CAPs exceeded their individual mid-year goals--with one achieving a 320 percent production rate and two nearly 200 percent--the remaining six fell short of expected completion rates. Indeed, one agency had not weatherized a single unit. (Table II-1 below shows the number of DOE units completed by each CAP in the first two quarters of FY 1979-80 compared with their mid-year and annual goals.)

Table II-1. Local Weatherization Agency Performance (DOE Program) July - December 1979 (Mid Year FY 1979-80).

Local Agency	# Units Completed July-Dec. 1979 (Mid Year FY 1979-80)	FY 1979-80 Mid Year Goal	% Completed Mid Year Goal	FY 1979-80 Annual Goal	% Completed Annual Goal
ABCD	0	62	0%	224	0%
BCO	80	25	320%	91	88%
CACD	25	33	76%	121	21%
CRT	138	98	141%	361	38%
MCAA	32	36	89%	130	28%
CAGM	51	50	102%	180	28%
TEAM	68	50	136%	180	38%
HRA of NB	41	35	117%	124	33%
HRA of NH (HRI)	64	98	65%	360	18%
NEON	50	28	179%	100	50%
TVCCA	104	71	146%	265	39%
CTE	25	37	68%	138	18%
NOW	17	98	17%	360	5%
WACAP	97	50	194%	180	54%
STATE (TOTAL)	792	771	102%	2814	27%

Source: Connecticut Department of Human Resources (August 1980 Data).

¹³ The state had been permitted to adjust the first two quarterly goals downward since the CAP FY 1979-80 allocation process was delayed. However, the annual goal was not revised and remained at almost 3,000 units.

By June 30, 1980, however, even this agency made remarkable progress and weatherized over 100 homes or nearly 50 percent of its annual goal. As Table II-2 indicates, although five other agencies missed their FY 1979-80 goals, three were short by about ten percent or less, another by just one unit and one weatherized nearly 80 percent of its annual goal of 360 units. Nine of the CAPs exceeded their goals, several by as much as 40 percent to nearly 90 percent. The high production rates of these CAPs offset the other agencies' shortfalls and helped bring the final number of weatherized homes to 3,238 or 115 percent of the statewide annual goal. Three of the nine agencies not only met their respective annual goals of 360, 265 and 180 units, but together weatherized an additional 495 low income homes.

Table II-2. Local Weatherization Agency Performance (DOE Program) FY 1979-80 and FY 1978-79.

Local Agency	# Units Completed (And Goal) ¹ FY 1978-79	# Units Completed ² FY 1979-80	% of Annual Goal Completed
ABCD	2 (253)	108	48%
BCO	14 (81)	152	167%
CACD	71 (105)	167	138%
CRT	41 (398)	386	107%
MCAA	17 (130)	139	107%
CAGM	74 (120)	169	94%
TEAM	61 (131)	179	99%
HRA of NB	39 (121)	125	101%
HRA of NH (HRI)	3 (214)	282	78%
NEON	13 (71)	110	110%
TVCCA	48 (190)	500	189%
CTE	35 (114)	121	88%
NOW	60 (274)	469	130%
WACAP	34 (138)	331	184%
STATE (TOTAL)	512 2340	3238	115%

Source: Connecticut Department of Human Resources.

¹ Based on April 1980 Data.

² Based on August 1980 Data.

While the LPR&IC was encouraged by the turnaround in weatherization performance during its study, the disparity among FY 1979-80 production rates indicated CAP implementation problems had not been resolved fully. In addition, the committee remained concerned about weaknesses in DHR's management and administrative capability, first evidenced by the protracted FY 1979-80 allocation process and the delay in requesting DOE labor waivers. Testimony presented at the committee's June 1980 public hearing pointed out the need for more comprehensive weatherization planning, greater communication between state and local agencies and increased monitoring and technical assistance efforts.

In the final phase of its review, the committee concentrated on examining ways to maximize the program's impact through administrative and management improvements, primarily at the state level. The committee also sought to identify the factors which contributed to exceptionally high CAP production rates in the latter half of FY 1979-80 as well as residual impediments to local agency implementation. By describing both positive and negative aspects of the program in its report, the committee hoped that problems encountered in the past could be avoided and successful efforts could be promoted in implementing the state's weatherization program.

CHAPTER III

PROGRAM OVERVIEW

Implementation of the DOE weatherization program involves a wide range of activities at a number of different levels. Specific provisions and procedures, some of which have been refined or modified since the start of the program, exist to guide its operation. This chapter examines the various steps in the weatherization process from funding disbursements to the actual performance of the weatherization work. Descriptions of the organizations involved in the program are also presented.

Funding for DOE Weatherization Assistance

Weatherization funding levels for each state are based on a federal statutory formula¹⁴ which takes into account each state's annual heating and cooling degree days and the number of low income owned homes and rental units, factored by the percentage of total residential energy used for heating and cooling. The DOE grant amounts for Connecticut and the other states in Region I (New England) are presented in Table III-1.

Grant monies for Connecticut and the other New England states are channeled through the Region I DOE office in Boston. Each year the regional office notifies the state of its funding level and application deadline. After the state grant application is approved by the regional office, the state is sent a "letter of credit" (drawn on the DOE bank) for its grant amount. As noted in the previous chapter, DOE has permitted states to carry over and use unspent funds from earlier grants in new program periods so actual funding levels tend to be greater than allocation amounts would indicate. For example, Connecticut was allocated almost \$2.5 million in program funds and \$175,000 for weatherization related training and technical assistance for its July 1979 to June 1980 program period. However, another \$800,000 in unexpended funds from the state's first two DOE weatherization grants was carried over, giving Connecticut a total weatherization funding level of nearly \$3.29 million for FY 1979-80.

¹⁴ Title IV, Part A of the Energy Conservation and Production Act (P.L. 94-385) as amended by the National Energy Conservation Policy Act (P.L. 95-619).

Table III-1. Department of Energy Weatherization Grants to States in Region I Federal FY 77 - FY 80.

<u>Weatherization Program Grant Amounts</u>					
<u>State</u>	<u>FY 77 Allocation</u>	<u>FY 78 Allocation</u>	<u>FY 79 Allocation</u>	<u>FY 80 Allocation</u>	<u>Total Allocation</u>
CT	\$ 394,000	\$ 889,500	\$ 2,493,400	\$ 2,535,200	\$ 6,312,100
ME	433,000	994,800	2,813,500	2,849,100	7,090,400
MA	726,000	1,782,000	5,207,500	5,514,300	13,229,800
NH	252,000	508,900	1,336,000	1,336,800	3,433,700
RI	227,000	442,600	1,134,400	1,064,500	2,868,500
VT	261,000	531,800	1,405,400	1,322,800	3,521,000
Total	\$2,293,000	\$5,149,600	\$14,390,200	\$14,662,700	\$36,455,500

Training and Technical Assistance
(T & TA) Grant Amounts

<u>State</u>	<u>FY 77 Allocation</u>	<u>FY 78 Allocation</u>	<u>FY 79 Allocation</u>	<u>FY 80 Allocation</u>	<u>Total Allocation</u>
CT			\$ 175,100	\$ 303,520	\$ 478,620
ME	INCLUDED		197,500	334,910	532,410
MA		IN	365,600	601,430	967,030
NH			100,000	183,680	283,680
RI		PROGRAM	100,000	156,450	256,450
VT		FUNDS	100,000	182,280	282,280
Total			\$1,038,200	\$1,762,270	\$2,800,470

Source: DOE Region I Office (Boston) Weatherization Program Fact Sheet (1980).

The state's current funding level and program period are somewhat unusual because of recent federal actions concerning weatherization appropriations and allocations. Connecticut, like the other states, is now operating a six month program.

considered an extension of the FY 1979-80 period, with a combination of unexpended funds accumulated from prior allocations and some new funds. For the July to December 1980 extension period, Connecticut received nearly \$1.23 million in a new DOE weatherization grant to supplement available "carry over" funds. The state also was granted about \$280,000 of its original \$303,000 training and technical assistance allocation.¹⁵

Local agency weatherization funding. Local agencies, primarily community action program agencies (CAPs), are designated by the state to operate the DOE weatherization program within their service areas. The Connecticut CAPs are funded according to a percentage formula developed by DHR, the state's administering agency, which takes into account the incidence of low income, elderly and disabled persons and energy inefficient housing. In determining local agency funding levels, DHR also considers CAP completion rates and compliance records. For FY 1979-80, individual CAP weatherization funding levels ranged from \$80,380 to \$287,181. (See Appendix VI for previous CAP funding levels.) The percentages used to calculate CAP allocations and the allocation amounts for the current (July to December 1980) program period appear in Table III-2. The local agencies generally operate on a "reimbursable" basis, although they do receive an initial allocation for start up costs. Subsequent funding from DHR is based on monthly expenditure vouchers and the number of completed units (weatherized homes).

Allowable expenses. In general, the DOE weatherization funds can be used to purchase weatherization materials and cover the costs of liability insurance and certain operating expenses. The materials (such as insulation, weatherstripping and caulking) used must be from among those included on DOE's approved list; all items must meet the technical standards prescribed in DOE regulations. The official list of DOE approved materials appears below in Figure III-1.

Allowable operating costs, categorized as "program support," include on-site supervisor salaries, purchase or lease

¹⁵ Congress adjourned in October 1980 before finalizing the national budget, although funds were appropriated at a reduced level for the DOE program through December 1980. DOE adjusted new state allocation amounts accordingly and also reallocated some unexpended past grant amounts among regions. Reallocations were based in part on performance records and the New England states including Connecticut benefited from these DOE decisions.

Figure III-1. Partial Listing of Allowable Weatherization Materials by Category.

A. MATERIALS*

- | | |
|---|--|
| 1. Weatherstripping and
Caulking | exterior door lock(s)
and part(s) |
| 2. Insulation
ceiling, attic
wall, floor
duct, hot water heater | window ropes and locks
sheet rock and similar
material (Gypsum board, etc.) |
| 3. Storm Windows and Doors | 5. Indirect Supplies (Disposable
Consumables)
paint buckets
sandpaper |
| 4. Other Materials
skirting
ventilation devices
vapor barriers
glass
primary windows
insulation guards
interior infiltration
control products, as
requested of and
approved by, DHR
glazing points
storm window and door
parts | glue and adhesives
nails, screws
brads, staples
wire, trash bags
drop cloths and plastic |
| | 6. Heating Source (Furnace Efficiency
Modification)
cleaning, turning and evaluation
clock thermostats
electrical or mechanical furnace
ignition systems
replacement burners |

B. REPAIRS

- | | |
|--|--|
| 1. Heating Source
emergency repairs to
heating units | 2. Miscellaneous Materials
lumber
plywood and similar products
window sashes
masonry supplies
shingles, flashing
siding
paint, stain, sealers, etc. |
|--|--|

* Under February 1980 DOE revised regulations, water flow controllers added as allowable material.

Source: Connecticut Department of Human Resources Weatherization Handbook.

of equipment, tools and vehicles, and transportation, storage and vehicle insurance expenses. The cost of on-site installation labor or crew workers was added as an allowable expense within the program support category under DOE's February 1980 revised regulations.

Table III-2. Local Agency Weatherization Allocations for July - December 1980 Program Period.

Local Agency	Standard Allocation Percentage (July-Dec. 1980)	(July-Dec. 1980) Allocation Amount	Required Minimum Production for Funding Level (July-Dec. 1980)
ABCD	5.66%	\$ 233,085.00	152 Units
BCO	5.29	221,581.00	158
CACD	5.66	273,452.00	173
CRT	11.33	414,398.00	236
MCAA	5.85	150,016.00	86
CAGM	5.55	194,093.00	105
TEAM	5.48	157,845.00	88
HRA of NB	5.66	202,642.00	122
HRA of NH (HRI)	8.94	270,084.00	198
NEON	5.66	168,854.00	115
TVCCA	6.42	209,734.00	109
CTE	5.66	170,168.00	121
NOW	13.59	423,787.00	265
WACAP	9.25	418,045.00	265
Total	100.00%	\$3,507,784.00	2,193 Units

Source: Connecticut Department of Human Resources.

In past years, nationwide ceilings for the materials and program support cost categories were established on a per unit basis by DOE in the program regulations. Beginning with the July - December 1980 funding period, DOE now permits each state (with the approval of its respective regional office representative) to establish per unit cost ceilings for weatherization materials and the new, combined program support and labor category. Connecticut's cost ceilings in effect for the current (July - December 1980) program period are set at \$550 for materials and \$660 for labor and operating costs. (See Table III-3.)

Table III-3. Summary of Major Changes in DOE Weatherization Program Expenditure Limits.

Date and Source of Expenditure Limit	Maximum Total Cost Per Unit	Major Other Restrictions on Per Unit Costs
May 1977 (Initial) Regulations	\$ 400	Materials only
January 1979 DOE Amended Regulations	\$ 800	Permitted up to 30% for program support; specific dollar limits: \$240 Program Support \$560 Materials
August 1979 DOE Waivers	\$1000	Increased program support \$200 for certain labor expenses. Specific dollar limits: \$440 Program Support \$560 Materials
February 1980 DOE Amended Regulations	\$1000 (or up to \$1600)*	States allowed to determine limits for materials and expanded program support (includes crew labor), e.g., CT. July-Dec. 1980 limits: \$550 Materials \$660 Program Support and Labor

* Increases in maximum total cost permitted under special conditions (i.e., severe labor shortages) subject to DOE regional office approval

Source: LPR&IC Staff Analysis of DOE Regulations and Waivers.

The maximum per unit cost or total amount which can be spent to weatherize a particular home is established in the federal weatherization legislation. The current limit is \$1000, although under certain conditions (documented severe labor shortages, for example), states may receive permission from their regional offices to increase the maximum cost up to \$1,600. Federal regulations also permit incidental repairs to be made on eligible homes but limit their total cost, which is included in the \$1,000 unit maximum, to \$100.

New low cost/no cost funding provision. The February 1980 revision of the DOE weatherization regulations established a

new allowable program activity. Effective in July, "low cost" or "no cost" energy saving materials can be installed as an interim measure pending the performance of more complete weatherization work. Under this provision, local agencies may spend up to \$50 per unit on simple, inexpensive materials which reduce infiltration (heat loss). Weatherstripping, caulking, glass patching, and installing water flow controllers are examples of items which generally reduce energy consumption and are therefore permitted activities. The federal regulations stipulate that workers funded by DOE cannot be used to install these low cost/no cost items in order to insure that the program's labor resources are not diverted from more complete weatherization jobs. However, local agencies can use the federal funds to engage contractors to install low cost/no cost items, although in most cases, installation can be achieved by volunteers or the clients themselves with little or no special training.

Up to ten percent of a local agency's DOE allocation can be applied to the low cost/no cost component of its weatherization program. In Connecticut, nearly \$80,000 has been designated for such activities during the period from July - December 1980. According to the current state weatherization plan, local agencies will provide individual packets of low cost items, which cost \$50, to each applicant for weatherization assistance. An estimated 1,589 applicants will be served during this period.

Administrative costs. Not more than ten percent of the DOE weatherization grant can be used for administrative costs associated with the program. The state agency is allowed to use up to five percent of the total weatherization grant for its administrative expenses. Similarly, each local agency is allowed to use up to five percent of its individual weatherization allocation for administration. (When added together, the collective local agencies' ceiling for administrative costs is approximately five percent of the total weatherization grant amount.) During FY 1979-80, about \$160,000 was available for DHR's administrative costs while local agencies' administrative funding ranged from about \$15,500 to \$87,000. (See Table III-4.)

Eligibility for Weatherization Assistance

Households with incomes falling within 125% of the federal Office of Management and Budget (OMB) poverty guidelines are eligible for consideration to receive weatherization services. (See Table III-5.) Weatherization eligibility also extends to households with family members receiving benefits from Title IV

Table III-4. State and Local Agency Funding Levels for Weatherization Program Administrative Costs Fiscal Year 1979-80.*

<u>Agency</u>	<u>FY 1979-80 Administrative Funding Level</u>	<u>Agency</u>	<u>FY 1979-80 Administrative Funding Level</u>
State (DHR)	\$159,913.00	HRA of NB	\$ 29,800.00
ABCD	42,155.00	HRA of NH (HRI)	41,093.00
BCO	15,544.00	NEON	34,424.00
CACD	40,729.00	TVCCA	42,497.00
CRT	87,181.00	CTE	41,497.00
MCAA	28,552.00	NOW	32,864.00
CAGM	45,577.00	WACAP	41,419.00
TEAM	40,181.00	<u>Total</u>	<u>\$723,426.00</u>

*Primarily DOE funds for administrative costs but amounts include funds for weatherization administration received from other sources (e.g. NERCOM, etc.).

Source: Connecticut Department of Human Resources.

(AFDC) and/or Title XVI (SSI) of the U. S. Social Security Act, provided these benefits have been received for at least twelve months preceding application for weatherization assistance. Weatherization assistance can be provided only once per housing unit, that is applicants living in homes previously weatherized under the DOE program are ineligible for additional assistance. By law, priority for weatherization assistance is given to persons who are elderly (60 years of age or older) or handicapped (according to federal definitions) and to Native Americans (members of Indian tribes). The state agency is responsible for insuring that priority is given to these groups and may give priority to single family or other high energy consuming dwelling units as it determines is appropriate. Based on 1970 census data, DHR estimates that nearly 57,000 energy inefficient dwelling units in Connecticut are eligible for weatherization assistance. Approximately 17,400 of these units

Table III-5. Federal Poverty Income Guidelines for U. S. DOE Weatherization Assistance Program.

<u>Family Size</u>	<u>Annual Income*</u>	<u>Monthly Income*</u>
1	\$ 4,738	\$ 395
2	6,263	522
3	7,788	649
4	9,313	776
5	10,838	903
6	12,363	1,030
7	13,888	1,157
8	15,413	1,284
9	16,938	1,412
10	18,463	1,539

For family units with more than ten (10) members, add \$1,525 for each additional member.

* 125 percent of the federal Office of Management and Budget Income Guideline, effective February 1, 1980.

Source: Connecticut Department of Human Resources.

are resided in by elderly persons and 5,200 by handicapped persons. Native Americans comprise less than one tenth of one percent of Connecticut's population and it is estimated they occupy only 60 units eligible for weatherization. During the July - December 1980 program period, DHR projects that about 30 percent of the units to be weatherized will be elderly occupied while nine percent will be handicapped occupied. A breakdown of the units weatherized or to be weatherized in Connecticut through December 1980 by the type of client and unit is presented in Table III-6.

Table III-6. Units Weatherized Under DOE Program Each Year by Type of Unit (in Percentages).

Total # Units	FY 1977-78/ FY 1979-80	FY 1979-80	July-Dec. 1980
	522 Completed	1493 Completed*	1589 Projected
<u>Type of Unit</u>			
Single Family	40%	42%	56%
Multifamily	60%	58%	44%
Owner Occupied	46%	50%	64%
Renter Occupied	53%	50%	36%
Elderly Occupied	54%	50%	30%
Handicapped Occupied	8%	10%	9%
Native American Occupied	0%	.01%	0%

* Through March 31, 1980 (First three quarters of FY 1979-80) only.

Source: Connecticut Department of Human Resources (Based on April 1980 Data).

Low income renters as well as homeowners are eligible for the weatherization program. In most cases, rental units can be weatherized whether the tenant or landlord pays energy (utility/heating) costs, although federal regulations on this aspect of eligibility have varied. Federal regulations require that if the tenant pays the heating costs, then the landlord must agree not to raise the rent or evict the tenant for a period of one year unless activities unrelated to the weatherization improvements can be shown to justify such actions. If the landlord pays the heating costs, the same stipulation is in effect and the landlord must also agree to lower the rent for a period of at least one year by the value of the weatherization materials installed in the unit. A written landlord-tenant agreement, which outlines these provisions, is required from renters who apply for weatherization assistance.

The program's success regarding rental units has been limited partly because of DOE restrictions designed to insure that low income tenants rather than landlords are the primary beneficiaries of weatherization assistance. The federal

weatherization legislation clearly states that the benefits must accrue primarily to low income persons and "no undue or excessive enhancement" should occur to the landlord's property. One recent effort to increase flexibility in weatherizing rental units was the revision of DOE regulations concerning the eligibility of multifamily housing. DOE now allows the weatherization of multifamily buildings containing some vacant units if at least two-thirds of the occupied units meet the program eligibility criteria. This change means that now, unlike in the past, if two units of a three-family house are occupied by eligible families, the whole building can be weatherized.

The "Weatherization Process": Program Operation

Local agencies are permitted a considerable degree of autonomy in operating the weatherization program, which is characterized by decentralized administration. In general, each agency may establish its own system for providing weatherization services and making personnel decisions (e.g., hiring, salary, etc.) concerning even DOE funded positions. However, certain weatherization related activities and procedures are required by either the federal or state administering agencies. These requirements and some unique features of Connecticut's locally operated weatherization programs are described below. Reports and forms required from CAPs for monitoring purposes are more fully discussed in a later section of this chapter.

Application process. The local agencies use a variety of methods to inform potential clients about the weatherization program, ranging from letters and phone calls to newspaper ads and radio announcements. All 14 local agencies use a standard application form, (see Appendix VII), developed and provided by DHR. A copy of the completed form must be given to the applicant once eligibility is determined. A uniform procedure for handling appeals from applicants who are denied assistance was instituted along with DHR's revised weatherization application form in May 1980.

The procedures used to verify client eligibility also vary, although each agency is responsible for documenting eligibility (with copies of three pay stubs or other income proof in cases of government assistance recipients) and maintaining proof of income in the client's file. Since reimbursement of expenses incurred to weatherize a home found ineligible will be denied, local agencies have a strong incentive to carefully screen applications.

According to testimony presented by the president

of the Connecticut Association for Community Action at the LPR&IC's public hearing:

Firstly, there is a presumption that application information is true and correct. There is a penalty for providing fraudulent information. It would be naive, though, to believe that fraud is not possible as it exists in every program, business or walk of life. We must deal with the reality of limiting by constant concern that it not happen.

Each agency has a different way of facing that reality. Some spot check applications; some have private knowledge of the client contrary to application information and follow through on it; and some have as many as five internal checks of applications at any point of which inconsistencies might appear.¹⁶

Examples of internal checks on eligibility mentioned during the committee's public hearing included calls to the local Social Security office to verify an elderly applicant's income and requests for W-2 forms or copies of IRS returns, especially if an applicant is self employed, to determine income.

Estimating weatherization work. One area where little local variation is allowed is estimating weatherization work. CAPs must strictly adhere to DOE requirements concerning the actual work done on a particular home. The federal weatherization legislation mandates that DOE regulations include "a set of procedures to be applied to each dwelling unit to determine the optimum set of cost effective measures, within the cost guidelines set for the program, to be installed in such dwelling unit."¹⁷ In order to achieve optimal energy savings, by law the standards must take into account the cost of the weatherization materials, variations in climate and the value of energy saved by application of the weatherization materials.

¹⁶ Testimony presented by Robert Burgess, president of the Connecticut Association for Community Action to the LPR&IC, June 11, 1980.

¹⁷ Section 231(b)(1) of the National Energy Conservation Policy Act of 1978.

DOE developed the program's standard weatherization estimating procedure as part of a demonstration project in Maine. The procedure, called Project Retro-Tech, provides a calculation method which can be applied to any type of home to evaluate the cost effectiveness of various weatherization measures. DOE has revised the Retro-Tech procedure and forms several times, often in response to local agency suggestions and comments.

In its most recent effort to simplify the estimating process, DOE allows each state agency to develop priority lists of cost effective weatherization measures for standard building types ("typical units") based on the Retro-Tech approach. (See Figure III-2.) Prior to this change, CAP building analysts were required to complete the lengthy DOE Retro-Tech "book" (which contains the guidelines and forms for calculation) for each unit to be weatherized. Local agencies now must follow the state priority list in weatherizing homes classified as "typical units"; the CAP building analyst is required to complete a Retro-Tech book only when the priority list is found to be inappropriate.

Whether the priority list or Retro-Tech is used, a separate DOE form called a Building Check and Job Order Sheet (see Appendix VIII) provides basic ordering and control information and guides the work crews in installing materials. It must be completed for each unit analyzed and then retained in the applicant's file. CAP staff are also required to explain and discuss the results of the job estimating analyses with their weatherization clients.

The state agency is responsible for monitoring compliance with the DOE estimating requirements. If a CAP fails to install weatherization measures in compliance with the priority list or Retro-Tech procedure, the state can disallow reimbursement for units determined to be inappropriately weatherized.

Inspecting completed work. Once the CAP crew finishes a unit, the local agency is required by DHR to complete a form called the Building Weatherization Report (BWR), based on a site inspection of the weatherized home. The completed BWR contains some descriptive information about the client and home (for identification purposes), a detailed list of the conservation improvements made on the unit and an analysis of the costs, by category (materials, repairs, labor), incurred to weatherize the unit. Copies of Building Weatherization Reports for units completed each month must be forwarded to DHR by the local agencies.

In addition to the required BWR inspection, some CAPs conduct their own spot checks of work quality and compliance with

Figure III-2. Connecticut Recommended Weatherization Priority Lists.

TYPE 1: House with tight foundation or tight skirt with oil/gas heat.

Priority	Source of Heat Loss	Measure Required
1	General Heat Waste	See Job Sheet
2	Heating Systems	Comply to 79-12
3	Unsul-Ceilings	R-30
4	Unsul-Perimeter	Stuff Sill Areas R-11
5	Walls	R-13 Operator's Disc.
6	Partially Insul.Ceilings	Increase to R-30
7	Single Windows	Add Storms
8	Floors	R-13
9	Electric Heat	Floor R-19

Reducing general heat waste has proved the most cost-effective and therefore first priority for weatherization work for all three CT. building types.

Measures to reduce general heat waste needed in a particular home are outlined in the building check and job order sheet prepared by the building analyst and include: replacing broken glass, patching cracks, weatherstripping doors and windows, etc.

TYPE 2: House on pillars or with rockwell foundation.

Priority	Source of Heat Loss	Measure Required
1	General Heat Waste	See Job Sheet
2	Heating System	Comply 79-12
3	Unsul. Perimeter	R-11 or Skirting
4	Unsul. Ceilings	R-30
5	Floor	R-11
6	Electric Heat	Floor R-19
7	Pipes and Ducts	Add. Wrap
8	Unsul-Walls	R-13
9	Single Windows	Add Storms
10	Partially Unsul-Ceilings	Increase to R-30

Once general heat waste items (if any) are taken care of, the next priority for a "Type 2" unit is the heating system (e.g., furnace efficiency), priority 3 is uninsulated perimeter, etc.

e.g., modify furnace to achieve efficiency standards outlined in U.S. DOE publication (79-12).

Actual work done by crews continues in accordance with appropriate list until all needed measures are installed or per unit maximum cost is reached.

TYPE 3: Mobile Home

Priority	Source of Heat Loss	Measure Required
1	General Heat Waste	See Job Sheet
2	Floor	R-13
3	Electric Heat	Floor R-19
4	Unsul.Ducts & Pipes	Wrap
5	Single Windows	Add Storms
6	Open Bottom	Add Skirting
7	Heating System	Can Be Priority No.(1); Comply to USDOE 79-12
8	Bank Skirting	

e.g., install (or add) insulation sufficient to achieve an R value of 13.

Source: Connecticut Department of Human Resources "Project Retro-Tech: Recommended Weatherization Priority Lists" (Effective 2/25/80) and LPR&IC Staff Analysis.

federal or state work procedures. Several local agencies have one or more full-time inspectors who are responsible for field monitoring; in other agencies, the weatherization or energy coordinator who is responsible for supervising all aspects of the program, will make periodic site visits. One agency has obtained additional feedback about work quality from a short client-satisfaction survey, completed by persons whose homes were weatherized.

The State Agency's Role in Weatherization

The Department of Human Resources has been responsible for the overall supervision of the weatherization program in Connecticut since the agency was established by the state executive reorganization act, effective January 1, 1979. Under executive reorganization, responsibility for the DOE weatherization assistance program was transferred from the defunct Department of Community Affairs to DHR. DHR also assumed a number of other functions previously under the jurisdiction of the former Department of Social Services. DHR's client population includes recipients of the federal and state public welfare assistance programs administered by the Department of Income Maintenance, and other low income or disadvantaged individuals and families in need of social services.

As the state weatherization grantee, DHR reports directly to the DOE Regional Office in Boston, which reviews applications, awards grants and monitors and evaluates state weatherization operations.¹⁸ The state agency is held responsible for effectively managing program resources and for seeing that state and local weatherization activities comply with all DOE requirements. The department's primary duties, described in detail below, include: preparing the state's grant application, annual plan and budget; monitoring local agency program implementation for compliance with technical, fiscal and administrative requirements; and providing necessary training and technical assistance. DHR also maintains relationships with various state, federal and local agencies to facilitate coordination of weatherization assistance with other energy-related

¹⁸ The ten DOE regional offices oversee the weatherization operations of the states under their jurisdiction and report to the DOE headquarters in Washington, D. C. The DOE main office establishes regulations, provides technical assistance to its regional offices and reviews information from the regions to ensure uniform program implementation.

programs which serve low income persons. In some respects, DHR acts as an intermediary between its subgrantees, the local weatherization agencies, and the federal weatherization agency, DOE. For example, the department arranges CAP site visits for DOE field representatives and distributes federal weatherization memos, which are sent to the state agencies, often with interpretations or additional instructions, by DHR to the local agencies.

Grant application, planning and budgeting functions. To receive federal weatherization funding, DHR must annually submit an application to the DOE regional office. The required application materials include:

- 1) the proposed budget, identifying amounts and sources of funding for each expenditure category;
- 2) a performance narrative, which indicates the total number of low income units to be weatherized each quarter and estimates of the number of elderly, handicapped and Native Americans who will be served; and
- 3) the state plan, which among other things, describes how the program will be implemented and the agencies that will be involved.

In addition, DOE requires a public hearing to be held on a state's weatherization plan before it is submitted to the regional office. A copy of the public hearing transcript and an outline of how hearing comments were incorporated into the state plan must be submitted with the application materials.

The public hearing is the one formal opportunity for CAP agencies and other interested parties to comment on the state's weatherization planning document. In general, the actual document is prepared by internal staff at DHR with little direct involvement by local agencies. However, local agencies more actively participate in the related annual budgeting and goal setting processes.

CAP agencies are allowed to establish their own weatherization goals and prepare their own budgets in consultation with DHR. In a series of individual hearings, DHR reviews each CAP's proposed budget and goals as well as the agency's year-end financial and programmatic records. At the conclusion of the budget hearings, the CAP allocation amounts are settled. DHR then finalizes the overall state budget and plan for

submission to DOE and executes CAP funding agreements.¹⁹

DHR streamlined the budgetary and thus its planning process for the July-December 1980 program period. One reason for the delays in distributing FY 1979-80 allocations was the fact that the department waited until all CAPs had submitted proposed budgets before it began the review needed to make allocation decisions. Under its new system, if information required from a local agency is missing or delinquent, DHR will prepare that CAP's budget to avoid slowing down the entire budget process. For similar reasons, as soon as a CAP budget is ready for final action, it is sent to the DHR commissioner and executed on an individual basis. Formerly, CAP budgets were acted upon as a total package and final funding action was not taken until every local agency completed its budget.

Monitoring function. As noted above, CAP agency weatherization activities are thoroughly reviewed by DHR staff during the annual budget hearing process. Past expenditures for personnel, materials, equipment, contractual agreements (if any) and other operating costs are examined in detail to determine if prior funds were spent appropriately and what the agency's future funding needs will be. CAPs must also supply updated information about their organization including personnel policies, job descriptions and salary structures for analysis during the DHR budget review. While CAP decisions concerning recruitment, appointment and pay scales for its weatherization staff are beyond DHR's purview, department staff may suggest modifications in certain personnel areas to improve local program efficiency and effectiveness.

In addition to annual budget reviews, DHR uses local agency reports that are required monthly and quarterly for the ongoing monitoring of weatherization operations and expenditures. The monthly reports provide DHR with information to evaluate local agency performance during the reporting period and are the basis for reimbursing the local agencies for completed weatherization work. Among the data required by the current DHR monthly report form, which took effect in May 1980, are the number and types (eligibility categories) of individuals and homes served; the number of applications received, approved, pending and rejected; the amount of completed and in-progress

¹⁹ DHR executes contacts with each local agency designated to receive funds and operate the weatherization program within its respective service areas.

weatherization work; agency work force composition and utilization (e.g., personnel costs and time spent per unit); and a detailed analysis of direct and indirect costs for each unit completed (actual costs) and analyzed (estimated costs) during the reporting period. Completed unit information submitted in the CAP's monthly report must be supplemented with copies of the Building Weatherization Reports for those homes weatherized.

The local agency financial statements consist of two forms supplied by DHR--a balance sheet and a schedule of program expenditures--which are due 15 days following the end of each calendar quarter. DHR is considering modifying or perhaps eliminating the required quarterly reports if the expenditure data provided through the revised monthly status report form is found sufficient for monitoring CAP financial activities.

Before the DHR field staff operation was augmented during FY 1979-80, annual budget reviews along with the local agency monthly work status reports and quarterly financial statements were the department's primary monitoring mechanisms. Earlier this year, DHR finally acquired a full complement of field staff--three field monitors and a supervising construction and maintenance specialist. In May 1980, the department instituted revised report forms and began piloting a new monitoring system. That system, which has been put into full operation, supplements the CAP paperwork reporting requirements and is based on a form called the monitor's weatherization inspection sheet. (See Appendix VII.)

That form requires evaluation of the adequacy of a CAP agency's intake system and record keeping; it also contains a section on work quality and client satisfaction to be completed by the DHR field monitor during site visits of the weatherized homes. Inspection sheets are filled out for a randomly selected sample of at least 40 percent of the units completed during the preceding month. The DHR field monitors are assigned on a rotating basis, each one to a certain number of CAPs, depending on agency size, distance between agencies and any special characteristics of the agencies (such as significant administrative problems or particularly complex programs).

Under the new monitoring system, expenditure and performance data provided in the required CAP reports are verified by DHR field monitors during their regularly scheduled visits to local agencies. Also, to complete their inspection sheets field staff must review all aspects of CAP operations, particularly the job estimating or building analysis process, and the use of the required estimating and completed work forms, such

as the Building Check/Job Order Sheet, the building weatherization reports and where applicable, the Retro-Tech booklet. Compliance with the state's priority list, local agency eligibility and inventory control mechanisms and the status of books and records are also examined. If significant problems or repeated discrepancies are uncovered in the sample, more extensive monitoring of up to 100 percent of the completed units will be done. DHR will also assign training and technical assistance staff to CAPs as needed on the basis of the monitoring results.

Additional DOE monitoring requirements. Although DOE requires formal year end financial audits of state and local weatherization accounts, DHR has been allowed to forego this procedure for past program years. Instead, the state agency's fiscal staff has completed one audit which covers local weatherization accounts through June 30, 1979. An independent public accounting firm was then engaged to audit DHR's use of federal weatherization funds and spot check the department's CAP audits. In the future, DHR plans to have all annual audits conducted by an outside firm.

Another DOE monitoring requirement DHR must meet is the annual subgrantee (local weatherization agency) assessment. At the end of each funding period, the state agency evaluates the effectiveness of each CAP weatherization operation and reports the findings to the DOE regional office. DHR is also required to forward copies of all CAP monthly reports and make monthly telephone reports on the state's weatherization workforce status to its DOE regional representative. The latter report is intended to keep DOE apprised of weatherization labor trends and the effectiveness of DHR's strategies for ensuring an adequate workforce.

DOE monitoring of the state agency. DHR's overall effectiveness in managing labor and other program resources and overseeing local agency implementation is evaluated each year by a review team from the DOE Regional Office in Boston. During this on-site annual assessment, the DOE review team interviews the state agency's weatherization personnel, inspects various program records and visits a sample of local programs. The purpose of the DOE review is to determine how the program is being administered and whether corrective actions appears necessary to improve either completion rates or utilization of resources. Other DOE field monitoring by regional office staff occurs at least quarterly in the state agency and about once a year at each CAP. The frequency of these supplementary site visits depends somewhat on annual assessment results, but regional office staff shortages have constrained DOE field monitoring efforts.

Training and technical assistance function. Since FY 79, DOE has made separate grants to the state solely for weatherization related training and technical assistance (T&TA). (Prior funding for this purpose was included as part of a state's weatherization grant amount.) DOE permits the state agency to retain up to half of the T&TA grant while the remaining amount must be passed through to the local agencies. Federal regulations require only that T&TA be provided; content and form are not specified. Therefore, each state may develop its own program of training and technical assistance according to individual need, subject to DOE approval. Local agency T&TA plans are reviewed by DHR and coordinated with its activities.

In FY 80, part of the state's T&TA grant was used to fund two staff positions in DHR--an accountant and a construction and maintenance specialist--that had major roles in training and technical assistance activities. In addition, each CAP received about \$6,500 for its own T&TA program. DHR also contracted with the Low Income Planning Agency (LIPA) to provide weatherization training to new CAP work crews for a six month period (April to September 1980).

The LIPA program was developed in consultation with DHR and based on a CAP T&TA needs assessment survey. The first phase of the program focused on improving inventory and property controls and certain basic technical training activities, such as the use of hand tools, power tools, equipment and materials; safe work habits and first aid; upgrading staff skills for burner (furnace) efficiency testing and understanding the Retro-Tech forms. LIPA is also developing a training manual for CAPs to give to new crew workers. Later stages of the LIPA program will complement the various training activities that CAPs have planned to implement with their individual T&TA allotments.

Another portion of the DHR training and technical assistance grant has been reserved for a much needed fiscal training program to be provided by a DOE approved financial management consulting firm. Preliminary arrangements have been made with this firm, which has been a consultant to other state weatherization agencies, to provide a variety of financial management services. The scope of services includes an analysis of existing CAP accounting systems; instructions and workshops for state and local agency staff on improvements of existing systems or, if necessary, implementation of a new, more efficient system; revision of current program hand books, reference manuals and accounting guides; and follow-up visits to assess how new or revised systems are working.

Both DHR and CAP staff as well as DOE monitors have noted the need for better identification through accounting and reporting devices of types of expenditures, work-in-process, inventory levels and program service characteristics. Therefore, in developing and implementing an improved financial management information system, the consultant proposes to emphasize training in cost accounting and reporting procedures. DHR plans to have its T&TA funded accountant work closely with the consultants in this effort.

Less structured training and technical assistance services are provided at different points in the program's operation and often overlap DHR monitoring activities. As DHR notes in its 1980 state plan, internal state agency administrative staff, by letter and telephone, assist local weatherization personnel with a variety of day-to-day details concerning contracts, budgets, grant awards, payments and reporting requirements. Many DHR staff serve dual roles, being responsible for both monitoring CAP activities and providing training and technical assistance.

DHR field monitors frequently provide assistance in a number of technical work quality areas and with paperwork requirements, particularly maintenance of books and records, during site visits to the local agencies. Similarly, the department's fiscal staff, in addition to auditing CAP records, assist local personnel in complying with DOE financial reporting and accounting requirements. Under the new monitoring system, when local agency reports, forms or files are found inaccurate or incomplete, CAP administrative staff will receive intensive training from the DHR weatherization management information system (MIS) coordinator. The department staff are also revising a handbook for the CAPs which provides guidance on filling out all required forms.

In conjunction with the DOE regional office, the department periodically sends the CAPs advisory letters which deal with regulation changes, policy issues and required procedures. From time to time DHR also holds meetings with local agency weatherization officials both collectively and individually to discuss program goals and operations or interpret and clarify specific policies. Department staff, usually the DHR weatherization project director, regularly attend the monthly meetings of the CAP agency association (CAFCA) to keep abreast of local agency concerns and when appropriate to provide local agency directors and staff with information about the weatherization program.

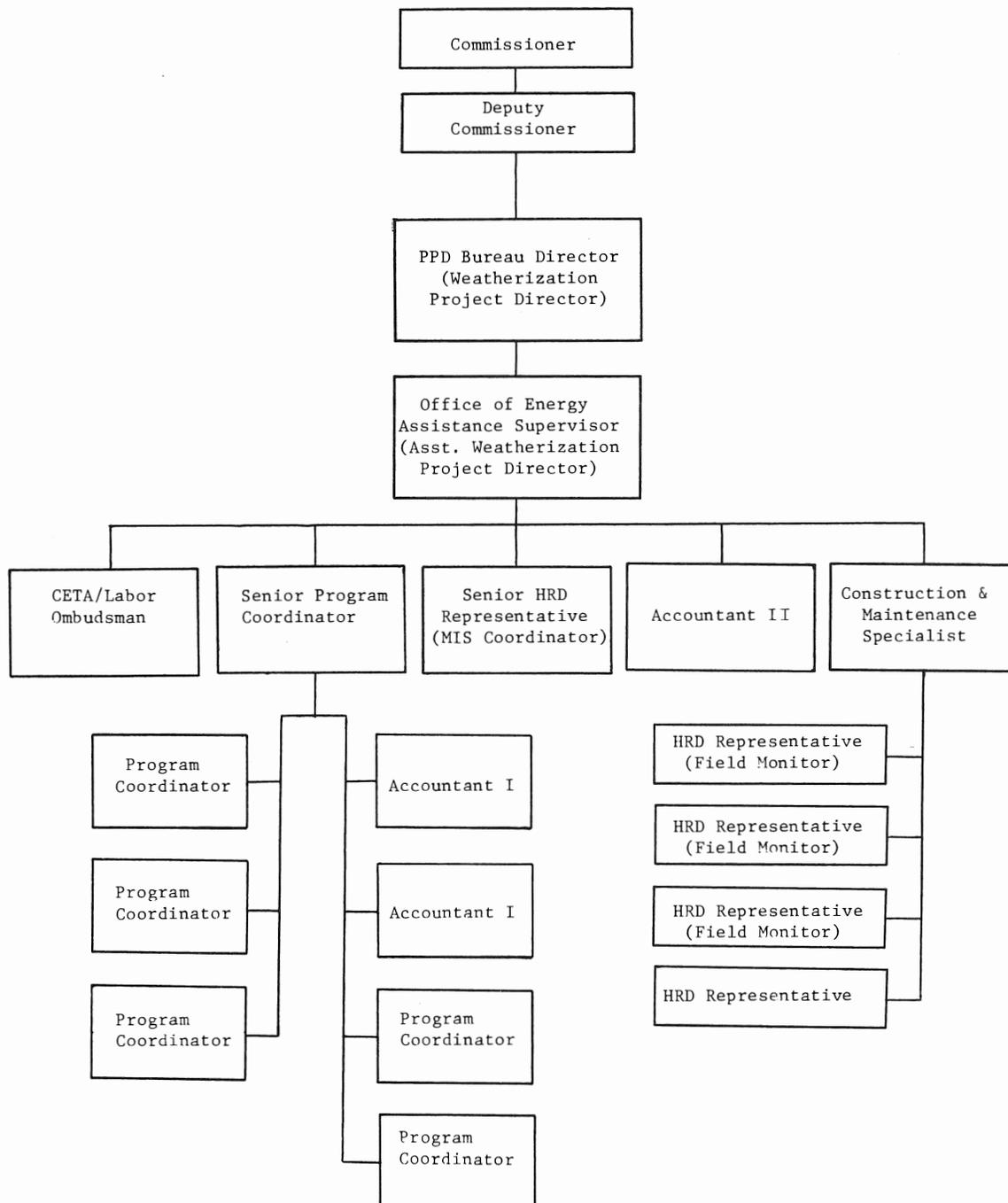
Internal agency structure. The current state level weatherization structure, the most recent of many organizational changes during the program's short history, was established in April 1980 as part of an internal reorganization of DHR. (See Figure III-3.) The head of the department's Bureau of Program Planning and Development (PPD), one of the agency's three major bureaus, serves as project director for the weatherization program and reports directly to the Commissioner of DHR.²⁰ The day to day administration of weatherization and other energy related programs is handled by the PPD's Office of Energy Assistance (OEA). The weatherization activities and staff of OEA are divided into three major functional areas-- field operations, grants management and technical assistance, and fiscal management. The activities of the office are supervised by the assistant to the project director.

Staffing levels and funding. The size of the state agency weatherization staff has fluctuated each program year depending on the source and level of available administrative funding. Since DHR is responsible for administering a variety of other state and federal energy assistance programs in addition to weatherization, some agency staff positions are assigned to each type of energy project. In such cases, personnel costs of staff with multiple program responsibilities are charged proportionately. During FY 80, DOE provided funding for the equivalent of eleven full time positions within OEA while three positions were covered by another federal (CSA) grant. This represented a substantial increase over the five DHR weatherization positions funded by DOE during the prior program year. It also permitted expansion of the field staff.

There are now three monitors supervised by a construction and maintenance specialist compared to only two monitoring staff during each of the past three years of weatherization activities. DHR also established the weatherization management information system coordinator position during FY 1979-80 and, depending on available federal funding, plans to assign one staff as a full time CETA/Labor ombudsman. The ombudsman's primary responsibility will be working out labor related problems between the CAPs and CETA prime sponsors. Two DHR

²⁰ In accordance with the DOE grant terms, someone within the state weatherization agency must be designated "project director." DOE does not mandate any particular management structure or personnel requirements for its state grantees, although these matters are reviewed during the annual state agency assessment.

Figure III-3. Organization Chart: Office of Energy Assistance, Connecticut Department of Human Resources.



Source: Connecticut Department of Human Resources (July - December 1980 State Weatherization Plan).

weatherization employees--the project director and his assistant--are state funded.

Weatherization policy advisory council. The federal weatherization regulations require each state to establish a weatherization assistance policy advisory council. According to DOE regulations, membership must be broadly representative of organizations and agencies (including consumer groups) that serve low income persons, particularly the program's priority clients, and have special sensitivity to the problems (especially energy related) of the poor.

The council's primary role is to advise the state administering agency with respect to developing and implementing the weatherization program. DOE also requires that certain actions concerning the program be initiated or approved by the policy council. For example, Connecticut's request for DOE labor waivers offered in 1979 had to be initiated by its weatherization advisory council.

The current state weatherization policy advisory council membership includes the commissioners of the Departments of Aging, Income Maintenance, and Human Resources, the secretary of the Office of Policy and Management, the executive director of LIPA and the president and energy committee chairperson of the Connecticut Association for Community Action. Two meetings of the council, which is chaired by the DHR commissioner, were scheduled during the July-December 1980 program period, although most prior meetings have been called as needed.

Overview of the Local Weatherization Agencies

Throughout the country, local agencies are responsible for carrying out many of the functions for the operation of the weatherization program. Most commonly, community action program agencies have been designated to implement the program in their individual areas.²¹ Their duties include publicizing the program, verifying client eligibility, procuring the labor and supplies needed to weatherize homes, ensuring the performance of quality work and keeping records.

Community action program agencies. Community action agencies (CAPs) are either private, nonprofit organizations or public agencies, established pursuant to the Economic

²¹ Throughout this report, the terms CAP, community action agency and local weatherization agency are used interchangeably.

Opportunity Act of 1964 (P.L. 88-452). Their mission is to make the communities they serve more responsive to the needs and interests of the poor by assembling resources and creating greater institutional sensitivity. The CAPs utilize a variety of federal, state, local and private funding to provide programs and services for low income persons.

Under the federal weatherization statutes, CAPs are designated as the preferred subgrantees or local program operators. States may receive permission to fund another nonprofit community organization if a CAP is not available or capable to operate a weatherization program. In Connecticut, all but one of the 14 local program operators are community action agencies.²² A list of these agencies with their main office locations and estimated low income client populations appear below. (See Table III-7.)

The Connecticut CAPs are involved in several energy related programs. During FY 1979-80, they administered two energy assistance programs for low income persons, one federally funded and one state funded.²³ These agencies are responsible for similar state and federal emergency energy aid programs available to low income persons during the current heating season. In addition, several agencies also serve as disbursement centers for regional or town fuel banks supported with private funding.

The weatherization program is unlike the CAPs' other energy related activities or the various social services they

²² The Regional Housing Rehabilitation Institute of Connecticut (HRI), under contract with the Human Resources Administration of New Haven, operates the weatherization program for the area encompassing Hamden, East Haven, New Haven, North Haven and West Haven. HRI was established as a regional housing organization in 1976 and is currently involved in a number of housing and energy conservation projects.

²³ The federally funded program provided up to \$400 in assistance for fuel, utilities, emergency housing repairs, temporary shelter, etc., for households with incomes less than or equal to 125 percent of the federal poverty income guidelines. The state funded program provided up to \$150 of utility service, 150 gallons of fuel oil, or the cost of a minimum delivery of a variety of other fuel sources with maximum benefits of \$400 available to any household during the program. Eligibility for the program is based on income.

Table III-7. Local Weatherization Agencies in Connecticut.

Agency	Main Office Location	Estimated Low Income Client Population*	
		# Low Income People	# Low Income Units
ABCD	Bridgeport	97,422	30,444
BCO	Bristol	24,815	7,751
CACD	Danbury	41,283	13,901
CRT	Hartford	180,774	56,492
MCAA	Meriden	39,390	12,309
CAGM	Middletown	51,105	15,970
TEAM	Derby	40,111	12,535
HRA of NB	New Britain	30,920	9,663
NEON	Norwalk	30,019	9,381
TVCCA	Jewett City	81,652	25,513
CTE	Stamford	40,832	12,760
HRA of NH	New Haven	102,189	31,937
NOW	Waterbury	95,619	29,881
WACAP	Danielson	44,977	14,055

* Estimates based on 1970 census data

Source: Connecticut Department of Human Resources.

provide. It is perhaps the most production oriented of all their programs. Several CAP personnel noted during conversations with LPR&IC staff that weatherization is one of the few services their agency provides that has tangible results (i.e., weatherized homes). Some CAP staff went on to state that they felt their agency's relationships with clients and the community have improved because of the visible benefits of weatherization assistance.

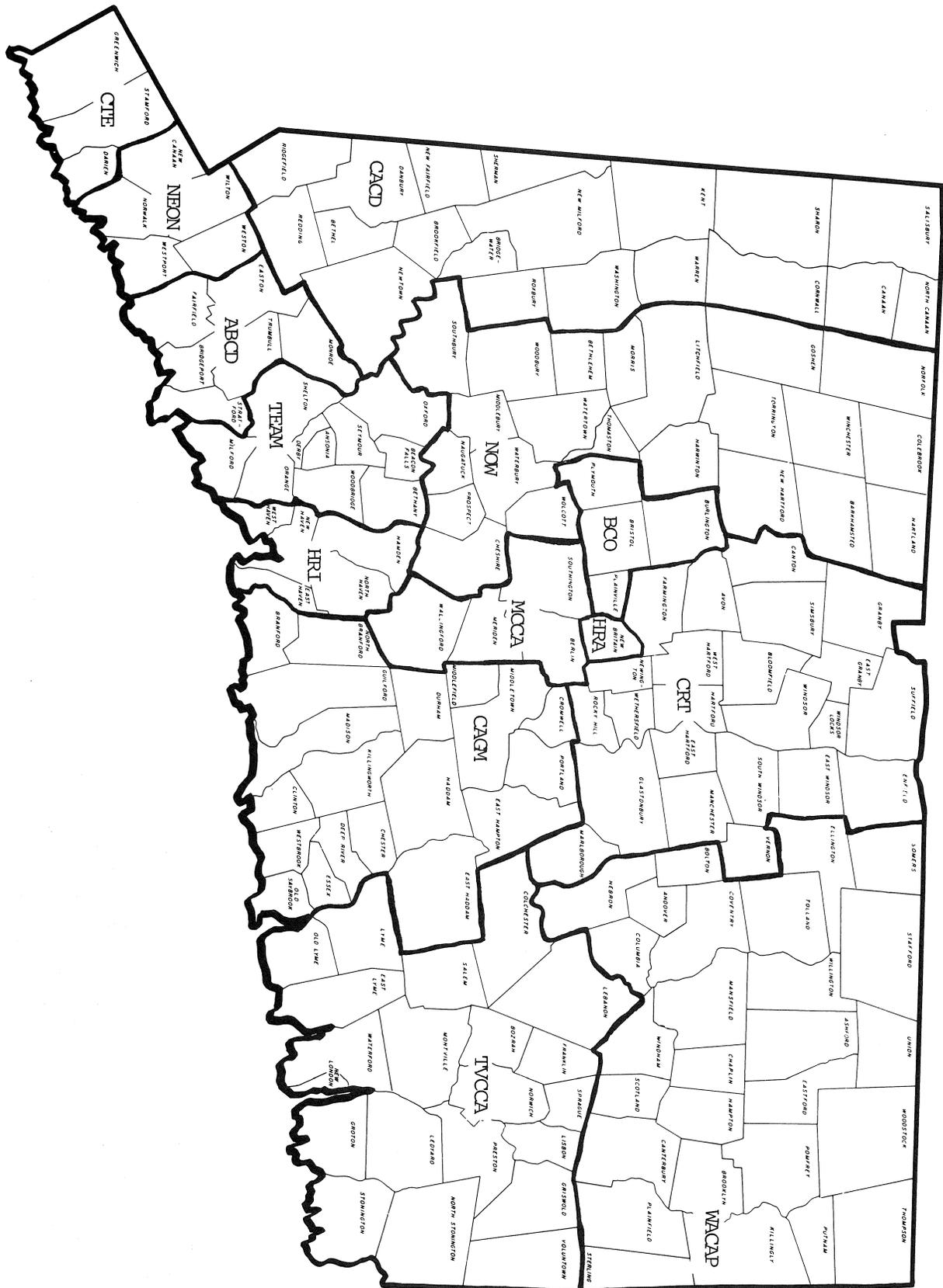
Service areas. The 14 Connecticut local weatherization agencies each serve between one and 27 towns. Service areas are shown on the map in Figure III-4. Eight agencies serve ten or fewer towns while six agencies serve between 19 and 27 towns. Populations of the CAP service areas range between 77,000 and 646,000. Some CAPs are primarily urban oriented, a few are primarily rural oriented and others serve areas with a mix of urban and rural towns.

According to the DHR weatherization project director, approximately three years ago Connecticut was required by the Community Services Administration to establish energy service districts to assure that every municipality in the state would be part of a service area. At that time, an effort was made to follow existing regional planning lines. However, if a town already fell under the jurisdiction of a CAP, it remained in that agency's service area. Today variations have developed where agreements were reached between several of the CAPs to change the boundaries of their service areas.

Local agency organization structure. According to federal regulations (45 C.F.R. 500-1199), every CAP must have a governing board. One-third of the members are required to be representatives of the poor and another third are elected (or in certain instances appointed) local public officials. The remaining members of the board represent a variety of interests including business, industry, labor, religious, welfare and other private groups in a combination which enables the board to benefit from broad community involvement. Federal regulations mandate that all CAP board members be selected in a manner which ensures that they speak and act on behalf of the group or organization they represent.

Each CAP is headed by an executive director, but the organizational structure below that position may differ depending on the agency size and the scope of the various programs offered by the CAP. The weatherization program is generally under the direction of a staff person called an energy or weatherization coordinator. In some agencies, a single person is solely responsible for coordinating the agency's weatherization activities; in other agencies, one person oversees both energy

FIGURE III-4. CONNECTICUT LOCAL WEATHERIZATION AGENCY DISTRICTS



SOURCE: CONNECTICUT DEPARTMENT OF HUMAN RESOURCES.

assistance and the weatherization programs.

Weatherization structure and staffing. The weatherization coordinator oversees the program's administrative and clerical staff and the work crews who perform the actual weatherization work. The crews are generally comprised of a crew chief and one to three crew workers. In some cases, trainees funded through the CETA program will fill one or more of the worker slots. Some agencies also have foreman who are responsible for overseeing the crews. The number of work crews employed by the local agencies range from one to six and depend on the size of the agency. According to the seven responses to an LPR&IC organizational survey sent to all local agency executive directors, three of the CAPs reported they had four work crews each, two employed three and another two had two work crews. Four of the seven CAPs had one building analyst while three had two analysts. All but one agency reported having at least one foreman position with two CAPs having two foreman slots.

The number of local agency administrative staff assigned to weatherization activities also varies. In many CAPs, administrative and clerical staff spend only part of their time on weatherization related functions. For example, the agency's "intake workers" may accept and process applications for several assistance programs including weatherization.²⁴ All agencies have at least one full time weatherization building analyst, who is responsible for inspecting homes to be weatherized and estimating the work to be done. Some agencies with large service areas and financial resources have their own field monitors or quality control inspectors.

In several agencies, intake workers and sometimes work crews are located in sites other than the main agency office. For example, applications for weatherization assistance are available and can be filled out in neighborhood sub-offices as well as at the main office of the New Britain weatherization agency. The Waterbury CAP (NOW, Inc.) because of its large geographic service area split its weatherization work crews into two groups. One group is located in the Waterbury main office while the other crews work out of a satellite office in the northern part of the district (Winsted).

²⁴ The agency's weatherization coordinator, however, must review and approve all applications received and only the coordinator can certify the client's eligibility.

Low Income Planning Agency. The Low Income Planning Agency (LIPA) was formed in 1974 to serve as a statewide advocate for the poor and for the services they need. LIPA also performs statewide planning and coordination activities for the CAPs and provides staff support to the Connecticut Association for Community Action (CAFCA). Most of the activities performed by LIPA are grouped by program areas, such as energy, housing, food and day care. The agency receives funding from a variety of sources including the U. S. Community Services Administration, the Connecticut Department of Human Resources, the U. S. Department of Labor, and the national association of community action agency directors.

In the area of energy, LIPA is involved in several different projects. It receives funding from DHR for energy policy planning, aimed at ensuring the availability of sufficient energy for the poor, and for monitoring state and federal legislation. LIPA staff also provide advocacy training in order to increase consumer understanding and participation in the processes affecting the formation of energy policy. During 1978-79, LIPA used a CSA grant channeled through the New England Energy Congress²⁵ to hire a consultant for six months to research and analyze a variety of existing energy service programs and make recommendations for the improvement of future programs.

CSA funds have also been utilized by LIPA to provide training and technical assistance to CAP weatherization staff in areas ranging from basic weatherization skills to advanced energy saving techniques. This assistance is currently provided as part of the Title XX Training Program, which is funded under a contract with DHR. In the operation of the weatherization program, LIPA has served as a coordinating link between the CAPs and DHR. In instances where DHR did not have the in-house capabilities required for a particular task, they contracted with LIPA to provide that service.

Connecticut Association for Community Action. The Connecticut Association for Community Action (CAFCA) was established in the early 1970's as a mechanism which the CAPs could utilize to share ideas about common problems. It is composed of the executive directors of the CAPs and a representative of LIPA. Funding for the group comes from dues contributed by each CAP.

²⁵ In late 1977, the New England Energy Congress was established to analyze proposed federal energy policy from the regional perspective.

The CAFCA directors meet monthly to discuss areas of concern and coordinate activities to facilitate program implementation. Subject matter committees, which may include additional CAP staff representatives working in that program area, meet as needed to work on solutions to problems in that field. The committees also serve as a CAP information network to disseminate available knowledge about a subject among all the agencies.

CHAPTER IV

RECOMMENDATIONS

When information for this report was initially being gathered, it was evident that the DOE weatherization program in Connecticut had problems which needed to be corrected if it was to operate efficiently. During the course of this review, revisions in the federal regulations and actions taken by the Department of Human Resources resulted in improvements in some aspects of the program's operation. In this chapter, it is the intent of the Legislative Program Review and Investigations Committee to focus on additional changes which it believes will further increase effectiveness and facilitate the weatherization of more homes in Connecticut.

Improving Planning and Evaluation

As indicated earlier, DHR is responsible for the preparation and submission of an annual state plan which describes how the weatherization program will be implemented. In the past, individuals and groups outside DHR have had limited opportunities to participate in the development of the planning document. One question on the LPR&IC survey sent to key CAP weatherization staff asked about their role in development of the state plan. Of the 12 CAP staff who responded, only eight percent felt they had major responsibility for the final planning decisions, while 50% believed they had directly provided advice or information to those developing the plan. The remainder indicated they had no role in the decision making process which developed the plan.

During DHR's public hearing on its plan for the July - December 1980 program period, CAP concerns about the planning process were expressed. The chairman of the CAFCA energy committee said,

We would like to know more about the process DHR has employed for developing this plan. We are disturbed and indeed, perplexed by its development apparently without any systematic involvement and participation by our member agencies. We are not insensitive to the difficulties inherent in developing such a complex and comprehensive document, and expect that pressure on DHR staff time and other resources may explain this problem in part. But we are clear in our sense that the plan could have and would have

been better with our active involvement in its initial development. It seems a truism that planning documents inevitably require for their effectiveness the perspective of persons who have program operating experience and will continue to be involved in implementation. We regret to say that this Plan shows the lack of just such a perspective in a number of places. In the future, we would ask that our membership be involved at every stage in developing any further plans for the weatherization program, and I would invite you to contact me as Energy Committee Chairman to arrange such involvement.²⁶

He also included the following suggestions for increasing local agency participation in state weatherization planning:

We also feel strongly that in terms of facilitating our participation even at this late stage, the Plan should have been sent out, at a minimum, to all CAAs in Connecticut. We should have had more effective notice and publicity concerning this hearing, and such notice should have been supplied much further in advance of the hearing. And we believe the Plan could have been better and more clearly organized for public comprehension and comment. It appears that most of the pertinent information one might require to assess Connecticut's program is contained somewhere in the Plan. But one does not know this until one has read the entire, rather massive document. Again and again one is presented with material that apparently responds to U. S. Department of Energy (DOE) questions or requirements, but which does not make full or easy sense without an indication of what those questions and requirements are.

If this is, as we expect, the format that DOE requires, then for purposes of public comments, a narrative should be presented at the outset,

²⁶ Testimony presented to the Department of Human Resources concerning weatherization assistance for low income persons by James Gatling, chairman of the CAFCA energy committee on June 19, 1980.

giving an overview of the Plan in lay terms and describing the relationship of its parts to each other and to the whole.

As the previous chapter indicated, the CAPs do work closely with DHR on the development of specific goals of completed units. In his testimony, the CAFCA energy chairman noted that CAPs appreciated the fact that each local agency was consulted about the goals to which the plan committed them for the coming program period. In summing up the CAP point of view, he said, "The goals are realistic and attainable, and our participation in this aspect of the Plan was critically important to us." This view was supported by LPR&IC survey results. About two-thirds of the 12 CAP staff who responded to the committee questionnaire indicated they had had either major decision making responsibility or a direct advisory role in determining their agency's goal of completed units for the next year.

Recognizing that some efforts have been made by DHR to involve the CAPs in aspects of the development of the State Plan, but feeling that greater joint efforts may be beneficial, the LPR&IC recommends that the CAPs be given ample opportunity to contribute to and comment on the annual state plan well before its submission to DOE. In addition, the Department of Human Resources should prepare an unambiguous and concise summary of the State Plan to be submitted as part of the A-95 process. This summary should be available to all interested parties.

Long range planning and program goals. The committee is also concerned about long range planning and how the varied, sometimes conflicting overall goals of the weatherization program will be achieved. In addition to establishing specific production goals, the committee believes the purpose and direction of the program should be clearly defined in the state's planning document. While agencies must meet different client needs and separate production goals, all organizations involved in implementing weatherization assistance should be working toward the same long range goals. This is not necessarily the case at the present time. Several different goals have been identified as the primary purpose of the weatherization program by the individuals and agencies operating it in Connecticut. Even the federal weatherization legislation contains multiple program objectives.

Legislation initially establishing the DOE weatherization program (P.L. 94-385) stated that its purpose was to encourage and facilitate the implementation of energy conservation measures and renewable resource energy measures. More specifically, the federal energy agency was mandated to develop and implement a

supplementary weatherization assistance program to assist in achieving a prescribed level of insulation in the dwellings of low income persons, particularly the elderly and handicapped, in order both to aid those persons least able to afford higher utility costs and to conserve needed energy.

Sections of the National Energy Conservation Policy Act stated that its purposes among others were "to reduce the growth in demand for energy in the United States, and to conserve non-renewable energy resources produced in this nation and elsewhere, without inhibiting beneficial economic growth." DOE later issued a policy statement to its regional offices which summarized the program goals as follows: weatherize the homes of low income families to conserve energy; mitigate against higher prices, giving priority to elderly and handicapped; and provide training for CETA workers. According to a DOE staff person in the region I office, each of these goals is considered equally important; DOE did not set priorities among the different purposes of the program.

The LPR&IC surveys of key DHR and CAP agency weatherization staff asked respondents to rank a list of goals in order of importance. The weatherization program goals listed were: increase energy conservation; make low income homes more comfortable and warmer; help reduce weatherization clients' fuel costs by making their homes more energy efficient; and provide employment and training for unemployed and underemployed persons. The questionnaire also permitted respondents to specify other goals if they wished. The results from the DHR staff showed that nearly 70 percent of the 13 respondents felt helping to reduce weatherization clients' fuel costs was the most important goal of the program. Twenty percent of the DHR respondents said increasing energy conservation was the most important goal while 11 percent reported that making low income homes more comfortable and warmer was the most important goal of the program.

The CAP survey results were somewhat more diverse. Slightly over one-third of the 12 respondents reported increasing energy conservation was the most important goal while an equal number said that helping to reduce weatherization clients' fuel costs was the most important goal. Eighteen percent of the staff persons thought making low income persons' homes more comfortable and warmer was the most important goal and nine percent indicated that providing employment and training for unemployed or underemployed persons was the most important goal of the program.

The committee believes that the current lack of consensus concerning the program's primary purpose can have serious

implications for the way weatherization assistance is implemented in the state. If energy conservation is the primary purpose, then the most energy inefficient housing should be the focus of weatherization services. If the training and employment aspect of the program is emphasized, high production rates or more difficult weatherization work may have to be sacrificed while unskilled workers are learning how to install weatherization materials properly.

In order to clarify the purpose and direction of the state's weatherization program, the Legislative Program Review and Investigations Committee recommends that DHR establish broad program objectives under which the CAPs will operate the weatherization program. These objectives should be a function of a general statewide energy policy, developed through a formalized process that includes contributions by the CAPs and other interests. It is further recommended that a planning document which establishes clear, achievable and measurable goals evolve from the program objectives. By developing consistent program goals and objectives with input from all interested parties and clearly identifying the program's purposes in the state planning document, implementation of weatherization assistance should be enhanced.

In addition, the committee recommends that weatherization goals, while annualized for program purposes, should span longer periods, such as three or five years, and be clearly articulated to elements and actors within the delivery system of the program. Again, development of the goals should include the formal involvement of the CAPs. This recommendation should not require any additional or unnecessary paperwork by DHR. Longer range information of this type is gathered and considered during the current plan development process and should be addressed in the planning document.

Additional funding sources. Another factor DHR should consider when planning and implementing weatherization assistance is the growing number of funding resources for residential energy conservation. In addition to the federal funding available through the DOE weatherization program, other agencies, such as the U. S. Department of Housing and Urban Development (HUD), are also making funds available to perform certain kinds of rehabilitation and energy conservation capital improvements. The LPR&IC recommends that the Connecticut weatherization assistance program take advantage of as many of these other funding sources as possible. Working within the requirements of the various grantor agencies, DHR should work to ensure that the total amount of housing receiving assistance is maximized. If necessary, the most restrictive funding should be used only on

housing not eligible for assistance under another program.

Performance appraisal criteria. Currently, the performance of agencies operating the weatherization program in Connecticut and across the United States is judged almost exclusively on the basis of the number of housing units reported as weatherized within a given period of time. The primary indicator of agency success is whether or not goals of completed units are met. A number of discussions have been held about the possibility of changing or expanding this criterion.

Alternative performance indicators. Among the alternative criteria which have been suggested are performance indicators covering:

- 1) the quality of workmanship, that is how well weatherization materials have been installed on individual dwelling units;
- 2) the quantity of work, that is the scope of weatherization work done on individual dwelling units;
- 3) client satisfaction, that is the extent to which individuals who have had their homes weatherized feel it has improved the comfort and energy efficiency of their homes; and
- 4) the amount of work in progress, that is the number of housing units partially completed on a given reporting date as well as the number of completed jobs.

Consideration has also been given to measuring CAP performance separately for different categories of housing. Specifically, the assessments would consider the number of public vs. private housing units completed, the number of single family vs. multifamily housing units completed, and the number of owner occupied vs. rental housing units. The committee believes that implementation of the weatherization program would be better evaluated if the appraisal criteria were expanded to include some or all of these alternatives. However, the committee recognizes the difficulty in developing accurate, measurable workmanship, client satisfaction or other qualitative indicators.

In separate questionnaires, the DHR and CAP staffs were asked their opinions of these alternative performance measures. Several of the concepts received support from CAP staff members. Ninety percent of the 12 CAP respondents strongly agreed

with a statement that agency performance should be judged on the basis of the quality of the work done as well as the number of units weatherized. The remaining eight percent agreed with the statement. Likewise, over half of them strongly agreed with the statement that agency performance would be better evaluated by the amount of work done on each unit rather than by the number of units completed. Another 17 percent of the CAP staff agreed with the statement while 25 percent disagreed.

The responses from the DHR staff members concerning alternative performance indicators were somewhat more diverse. On the question of using quality of work as a CAP performance measure, nearly 70 percent of the 12 DHR respondents either agreed or strongly agreed, but one-third disagreed. The suggestion that the quantity of work be used for evaluation received a negative response. All of the respondents to that question either disagreed or strongly disagreed.

The degree to which the number of completed units, the performance indicator currently used, accurately reflects how well agencies are implementing the weatherization program is limited. In an effort to improve the appraisal process, the LPR&IC recommends the adoption of principles concerning program measurement which will be used to guide the operation of the weatherization program. Specifically, the committee believes that agency performance indicators should be concerned with the potential for total annualized energy savings rather than a simple count of the number of household units serviced. At no time should long term benefits be sacrificed for short term quota goals. Furthermore, the indicators used to evaluate performance should be precise and difficult to subvert.

In addition to adopting energy conservation as the guiding principle for evaluating performance, DHR can improve its appraisal process in several specific areas. The committee believes that quality workmanship should be established as a performance standard that is not compromised for quantity of output. It is recommended that workmanship quality standards be established as a performance threshold that is vigorously monitored. Recognizing that such standards do not exist currently, the committee recommends that specific, objective, quantifiable standards be established for each weatherization technique; those standards should be an integral part of the monitoring process. If necessary, professional contracting consultants should be employed to design the work quality standards. Once developed, the standards should be included in the monitor's weatherization inspection sheet form.

A second area of concern, which is related to DHR's goal and plan development process, involves the quantity of weatherization work done on each home and the priorities for providing assistance.

The current system of analyzing eligible homes was developed to insure that the most cost-effective weatherization approach is taken. However, adherence to the required estimating procedures only assures that optimum weatherization occurs within an individual project. DHR and the CAP staff, according to interview comments, would not favor a policy of giving priority to those homes with the greatest potential for cost-effective weatherization because of its impact on equity in providing services. For the most part, CAP agencies weatherize homes on a "first-come-first-served" basis unless there is an immediate health or safety factor involved. Priority for assistance is based on the client's eligibility not the condition of their home.

Elderly or handicapped applicants are also given priority in accordance with the program's statutory mandate. As a result, in some cases, applicants with homes that require only minimal improvements (such as weatherstripping or caulking) may be served before "needier" clients. If the homes requiring the most work are always done before less energy efficient cases, some clients may never get off a CAP's waiting list. In addition, the homes which need weatherization the most are also more likely to need extensive, time-consuming repairs. Overall production rates may have to be sacrificed in order to concentrate on the "worst" homes. These types of tradeoffs must be considered in establishing priorities for assistance and program goals as well as in evaluating the state's weatherization efforts. The Legislative Program Review and Investigation Committee recommends that performance evaluation focus on the greatest cost/benefit techniques of weatherization. That is, the evaluation should be weighted toward those techniques which produce the greatest energy savings versus costs.

Another evaluation method which would have planning and goal setting implications is the utilization of the types of housing weatherized as a CAP performance measure. A number of factors must be considered if performance is to be judged on the basis of how many homes in each category (e.g., public vs. private, owned vs. rented, single-family vs. multiunit, etc.) are weatherized. For example, with respect to public housing, many of the units presently considered for weatherization assistance are in better condition than eligible privately owned homes. This makes the former easier and faster to complete, permitting CAPs to bolster their production rates.

The LPR&IC surveys of CAP and DHR staff asked respondents whether they agreed or disagreed that the goals of completed units should be set separately for publicly owned and privately owned housing. CAP responses were fairly evenly divided. One-third strongly agreed and 17 percent agreed while 34 percent disagreed and 17 percent strongly disagreed. Among the staff from DHR, only 30 percent agreed while 70 percent disagreed. With regard to whether more emphasis should be placed on weatherizing public housing, all of the DHR and 75% of the CAP respondents disagreed.

In considering single versus multifamily housing, it may turn out that a large, single family home could be more difficult to weatherize than a multifamily building with only a few units in it. A further distinction such as multifamily homes with a certain minimum number of units might be needed to accurately reflect performance levels in this category. In response to another survey question asking whether they agreed or disagreed that more emphasis should be placed on weatherizing multifamily housing rather than single family homes, all nine DHR respondents disagreed.²⁷ The CAP responses were less consistent, but generally supported the same position. Almost three-quarters of the CAP staff disagreed or strongly disagreed, but 16 percent agreed and eight percent agreed strongly.

Since rental housing is frequently multiunit housing, categorizing weatherization performance by owner occupied versus rental housing may involve the same problems as single vs. multifamily dwellings. Another major factor affecting an agency's ability to weatherize rental units is the need to obtain agreements with landlords concerning rent increases. If a landlord refuses to sign an agreement, no work can be done on the unit under this program.

Recognizing the factors outlined above, it is the recommendation of the Legislative Program Review and Investigations Committee that in determining the mix of housing to be weatherized, priorities ought to be established between public and private housing, single and multifamily housing, and owner occupied and rental units within the context of the overriding principle of the program for energy conservation. The committee

²⁷ Federal weatherization regulations state that priority be given to single family or other high energy consuming dwelling units, as the grantee determines appropriate. In Connecticut, DHR encourages CAPs to weatherize multifamily units over single family homes because it believes the elderly are more likely to live in multifamily units.

believes that the mix of housing should be considered during the planning stage when completed unit goals are established. In determining a target mix, DHR and the CAPs should take into account the energy savings to be gained from each particular type of housing. However, no one kind of unit should be emphasized to the extent that other types are excluded permanently.

The committee recognizes that the criteria and procedures used for planning, goal-setting and evaluation are interrelated and involve a number of complex issues. For these reasons, specific program goals or performance indicators are not being recommended. Instead, it is the intention of the committee to focus the attention of those involved in weatherization on the need to broaden and clarify the planning and evaluation criteria and processes. In summary, the Legislative Program Review and Investigations Committee believes that, within the constraint of emphasizing energy conservation, the goals of units to be weatherized by each CAP should be established to reflect quality workmanship standards. The committee recommends that different quantitative goals and performance indicators be established which will take into consideration the amount and quality of work completed instead of just the total number of units weatherized. These quantitative indicators should take into account different types of housing (e.g., multiple vs. single family homes).

Strengthening Communication and Improving Information Use

The process by which the various organizational levels responsible for implementing the weatherization program obtain information about changes in operational requirements and the availability of technical assistance has not been standardized in the past. Information is obtained from a number of sources at varying intervals. According to the results of the LPR&IC survey of CAP staff, 45 percent of the local agency respondents received written memos from DHR at least weekly and 36 percent received such material monthly. Written material from DOE was received rarely, if ever, by 58 percent of the respondents. Telephone conversations with DHR staff were held at least weekly by 90 percent of the CAP respondents and telephone calls with DOE were held quarterly or less by 83 percent of the respondents.

CAP information needs. When asked the extent to which DHR has helped their agency in certain specific areas of the weatherization program, the CAPs provided mixed responses. Although over half of the respondents indicated DHR was helpful or very helpful in interpreting DOE regulations, one-third reported that DHR was not very helpful and eight percent said DHR was not helpful at all. In the area of clarifying reporting requirements,

75 percent of the respondents thought DHR was helpful or very helpful, but in terms of keeping their agencies up to date on program changes at the federal level, the responses were split 50-50 between those who felt DHR was helpful or very helpful and those who felt DHR was not very helpful or not helpful at all.

CAP staff were also asked whether certain specified circumstances had been problems which affected their ability to meet goals of completed units. Insufficient or untimely information from DHR was labeled a major problem by half of the respondents, a minor problem by eight percent of the respondents, and a problem at one time, but not now, by one-third of the respondents. Only eight percent of the CAP respondents felt this had never been a problem. Insufficient or untimely information from the federal administering agency, DOE, was a major problem for one-quarter of the CAP staff while 42 percent thought it was a minor problem. Cumbersome or unclear program regulations was cited by 64 percent of the respondents as a major problem while 18 percent thought that was a minor problem.

In order to supplement the communication activities which currently exist between DHR and the CAPs, the Legislative Program Review and Investigations Committee recommends the use of specific mechanisms by which DHR will provide timely information to the CAPs. At a minimum, the committee believes that:

- 1) when new or proposed federal regulations are issued, a DHR staff person should immediately contact each CAP weatherization coordinator and provide the title and date of publication in the Federal Register of those regulations;
- 2) DHR should provide a written analysis of the effects of newly adopted regulations to the weatherization coordinator and the executive director of each CAP;
- 3) when changes are made in weatherization program reporting requirements, a written explanation should be sent to the weatherization coordinator and executive director of each CAP, prior to the implementation date of those changes (if necessary, this written material should be followed by a telephone conversation or a meeting);
- 4) DHR should send a listing of technical assistance courses and conferences being sponsored by private or governmental organizations that

may be of interest to weatherization program workers on a monthly basis to the CAP weatherization coordinators and executive directors (if an application deadline precedes the next list, telephone calls should be made to the weatherization coordinators);

- 5) written summaries of state-wide performance results should be sent quarterly by DHR to the CAP executive directors and weatherization coordinators, one week after those results are due at DOE; and finally,
- 6) DHR should be cognizant of other information which the CAPs may need to facilitate implementation of the weatherization program and make that information available to the appropriate staff people on a timely basis.

Better Use of Required Report Information

As described in the previous chapter, local agencies are required to submit monthly status reports and quarterly financial statements to DHR. Although the programmatic and fiscal information contained in the required reports has been collected for several years, its only purpose has been to serve as a mechanism to verify that each agency's performance has met the operational requirements of the program. In an effort to make use of data already available and submitted on a regular basis, the Legislative Program Review and Investigations Committee recommends that the data collected through the CAP monthly reports in the areas of program output, applications and the workforce be utilized by DHR in future planning and program development efforts. The committee believes it is important that DHR begin to compile, analyze and disseminate this information to the CAPs rather than just collect it. In particular, the department should use the information in the reports to determine the average length of time needed to complete a job, noting the application, approval and completion dates and the reasons for rejecting applicants (i.e., exceed income ceiling or repair limits). By providing this information to the local agencies, the CAPs will receive more meaningful feedback concerning their own performance and be more aware of the program's accomplishments statewide.

Without compiling and analyzing this data, individual CAP effectiveness in terms of prompt and equitable service to clients cannot be evaluated. DHR, through the monthly reports,

should be able to identify those CAPs needing assistance to reduce their weatherization "waiting lists" as well as those service areas with significant housing rehabilitation needs. In order to ensure that complete and accurate information will be reported, the Legislative Program Review and Investigations Committee recommends that DHR contact each CAP by November 30, 1980, and verify that they know how to fill out the report forms correctly. DHR monitors should provide technical assistance to any CAP which has not completed its latest required reports correctly.

DHR should also gather more information about those CAPs whose performance is behind schedule. The Legislative Program Review and Investigations Committee recommends that DHR have the CAPs submit information in their quarterly performance reports explaining any areas where they are behind target. As a minimum, each CAP whose performance is at or below 80% of the targeted goal for its area should be required to submit a statement outlining the causes and the corrective action that will be undertaken to catch up. This will also provide another check on CAP adherence to completed unit goals.

Increasing Training and Technical Assistance Activities

The results of the LPR&IC survey sent to CAP staff indicated that the areas most frequently identified as ones where more training and technical assistance could be used were:

- 1) inventory control mechanisms;
- 2) technical areas, such as furnaces, solar heating, construction and carpentry skills;
- 3) the use of a cost accounting system; and
- 4) interpreting DOE regulations.

In response to a similar question, the areas most frequently cited by DHR staff as ones in which they would like to provide new or additional assistance to the CAPs included fiscal and management assistance, cost accounting and technical training for weatherization work crews.

The need for skilled labor crews was also described in a letter written by the LIPA weatherization training project director. He pointed out:

Low income housing turns the simple chores of weatherization into a multitude of challenges requiring far greater skills and judgement.

The remedies for conservation in this sector are quite unlike the cost effective measures applied to moderate income housing. The task of applying a doorsweep suddenly becomes complex when the door bottom is rotted and will not hold nails or screws. Simple window reglazing becomes an impossible task when the muntin breaks under the pressure of the putty knife. Insulating uninsulated attics requires venting, a concept and practice often misunderstood even by professionals in the business.

Failure to recognize the distinction between simple cost effective weatherization measures of standard housing and the far greater challenges of retrofitting substandard housing is detrimental to the delivery of this vital service to low income persons.

It is paramount to the Weatherization Assistance Program for Low Income Persons that local administering agencies maintain a steady labor force of skilled workers to deliver this service.²⁸

Some of the areas noted above have been included in the training program provided by LIPA; DHR field monitors are also working with CAP staff to improve technical skills and record-keeping. However, the committee feels that compliance with work quality standards and paperwork requirements is critical to successful program implementation. The department should make every effort to improve CAP performance in these areas through increased training and technical assistance.

Therefore, the Legislative Program Review and Investigations Committee recommends that additional technical assistance be provided to work crews in the areas of furnace repairs, solar heating, construction and carpentry. After the funding for the training currently provided by LIPA expires in October, if no additional funding is available to LIPA, DHR should provide technical training sufficient to ensure that at least one

²⁸ Letter to Mr. Martin Kress, Senior Energy Analyst, U. S. Senate Budget Committee from Michael Baron, Weatherization Training Project Director, Low Income Planning Agency, Inc., October 22, 1980.

individual in each CAP has the expertise and has been designated to train his/her fellow workers in basic weatherization skills.

If the specific individual in the CAP who has been trained to provide technical assistance to new crew workers leaves, then another individual should be trained to perform this function. The capability to provide this assistance should exist on an ongoing basis, but the need to offer formal sessions should be left to the discretion of DHR. The training manual being prepared by LIPA should be used as a supplement to the ongoing technical assistance provided by the staff at the CAP.

Financial management skills. DHR expects to provide a program of fiscal and cost accounting training very soon. The department is in the process of procuring the services of a DOE approved financial management consulting firm to develop and implement a management information system for DHR and the CAPs. The consultant's program, described in an earlier chapter, will consist of an analysis of existing accounting procedures, instructions on how improvements will make internal planning and budgeting more efficient and training in the use of the new financial and programmatic data reporting system. An integral part of the program is training state and local agency fiscal staff in the use of better job cost accounting and inventory control procedures.

The contract covering the consultant services was originally expected to be approved during early 1980, but a variety of delays have prevented its finalization. It is the recommendation of the Legislative Program Review and Investigations Committee that the contract be finalized by November 30, 1980. The governor should be informed of the acute need for the training to be provided under this contract and she should be asked to expedite its approval. If approval is not obtained by November 30, 1980, DHR should develop resources for an alternative program in fiscal and cost accounting training. Once resources are obtained, the alternative training program should be implemented no later than January 1, 1981.

In conjunction with this activity, the Legislative Program Review and Investigations Committee recommends that by January 1, 1981, DHR develop an inventory control system which will enable agencies to keep track of the receipt, storage and disbursement of weatherization work materials. Training in the establishment and operation of this system should be provided by DHR to all the CAPs by March 1, 1981.

Guidelines for engaging contractor services. In the past, some CAPs have utilized outside contractors to perform weatherization work on housing units. But, on the whole, most have had little experience with the contracting process and the program's requirements concerning contractual services are somewhat complicated. The Legislative Program Review and Investigations Committee recommends that DHR prepare and distribute a written report outlining the process a CAP must use, if it wants to hire a contractor. At a minimum, this report should explain:

- 1) how to put a job out for bid;
- 2) the criteria used to select the successful bidder;
- 3) the negotiation of the contract; and
- 4) any DOE requirements which must be met by the contractor (e.g., restrictions on the types of materials that can be used).

Improving State Agency Monitoring Procedures

Prior to the 1979-80 program year, DHR's monitoring of CAP weatherization activities was primarily a paperwork compliance review. Shortages of field staff and other internal management problems caused by early implementation difficulties limited site inspections as well as technical assistance follow up.

DHR's current monitoring system and application and monthly report forms have been in effect only since the late spring of 1980. However, the more complete and accurate information on CAP weatherization activities provided by the revised forms and the intensified DHR field monitoring efforts should result in greater local agency accountability. In addition, DHR monitoring results are shared with CAP staff to point out strengths and weaknesses. The strengthened monitoring system has already helped to identify general areas and specific agencies needing training and technical assistance services.

In the most recent DOE annual assessment of DHR, held April 29 to May 2, 1980, the DOE review team noted that the agency's monitoring system had improved and field staff capability had been strengthened. The report praised the supervisor of field operations for putting forth "an energetic, effective, and

knowledgeable program of assistance to subgrantees [the CAPs]."²⁹

One weakness in the monitoring and technical assistance area cited by the DOE review team, which the LPR&IC also found, was the lack of DHR fiscal monitoring at the CAP agencies. Reviews of CAP reported expenditures still occur primarily in the DHR central office, although some progress in fiscal field work has been made by department's recently hired field accountant. These efforts will be expanded once DHR's contact with an outside financial management consulting firm is finalized.

The department's monitoring capability is also restricted by the lack of an automated data system. It is doubtful that funding for an automated system will be available anytime in the near future, although DHR is still exploring this possibility. Improvements in existing paperwork requirements (including the revision or consolidation of most existing forms), which was completed in May 1980, and DHR's efforts to prepare and distribute to the CAPs a new program handbook, which among other things explains how to complete each form, have facilitated the manual processing efforts.

Another of the committee's concerns is related to the fact that as part of the new monitoring system, DHR monitors are expected to conduct client satisfaction interviews at the time of inspection. DHR policy prohibits monitors from entering a weatherized unit when the client is not home. Since monitors currently work 8:30 a.m. to 4:30 p.m. (and state policy presently restricts overtime authorization), clients who work or cannot be contacted during this time are excluded from the process. Therefore, it is recommended by the LPR&IC that DHR take steps to authorize weatherization monitors to work on a "flex time" schedule, either on a permanent or pilot project basis. A flex time schedule would allow more efficient use of the monitor's time (without additional cost) and greater representation from the weatherization clients.

The committee recognizes that implementation of a flex time policy is a complicated process, requiring negotiation between the agency and the employees' bargaining unit as well as approval by the Personnel Division of the Department of

²⁹ The Department of Energy Region I Office Review Team, "Department of Energy Weatherization Assistance Program Annual Grantee Assessment: Final Report on State of Connecticut - 1980." (June 6, 1980), p. 13.

Administrative Services (DAS) and their labor relations officers. DAS staff will assist any agency in establishing a pilot flex time program. At the very least, the committee believes DHR should contact these organizations and develop a pilot flex time proposal for consideration during the field monitors' next contract negotiation date.

Inventory verification. Weaknesses in current CAP inventory control systems were uncovered through the training needs assessment. In another section of this report, the committee has noted the need for technical assistance in this area. It is recommended by the committee that DHR include an inventory verification check as part of its on-site monitoring activities at the CAP agencies. This check will involve a comparison of whether inventory records match inventory stock-on-hand on the day of verification. At least one unannounced visit per year, and more if needed, should be made by the DHR monitors. A cumulative annual list of inventory discrepancies broken down by CAP should be compiled to indicate where problems exist and the extent of any losses. DHR should start making these visits by May 1, 1981.

Client feedback. DHR's current monitoring system includes the collection of some client satisfaction information. The committee believes that all clients should be encouraged to give feedback, both positive and negative, concerning their experience with the program. It is particularly important that DHR be made aware of any complaints concerning noncompletion of scheduled weatherization work or criticisms of the scope or quality of work done on a client's home. The committee recommends that DHR establish the following procedures for obtaining client feedback:

At the time of the final job inspection, each client should be given a postage-paid card supplied to the CAPs by DHR. The card, coded by job number, should solicit positive and negative comments concerning the client's satisfaction with the weatherization process and the quality of the work done. Completed cards are to be sent to DHR, and in cases of a negative response, field monitors should follow-up with a visit to the client. Both positive and negative results should be summarized periodically by DHR and sent to the appropriate CAP agencies.

Increasing Weatherization Outreach Efforts

An important factor in the success of a program such as the weatherization assistance program is an awareness of its

existence by the people who are eligible to receive the services it offers. A variety of methods are available to ensure that potential clients find out about the program. At the same time, the CAPs operating the program must balance the rights of those applying for assistance to receive prompt consideration of their application and, if eligible, weatherization services with their agency's own ability to weatherize only a limited number of housing units within a given time period.

Current outreach methods. According to the CAP client survey, respondents found out about the weatherization program in a variety of ways. At least 33 percent of the 76 people interviewed heard about the program from others who knew about it. Twenty-two percent of the people first found out about the program through the newspaper, radio or television. Other common sources of information were local housing authorities (12 percent) and visits to CAP offices for other purposes (15 percent). Additional sources mentioned by at least one person were legal aid, a fuel company, a senior citizens' newsletter, an Energy Agent with the Cooperative Extension Service and an employer. The results of the CAP staff questionnaire indicated that the sources used most frequently to make people aware of the weatherization program have been notices or flyers in public buildings, community centers, senior citizen centers, etc.

Two-thirds of the nine CAPs responding indicated that they used this method frequently. Other frequently used sources are notices in newspapers, announcements on radio or television, and requests that local governmental agencies notify possible clients. A variety of methods were used sometimes by all the CAPs, but personal visits or phone calls to potentially eligible persons were the most common choice (67 percent of the CAP respondents). Forty-four percent of the CAPs indicated they rarely use radio or television announcements to reach people.

Waiting lists. According to testimony during LPR&IC public hearing, as of March 31, 1980, 366 weatherization applications were pending completion statewide. It was pointed out that not all of those people necessarily experienced a delay in having work done on their homes. Some of the pending applications were individuals who had not been verified yet with regard to their eligibility to participate in the program.

The DHR revision of the CAP monthly report form is expected to enable the department to determine more precisely how many people are waiting for work to be performed. Also, under a new two step approval process mandated by DHR, the CAPs will

obtain information needed to determine eligibility from people who wish to apply for the program, but clients will not be considered official weatherization applicants until the CAP verifies eligibility and inspects the home. Related to this new application procedure is a recently implemented redetermination policy which requires an eligibility review of all pending clients every six months.

State role. As indicated earlier, different combinations of outreach activities are utilized by the CAPs. In an effort to ensure some continuity of access to information about the program across all sections of Connecticut, the Legislative Program Review and Investigations Committee recommends that the Department of Human Resources expand its public information effort for the Weatherization Assistance for Low Income Persons Program. Specifically, DHR should:

- 1) have separate radio or television public service announcements, focusing on the various program target groups (i.e., elderly, handicapped, low income in general), prepared and distributed;
- 2) work with real estate management and other groups to inform landlords about the benefits they can receive from the weatherization program (i.e., structural improvements and reduced energy consumption in their buildings);
- 3) work with the public utility companies and encourage them to provide information about the weatherization program to their customers; and
- 4) ensure that systematically, across the state, the CAPs use community, church and civic groups and contact landlords to get information about the weatherization program out to eligible clients.

Enforcing Landlord-Tenant Agreements

As explained earlier, both home owners and renters are eligible to participate in the weatherization program. However, as a condition of eligibility, the latter must also get their landlord to agree to the requirements of the program with respect to rent increases and evictions.

In conversations with staff and during testimony at the LPR&IC public hearing, several CAPs and DHR indicated that landlords frequently are reluctant to enter into agreements which would allow the weatherization of the rental units of their eligible tenants. Definitive evidence was not available to explain why this situation exists, but it has been suggested that some landlords are concerned that housing and health code violations may be discovered in their buildings; that they may lose full control over the units weatherized temporarily; or that in cases where the heat is included in the rent and they are required to reduce the rent charged, that they may lose expected revenue for one year.

While some landlords refuse to participate in the program, others encourage their tenants to participate in the program. At least four percent of the CAP clients interviewed by LPR&IC staff indicated that they first heard about the weatherization program from their landlords.

Stronger enforcement of agreements. According to DHR testimony at the LPR&IC public hearing, no specific complaints have been received about cases where a landlord raised the rent of a tenant subsequent to the completion of the weatherization work. There have been some instances where the rent was increased, but in these cases either fuel costs had increased or the property had been revalued.

No specific remedies or sanctions exist to compel compliance with the landlord agreement. The regulation merely says neither rent increases nor evictions shall be permitted for one year. In order to ensure that weatherization rental requirements are enforced, the Legislative Program Review and Investigations Committee recommends that DHR establish a specific complaint mechanism to handle complaints about violations of the landlord agreement. The mechanism should provide for adequate notice and a fair hearing for both the tenant and the landlord. Penalties for violations of the agreement should be established.

Supplementing Weatherization Services: Providing Energy Conservation Information

The findings and statement of purposes of the National Energy Conservation Policy Act cited the need for reducing the growth in demand for energy in the United States. In addition to having structural improvements made on their homes under the DOE weatherization program, there are many other energy-conserving actions clients can take to reduce their level of

energy consumption. Included among these actions are many commonsense measures easily performed by individuals and families, including things as simple as making sure all lights not in use are turned off. These activities would seem to be inexpensive supplements to the allowable weatherization work, but in order to take these actions, people must know about them.

Types of available information. Currently, energy conservation information is available in both general and specific forms. A number of general energy pamphlets, including "Tips for Energy Savers" and "Energy Help for Renters," have been developed by federal and state agencies. Other pamphlets and fact sheets exist on topics as diverse as oil fired furnaces, passive solar heating, window coverings and energy from the wind. Some of this material is available in Spanish as well as English.

In addition to written material, the state energy agency has a toll free hot line telephone number which people can call from anywhere in the state to obtain answers to their energy questions. The University of Connecticut Cooperative Extension Service (CES) also has seven energy agents located in five offices around the state. These agents are available to answer telephone inquiries within their regions; they also answer written inquiries, speak to groups and develop temporary exhibits on various energy topics. These agents are funded by a grant from the federal government.

Another source of energy conservation information for weatherization clients is the work crews and building analysts employed by the CAPs. However, these individuals have varying degrees of familiarity with energy conservation techniques other than the ones they utilize in their jobs and they do not always have direct contact with the client whose home is being weatherized.

Current availability of information. The provision of energy conservation information is a specific function of state groups such as the Energy Division of the Office of Policy and Management and the Cooperative Extension Service. CAPs are not mandated to provide such information but some have made this task a priority. According to the LPR&IC CAP client survey, less than one-quarter of the 76 respondents indicated they received energy conservation ideas during the period when their homes were weatherized. Nine percent of the respondents did not know whether such information was provided. At least one person in five of the six CAPs where clients were surveyed

indicated they had received conservation information. Of the eight CAPs whose staff responded to an LPR&IC staff survey question about the provision of energy conservation suggestions, all reported providing such information to some or most of their weatherization clients.

Some consistency in the availability and accessibility of energy conservation information should exist between the CAPs. Accordingly, the Legislative Program Review and Investigations Committee recommends that every CAP provide energy conservation information directly to all clients who apply to the weatherization program at the time an application is submitted. The information to be provided should include the telephone numbers of energy information hot lines and general energy conservation pamphlets listing low cost/no cost energy conservation activities. The committee believes that written material should be available in multi-lingual versions depending on the clientele of the particular CAP.

The committee encourages the utilization of all weatherization personnel in the provision of energy conservation information whenever possible given language barriers and time constraints. A discussion with the building analyst while he/she is assessing the condition of the home or monitoring the work prepared may enable the client to receive information more specific to that housing unit. Likewise, discussions with the work crew actually weatherizing the home may help the client connect additional energy conservation ideas with the work being done on the home.

Increasing Coordination of Energy Programs for Low Income Persons

One of the many benefits of weatherizing low income homes is a reduction in future needs for expensive fuel and utility subsidies. Last year, approximately 80,000 households in Connecticut received nearly \$38 million in federal and state aid for paying energy bills. Cutbacks in federal assistance programs and generally higher energy prices are expected to require greater state expenditures for energy assistance in the current fiscal year. The Legislative Program Review and Investigations Committee believes that the state's financial burden could be eased by promoting stronger coordination of the weatherization and energy assistance programs.

Eligibility standards of weatherization and most energy assistance programs are similar if not identical, and the client populations of each type of assistance overlap. Of the 76 weatherization clients interviewed by LPR&IC staff, almost 57

percent reported that they had received assistance in paying their fuel bills, primarily through programs administered by CAP agencies (e.g., federally or state funded "crisis intervention" payments). According to estimates from the weatherization coordinators who returned the CAP staff survey, eight out of ten of the weatherization clients in three agencies and 25 percent to 55 percent of the clients in four agencies received crisis intervention funding. In these seven CAP agencies, the proportion of weatherization clients who received other types of energy assistance last year ranged from one to 20 percent.

In several of the CAP agencies, both the weatherization and the fuel assistance programs are under the direction of the same individual. This policy may enhance internal coordination of the programs. Likewise, in some agencies, the intake workers who assist clients with the application process for weatherization and/or fuel assistance routinely refer clients to the other program. From these examples, it appears that better coordination between the two programs could be accomplished in all CAPs with little additional work or resources. The LPR&IC recommends that procedures be established state-wide to ensure that applicants for all energy assistance programs are informed of the weatherization program and, if potentially eligible, are encouraged to apply.

The mechanism for developing coordinated administration (including cross referral of clients) of all energy, utility and weatherization assistance programs already exists. OPM is statutorily responsible for developing a program to coordinate energy utility and weatherization assistance programs in consultation with the agencies directly responsible for implementing those programs.³⁰ OPM is also granted authority to review adopted or proposed agency regulations for these programs and, therefore, has the ability to oversee implementation of the procedures recommended above.

In addition, legislation enacted during the October 1979 Special Session (P.A. 79-5) makes some coordination mandatory by requiring that eligible households agree to apply for weatherization assistance in order to receive state funded energy assistance. A similar policy for federal energy

³⁰ Under P.A. 79-6, passed during the October 1979 Special Session, OPM works with DHR, DIM and the Division of Public Utility Control (DPUC).

assistance programs is currently being considered by Congress. Energy assistance is only a short-term solution to the energy problems of the poor and the LPR&IC feels that participation (or at least applying to participate) in the weatherization program is not an unreasonable condition of eligibility for such assistance. Therefore, the committee recommends that the General Assembly take action to insure that a policy which makes the receipt of energy assistance contingent upon agreement to apply for weatherization assistance is incorporated in all state funded energy assistance programs.

In the past, DHR and the CAPs have been opposed somewhat to mandatory weatherization applications since demand for weatherization assistance has far exceeded production ability and back logs of applications remain a concern in many agencies. While it is true that even at peak production (estimated at 3-4,000 homes weatherized per year with current funding levels), the program can serve only a fraction of the 95,000 households annually expected to receive energy assistance, the committee maintains its position. If CAP agencies inform applicants at the outset when they can expect to have their homes weatherized, frustration at being placed on a waiting list can be reduced. The DOE weatherization program's new provision for "low cost/no cost" services also should help CAPs to respond to more clients, particularly those on waiting lists, with at least interim weatherization measures.

Coordinating Housing Rehabilitation and Weatherization Efforts

According to DHR, "The disrepair of otherwise eligible housing in the state has made weatherization efforts difficult and even impossible." (State Weatherization Plan July-Dec. '80). Examples of such disrepair include homes with missing walls or windows, rotting sills, leaking roofs and faulty heating devices. Under the DOE weatherization program, incidental repairs of not more than \$100 per unit (a new \$150 limit is under consideration by DOE) may be made on homes eligible for weatherization. Included in the incidental repairs category are materials or services not otherwise authorized for purchase under the program (for example, the replacement of leaky pipes or unsafe wiring which prevent proper installation of authorized weatherization materials). Payment for other types of repairs which reduce infiltration and involve the use of authorized materials (for example, glass to glaze a broken window or wood to patch a hole in the floor) are treated as part of the total weatherization cost and included in the per unit maximum, -- \$550 for materials and \$660 for program support for the July to December 1980 program period.

Rehabilitation research lacking. Reliable estimates of how many of the approximately 56,900 dwelling units eligible for weatherization assistance require repairs in excess of the DOE limit or major rehabilitation are not available. According to a report prepared in 1979 by the New England CAP director's association, 90 percent of all homes weatherized in the region need significant repairs in addition to weatherization. In a recent NERCOM grant application, DHR included data (compiled by the state of Maine) which indicated that in 1979, 38 percent of the homes of Connecticut weatherization applicants needed substantial repairs before weatherization work could begin.

The last comprehensive statewide survey of rehabilitation needs of Connecticut's housing stock was conducted about 20 years ago. While the results of a more recent (1978) OPM - Energy Division survey confirmed that low income homes are more likely to be energy inefficient, they do not provide data useful for determining rehabilitation needs. Some limited information on the number of dwelling units found to be ineligible for weatherization because extensive repairs or rehabilitation are needed, will be collected monthly by DHR through its new weatherization application procedure and forms, instituted in May 1980. For homes not occupied by weatherization applicants, the energy audits conducted under CONN SAVE, a part of the state's residential energy conservation service (RCS) program,³¹ may also provide some indication of general housing stock conditions. However, neither source will supply data necessary for planning or implementing a rehabilitation program to upgrade the energy efficiency of Connecticut's housing stock.

DHR officials, during interviews with committee staff, suggested two approaches for developing the necessary rehabilitation information. One, which would require substantial

³¹ Part I of Title II of the 1978 National Energy Conservation Policy Act mandates each state to plan and implement a residential conservation services program. The RCS legislation also requires utility companies, under the direction of a designated state agency, to provide their customers with home energy audits and related services including assistance in arranging financing for conservation improvements. Connecticut's home energy audit program, CONN SAVE, is supervised by the Energy Division of OPM.

funding, is to authorize the state's housing department to undertake a statewide survey of housing stock to determine rehabilitation needs. A less costly possibility is to require that the CONN SAVE energy audit process include an analysis of rehabilitation needs. Since greater efforts are needed to gather data concerning substandard, energy inefficient housing that exists in the state, the LPR&IC recommends that DHR work with the Energy Division of the Office of Policy and Management (OPM) to insure that data will be collected concerning the rehabilitation needs of homes audited by the CONN SAVE program.

DHR efforts to address the repairs rehabilitation problem. The New England Regional Commission (NERCOM) will be making funds available to the New England states for additional, ancillary weatherization personnel. DHR plans to use Connecticut's share of funds to supply the CAPs with a new type of position--a rehabilitation technician (rehab tech). The rehab techs will develop the additional resources needed to repair or rehabilitate homes otherwise ineligible for weatherization. For example, the rehab tech will: identify programs available to specific clients, such as home improvement rehabilitation loans from the Farmers Home Administration; help clients arrange for loans or other aid; and provide other assistance needed to insure that the rehabilitation work is completed. DHR is now waiting to hear whether NERCOM will approve Connecticut's grant request for about \$250,000 for a 12 month rehab tech demonstration project. The LPR&IC supports the Department of Human Resources' plan to use NERCOM funds to finance the Rehabilitation Technician Demonstration Project. If NERCOM funding for this purpose is not approved, LPR&IC recommends that DHR investigate alternative state and federal funding sources.

More coordination needed. In the committee's opinion, the rehab tech project described above is a good example of the type of coordination among programs that is needed to achieve the state's energy conservation goals. However, the NERCOM rehab tech project will serve only weatherization applicants, primarily homeowners, who comprise a small portion of the population living in substandard, energy inefficient housing. Additionally, the coordination of other energy related programs inadequately emphasizes the role that rehabilitation must play in the state's residential energy conservation policy. A broader, more systematic approach will be necessary to identify needs and set priorities for rehabilitation efforts. Information about rehabilitation resources, such as federal, state and nongovernment loans, grants and other financial assistance, should be centralized to insure that it is widely

distributed. In particular, the information should be provided to groups with special needs, including the poor and near poor, the elderly, the handicapped and non-English speaking people. Most importantly, this systematic approach should be used to integrate the wide variety of resources available to meet the different needs of individuals and the state's residential energy conservation goals.

The LPR&IC believes that the shortcomings of existing coordination efforts with regard to a comprehensive approach for energy conservation housing rehabilitation must be corrected. Two agencies with major roles in weatherization and housing rehabilitation, DHR and the Housing Department, are working together already on projects to weatherize public housing. These agencies are coordinating a program in which the CAPs will analyze moderate income rental units within their service districts and be paid by the Housing Department to install weatherization materials (purchased by the Housing Department). The LPR&IC recommends that DHR and the Housing Department continue to coordinate their respective weatherization activities and expand these joint efforts to include housing rehabilitation programs.

In addition, the committee recommends that the Office of Policy and Management, as the state's lead agency for energy matters, take all steps necessary to make energy conservation rehabilitation a priority. At a minimum, these steps should include centrally collecting information on rehabilitation resources; overseeing joint planning and cross-reference of clients by the many agencies serving residents of substandard housing; and arranging regular meetings of the agencies and organizations directly involved with substandard housing issues to exchange information and coordinate program administration.

APPENDICES

APPENDIX I

GLOSSARY

A - 95 process - a process for evaluating, reviewing and coordinating all federal and federally assisted programs and projects. States must establish it in accordance with the U.S. Office of Management and Budget circular A-95 in order to receive federal funds.

Bureau of Program Planning and Development (BPPD) - one of three major bureaus within the Connecticut Department of Human Resources. The PPD bureau director serves as the department's weatherization project director.

building analyst - the position or employee within a local weatherization agency responsible for estimating weatherization work for each eligible home.

community action program agency (CAP) - private, non-profit corporations or public agencies established pursuant to the U.S. Economic Opportunity Act of 1964. By federal law, CAPs are the preferred local agencies (subgrantees) for operating the U.S. DOE weatherization assistance program. (See local weatherization agency.)

U.S. Community Services Administration (CSA) - the federal "antipoverty" agency responsible for a wide variety of programs which serve the poor and near poor. CSA administered a low income weatherization program which operated from about 1976 to 1979.

completed unit - a weatherized dwelling unit that also has been inspected by the local agency and for which all required paperwork has been completed.

CETA - the U.S. Comprehensive Employment and Training Act of 1973 (P.L. 93-203). Federally funded CETA programs are intended to provide job training and employment opportunities for the economically disadvantaged, unemployed and underemployed and to assure that training and other manpower services lead to maximum employment.

Connecticut Association for Community Action (CAFCA) - a state-wide coordinating body composed of the executive directors of the 14 CAP agencies in Connecticut.

CONN SAVE - the home energy audit program in Connecticut which utility companies are mandated to provide under the RCS legislation. (See Residential Conservation Services Program.)

Department of Administrative Services (DAS) - the Connecticut state agency which handles personnel, public works, purchasing, information systems and data processing matters. The DAS Personnel Division is responsible for recruitment, selection, appointment, compensation, discipline and separation of state employees.

U.S. Department of Energy (DOE) - the federal agency with responsibility for the weatherization assistance program.

DOE regional offices - channel federal grants to and oversee the operations of state weatherization agencies in their respective regions. The DOE Region I office in Boston is responsible for programs in Connecticut and the five other New England states.

Department of Human Resources (DHR) - Connecticut's state weatherization agency (grantee) for the DOE program.

Department of Income Maintenance (DIM) - the state agency responsible for administering state and federal income assistance programs such as Aid to Families with Dependent Children (AFDC), Supplemental Security Income (SSI), Food Stamps and Medicaid.

dwelling unit - a house including a stationary mobile home, an apartment, a group of rooms, or a single room occupied as separate living quarters.

elderly person - any person sixty (60) years of age or older.

energy agents - provide information and educational assistance to individuals and families about a variety of energy conservation concerns. They are employed by the University of Connecticut Cooperative Extension Service (CES) under a joint outreach effort of the State of Connecticut and the university using federal grant funds.

energy assistance - financial aid to low income persons to pay for residential energy costs, provided through state or federal programs.

Farmers Home Administration (FmHa) - part of the U.S. Department of Agriculture, FmHa provides several types of low interest loans to individuals in rural areas for buying, building or repairing homes, including financing for weatherization purposes.

Federal Energy Administration (FEA) - predecessor agency of the U.S. Department of Energy.

grantee - the state agency designated (by the governor) to receive and administer U.S. DOE weatherization assistance program funds.

handicapped person - one who meets certain federal statutory definitions of handicapped or disabled.

HUD - the U.S. Department of Housing and Urban Development.

insulation (thermal) - a material or assemblage of materials used primarily to provide resistance to heat flow.

infiltration - air leaks and similar sources of heat loss in a dwelling unit (general heat waste).

local weatherization agency - an agency designated by the state weatherization agency to operate the U.S. DOE weatherization program at the local level. (See subgrantee and CAP.) The 14 Connecticut local weatherization agencies (acronyms and full names) are:

ABCD - Action for Bridgeport Community Development, Inc.

BCO - Bristol Community Organization, Inc.

CACD - The Community Action Committee of Danbury, Inc.

CAGM - Community Action for Greater Middletown, Inc.

CRT - The Community Renewal Team of Greater Hartford, Inc.

CTE - Committee on Training and Development, Inc.

HRA of NB - Human Resources Agency of New Britain, Inc.

HRA of NH - City of New Haven Human Resources Administration - delegated to the Housing Rehabilitation Institute of Connecticut
(HRI)

MCAA - Meriden Community Action Agency

NEON - Norwalk Economic Opportunity Now, Inc.

NOW - New Opportunities for Waterbury, Inc.

TEAM - Training Education and Manpower, Inc.

TVCCA - Thames Valley Council for Community Action, Inc.

WACAP - Windham Area Community Action Program, Inc.

low income person (family) - for the U.S. DOE weatherization program, a person (family) with an income at or below 125% of the OMB poverty level or an individual who has received Title IV (AFDC) and/or Title XVI (SSI) cash assistance payments during the preceding 12 month period.

Low Income Planning Agency, Inc. (LIPA) - a non-profit state-wide advocacy organization for the poor in Connecticut.

multifamily - a structure containing more than one dwelling unit.

Native American - a person who is a member of a bona fide American Indian tribe.

NECPA - the National Energy Conservation Policy Act of 1978 (P.L. 95-619).

New England Regional Commission (NERCOM) - a policy coordinating body comprised of the six New England governors. NERCOM channels federal funds for programs which promote the economic well-being of the region's residents and from about 1976 to 1979 provided grants for low income weatherization projects.

Office of Energy Assistance (OEA) - a unit of the Bureau of Program Planning and Development in the Connecticut Department of Human Resources responsible for the day-to-day operation of the weatherization assistance program at the state level.

OMB poverty level - income levels relative to family size established by the U.S. Office of Management and Budget (OMB) and used as eligibility criteria for many federal assistance programs.

Office of Policy and Management (OPM) - the state agency which assists the governor in planning, coordinating and managing the state's programs, policies and budget. Its Energy Division is responsible for planning and providing for the energy needs of the state in conjunction with the U.S. Department of Energy.

priority list - cost effective weatherization measures for standard building types that are developed by each state based on the Retro-Tech approach.

program support - the U.S. DOE weatherization funding category for local agency operating costs including personnel, transportation, storage and maintenance expenses and the purchase or lease of tools, equipment and vehicles.

public housing - housing that has been constructed with public funds.

R value - an indicator of insulation effectiveness. R stands for resistance and indicates the capacity of insulation to resist heat flow. The higher the R value, the better the insulation.

rehabilitation technician (Rehab-Tech)- an individual who will be employed by the local weatherization agency with funding from a New England Regional Commission grant and will be responsible for developing resources needed to repair and/or rehabilitate homes ineligible for weatherization assistance because of significant repair needs.

repair materials - items necessary for the effective performance or preservation of weatherization materials.

Residential Conservation Services Program (RCS) - under the National Energy Conservation Policy Act of 1978, each state must plan and implement a residential energy conservation services program. (See CONN SAVE.)

Retro-Tech - the procedure and form developed by DOE which local weatherization agencies must use to calculate the cost effectiveness of weatherization measures and estimate the work needed by a particular home. (See priority list.)

single family - a structure containing only one dwelling unit.

subgrantee - a local agency (designated by the state) to operate the DOE weatherization program. (See local weatherization agency and CAP.)

Title II (anti-recessionary) grants - funding for stimulating employment provided to the states by the U.S. Department of the Treasury, Office of Revenue Sharing, pursuant to Title II of the National Public Works Employment Act of 1976.

Title XX - under the Social Security Act, establishes a federal grant program which assists states in providing a wide range of public social services to meet specified goals.

training and technical assistance (T&TA) - a responsibility of the state weatherization agencies with funding provided through (separate) DOE T&TA grants.

weatherization coordinator (energy coordinator) - the position or employee within local weatherization agencies responsible for overall supervision of the program.

weatherization materials - items intended primarily to improve the thermal efficiency of a dwelling unit (such as insulation, weather stripping and storm windows) which are contained on the DOE approved materials list and meet federal standards.



LEGISLATIVE PROGRAM REVIEW
AND INVESTIGATIONS COMMITTEE

LEGISLATIVE OFFICE BUILDING, 18 TRINITY ST., HARTFORD, CT 06115 (203) 566-8480

June 3, 1980

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REPRESENTATIVE
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Co-chairman

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RICHARD E. VARIS
ELINOR F. WILBER
MURIEL YACAVONE

MICHAEL L. NAUER
Director

Dear Department of Human Resources Staff Member:

As you know, the Legislative Program Review and Investigations Committee (LPR&IC) is evaluating Connecticut's Weatherization Assistance for Low Income Households Program. Our review is primarily concerned with the efficiency and effectiveness of program implementation at the state and local levels.

The enclosed questionnaire is being sent to DHR Energy Division staff persons involved in the weatherization program. We are interested in obtaining information about DHR's management and monitoring role, the relationship between DHR and local weatherization agencies and how DHR and the local agencies implement certain weatherization functions.

We would appreciate you taking the time to fill out the questionnaire and return it to us in the enclosed, postage-paid envelope by June 18, 1980. Your response is very important because it will help us to understand how the program operates and identify how the program might be improved.

We ask that you do not include your name on the survey, however, we do request that you write in the title of your position and provide us with some background information (see questionnaire cover page). This is to insure that we receive input from a variety of DHR weatherization staff. The cover sheet information will be coded as grouped data to assure anonymity.

Thank you for your time and cooperation. If you have any questions, please contact either Elaine Anderson or Jill Jensen at the Committee office (566-8480).

Sincerely,

A handwritten signature in cursive script, appearing to read "Michael L. Nauer".

Michael L. Nauer
Director

mlg

Enc.

LPR&IC Weatherization Study - DHR Agency Personnel Survey

N

* 1. Information about the weatherization program is distributed and shared by the agencies involved through a variety of ways. During the past year, about how often have each of the activities listed below occurred? (Please answer each item.)

	<u>Daily</u>	<u>Weekly</u>	<u>Monthly</u>	<u>Quarterly</u>	<u>Rarely If Ever</u>
a. DHR received written memos from U.S. DOE.....					
b. Telephone conversations between U.S. DOE and DHR.....					
c. DHR staff attended meetings sponsored by CAFCA.....					
d. DHR staff attended training sessions or conferences sponsored by U.S. DOE..					
e. DHR sent written memos to CAP agencies					
f. Telephone conversations between CAP and DHR staff.....					
g. DHR held formal training sessions for CAP agencies' staff.....					
h. DHR attended meetings sponsored by LIPA.....					
i. DHR formal training sessions held for a single CAP agency's staff.....					
j. Internal agency (DHR) staff meetings..					
k. Other (please specify)_____					

2. For each of the DHR monitoring activities listed below, please circle approximately how often each has occurred during the last year. (Please answer each item.)

	<u>Daily</u>	<u>Weekly</u>	<u>Monthly</u>	<u>Quar- terly</u>	<u>Annu- ally</u>	<u>Rarely If Ever</u>
10 a. Field visits (on-site inspections of completed units).....	10%	60%	30%	0%	0%	0%
* b. Periodic inspections of account- ing procedures and accounts.....	17%	0%	67%	17%	0%	0%
* c. Independent financial audits..	20%	0%	0%	0%	80%	0%
10 d. Reviews of administrative proce- dures (e.g., files, records, infor- mation systems, etc.).....	10%	50%	40%	0%	0%	0%
8 e. Reviews of client eligibility....	13%	63%	25%	0%	0%	0%
10 f. Submission of written reports on units completed from CAP agencies.....	10%	30%	50%	10%	0%	0%
11 g. Submission of written reports on weatherization expenditures from CAP agencies.....	0%	9%	18%	64%	0%	9%
7 h. Provide feedback on the results of monitoring activities to CAP agencies.....	14%	57%	29%	0%	0%	0%

N = Number of respondents per item
* Insufficient number of responses

3. Please circle the adequacy of the training and technical assistance which DHR provided to the CAP agencies in the following areas during the past year. (Please answer each item.)

	<u>Adequate</u>	<u>Inadequate</u>	<u>Did Not Provide</u>
9 a. Cost accounting procedures.....	78%	11%	11%
9 b. Inventory control mechanisms.....	100%	0%	0%
11 c. Preparing forms and reports.....	100%	0%	0%
11 d. Doing Retrotech estimates.....	100%	0%	0%
10 e. Weatherization work (e.g., how to install materials, using proper materials, etc.)...	100%	0%	0%
11 f. Interpreting program (DOE) regulations and guidelines.....	100%	0%	0%
g. Other (please specify)_____			

3a. Are there any areas in which DHR would like to provide new or additional assistance? Please circle: YES or NO. If yes, please identify _____

Yes - 67%; No - 33%

4. Please circle the extent to which you believe DHR has helped the CAP agencies in each of the following areas of the weatherization program. (Please answer each item.)

	<u>Very Helpful</u>	<u>Helpful</u>	<u>Not Very Helpful</u>	<u>Not Helpful At All</u>	<u>Not Appropriate For DHR To Be Involved</u>
10 a. Securing an adequate labor crew.....	60%	20%	0%	0%	20%
9 b. Securing adequate supplies, equipment and materials.....	56%	22%	0%	0%	22%
12 c. Interpreting DOE regulations.....	100%	0%	0%	0%	0%
12 d. Clarifying reporting requirements.....	100%	0%	0%	0%	0%
11 e. Resolving funding delays or cash flow problems.....	64%	36%	0%	0%	0%
11 f. Keeping the CAP agencies up to date on program changes at the federal level.....	82%	18%	0%	0%	0%
10 g. Communicating CAP point of view to DOE.....	80%	10%	0%	0%	10%
11 h. Resolving problems in weatherizing rental units.....	73%	27%	0%	0%	0%
i. Other (please specify)_____	0%	0%	0%	0%	0%

N

5. Please rank the following goals of the weatherization program in order of importance (1 = Most Important to 5 = Least Important).

- 10 1=20%, 2=60%, 3=20% Increase energy conservation
- 9 1=11%, 2=22%, 3=44%, 4=22% Make low income homes more comfortable and warmer
- 10 1=70%, 2=10%, 3=20% Help reduce weatherization clients' fuel costs by making their homes more energy efficient
- 9 2=11%, 3=11%, 4=78% Provide employment and training for unemployed or under-employed persons
- Other (please specify)

6. Please rate how you perceive DHR's relationship as it pertains to weatherization activities, with each of the following groups or agencies. (Please answer each item.)

		<u>Excellent</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>	<u>No Relation-ship</u>
13 a.	CAP agencies.....	8%	85%	8%	0%	0%
8 b.	Connecticut Association for Community Action (CAFCA).....	13%	75%	13%	0%	0%
* c.	U.S. DOE Washington.....	0%	0%	0%	0%	0%
12 d.	U.S. DOE Regional Office.....	50%	50%	0%	0%	0%
8 e.	Office of Policy & Management (OPM).....	25%	50%	25%	0%	0%
10 f.	Low Income Planning Agency (LIPA)...	50%	50%	0%	0%	0%
* g.	Connecticut Labor Department.....	0%	0%	0%	0%	0%
* h.	CETA prime sponsors.....	0%	0%	0%	0%	0%
* i.	Local governmental agencies.....	0%	0%	0%	0%	0%
* j.	Department of Income Maintenance (DIM).....	0%	0%	0%	0%	0%
k.	Other (please specify) _____	0%	0%	0%	0%	0%

7. How much of a problem have the following circumstances been to DHR's ability to administer the weatherization program during the last year? (Please answer each item.)

		<u>A Major Problem</u>	<u>A Minor Problem</u>	<u>Was Problem; Isn't Now</u>	<u>Never A Problem</u>
9 a.	Insufficient or untimely information from DOE.....	0%	11%	11%	78%
9 b.	DHR weatherization office understaffed..	22%	0%	67%	11%
8 c.	DHR weatherization staff inexperienced..	0%	38%	38%	25%
10 d.	Regulations cumbersome or unclear.....	20%	10%	30%	40%
9 e.	Frequent changes in weatherization regulations, guidelines and required forms.	22%	11%	44%	22%
9 f.	DHR's role in weatherization unclear....	0%	0%	11%	89%
7 g.	CAP agency staff inexperienced.....	14%	57%	0%	0%
10 h.	CAP agency staff late in providing information.....	80%	20%	0%	0%
7 i.	Changing federal administering agency...	0%	29%	43%	29%
j.	Other (Please specify) _____	0%	0%	0%	0%

N

8. Please rate DHR's performance, at the present time, for each of the following types of weatherization program activities. (Please answer each item.)

		<u>Excellent</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>	<u>Agency Not Involved</u>
9	a. Preparing an acceptable state plan.....	89%	11%	0%	0%	0%
12	b. Monitoring CAP agencies' administrative procedures.....	33%	67%		0%	0%
11	c. Field inspections of completed units (weatherization work).....	27%	55%	18%	0%	0%
11	d. Distributing timely information to CAP agencies (interpretations, guidelines, changes in requirements or regulations, etc.).....	55%	45%		0%	0%
11	e. Distributing weatherization funds to CAP agencies on timely basis.....	27%	73%		0%	0%
12	f. Providing technical assistance to CAP agencies.....	58%	42%		0%	0%
10	g. Insuring client eligibility.....	20%	50%	20%	0%	0%
11	h. Insuring that elderly and handicapped clients receive priority.....	27%	55%		9%	9%
13	i. Maintaining accurate and complete records	46%	54%		0%	0%
12	j. Training CAP staff.....	33%	58%	8%	0%	0%
10	k. Meeting DOE reporting requirements.....	30%	60%	10%	0%	0%
12	l. Complying with program regulations.....	83%	17%		0%	0%
10	m. Followup (determine results of completed weatherization work).....	20%	70%	10%	0%	0%

9. In general, what is your role in the process of making decisions for each of the following weatherization activities? Please circle your role in each case, using the following key:

- 4 = Major responsibility for final decision (Major)
- 3 = Directly provide advice or information to person(s) responsible for final decision (Advice)
- 2 = Indirectly provide information needed for final decisions (Indirect)
- 1 = No role in decision making process (No role)

		<u>Major</u>	<u>Advice</u>	<u>Indirect</u>	<u>No Role</u>
10	a. Developing the state budget for the weatherization program.....	20%	10%	30%	40%
10	b. Developing the state weatherization grant request.....	20%	10%	30%	40%
11	c. Setting state goals for weatherization (i.e., the number of completed units).....	9%	9%	45%	36%
9	d. Setting priorities for client eligibility....	11%	0%	11%	78%
11	e. Developing the state weatherization plan....	9%	18%	27%	45%
11	f. Allocating weatherization funds to local agencies.....	9%	18%	45%	27%
10	g. Developing and providing training and technical assistance to local agencies.....	50%	0%	30%	20%
11	h. Evaluating local agencies' weatherization operations.....	18%	27%	45%	9%
	i. Other (please specify) _____	0%	0%	0%	0%

10. For each of the following statements, please circle whether you agree or disagree.

		<u>Strongly</u> <u>Agree</u>	<u>Agree</u>	<u>Disagree</u>	<u>Strongly</u> <u>Disagree</u>
12	a. My role and my responsibilities within DHR are clearly defined.....	25%	75%	0%	0%
11	b. The weatherization staff of DHR is generally able to respond to unexpected changes in work demands when they arise.....	36%	64%	0%	0%
11	c. The staff of DHR is restrained from identifying problems in the program to those outside the agency.....	18%	0%	64%	18%
12	d. Overall, the weatherization staff of DHR has a good understanding of the weatherization program, including the regulations and requirements.....	33%	67%	0%	0%
12	e. Decisions about the weatherization program are generally made by the appropriate person(s) in DHR.....	42%	50%	8%	0%
13	f. People in DHR generally share information that is needed to carry out the weatherization program.....	31%	69%	0%	0%

11. In general, how much of a problem have the following circumstances been to the CAP agencies' ability to meet their goals of completed units during the past year? (Please answer each item.)

		<u>A</u> <u>Major</u> <u>Problem</u>	<u>A</u> <u>Minor</u> <u>Problem</u>	<u>Was</u> <u>Problem;</u> <u>Isn't Now</u>	<u>Never A</u> <u>Problem</u>
7	a. Inadequate funding for materials and equipment.....	0%	0%	14%	86%
8	b. Inadequate funding for labor.....	38%	38%	13%	13%
*	c. Funding delays or funding uncertainty.....	0%	0%	0%	0%
7	d. Lack of CETA labor.....	71%	29%	0%	0%
7	e. CETA workers unreliable or untrainable.....	71%	29%	0%	0%
8	f. Difficulty in retaining skilled labor.....	63%	38%	0%	0%
*	g. Agency weatherization program understaffed....	0%	0%	0%	0%
*	h. Agency weatherization staff, other than crew workers, inexperienced.....	0%	0%	0%	0%
*	i. Insufficient or untimely information from DHR.	0%	0%	0%	0%
7	j. Insufficient or untimely information from DOE.	0%	29%	14%	57%
8	k. Regulations cumbersome or unclear.....	13%	25%	38%	25%
8	l. Unrealistic goal of completed units.....	13%	0%	0%	88%
*	m. Materials and supplies for weatherization work in short supply or unavailable	0%	0%	0%	0%
8	n. DHR weatherization staff inexperienced.....	0%	38%	13%	50%
8	o. Staff shortages at DHR.....	0%	13%	75%	13%
9	p. Frequent changes in weatherization regulations, guidelines and required forms.....	22%	33%	33%	11%
	q. Other (please specify) _____ ..	0%	0%	0%	0%

12. Do you agree or disagree with the following statements? (Please answer each item.)

		<u>Strongly</u> <u>Agree</u>	<u>Agree</u>	<u>Disagree</u>	<u>Strongly</u> <u>Disagree</u>
12	a. CAP agency performance should be judged on the basis of the quality of work done as well as the number of units weatherized.....	17%	50%	33%	0%
10	b. Goals of completed units should be set separately for publicly (state or local) owned housing and for privately owned housing.....	0%	30%	70%	0%
11	c. More emphasis should be placed on weatherizing public housing rather than privately owned units.....	0%	0%	100%	0%
9	d. More emphasis should be placed on weatherizing multi-family housing rather than single family units.....	0%	0%	100%	0%
11	e. CAP agency performance would be better evaluated by the amount of work done on each unit than the number of units completed.....	0%	0%	91%	9%

12a. What suggestions do you have for indicators (other than the number of units completed during a year) that could be used to evaluate a CAP agency's performance?

Nine specific answers.

13. Overall, how adequate is the direction and information you get from U.S. DOE concerning the weatherization program? (Please circle one item.)

1

67%	More than adequate
33%	Adequate
0%	Inadequate

13a. Please describe any specific areas in which you would like more direction or information from U.S. DOE concerning the weatherization program.

14. What percentage of your total time is spent fulfilling paperwork requirements for the weatherization program? (Please write in estimated %.)

DHR paperwork requirements _____ (estimated %)
 DOE paperwork requirements _____ (estimated %)

14a. Please identify which, if any, forms or reports related to the weatherization Program you consider duplicative, not useful or requested too frequently.

15. In addition to weatherizing the homes of clients, some CAP agencies provide general energy conservation information about how clients can save money on their fuel bills or use less energy. Do you have any suggestions about how conservation information can be provided to all or most weatherization clients by the CAP agencies or by other agencies or organizations? (Please describe.)

Nine specific answers.

16. Are there any changes you would like to see in the weatherization program's provisions for labor or do you have any suggestions about how workers for the weatherization crews might be obtained and turnover reduced? (Please explain.)

Eight specific answers.

- 12 17. Have you received any information concerning the February 27, 1980 proposed weatherization regulations?

Please circle: YES 92% or NO 8%

IF YES, what impact do you think the amended regulations will have on your agency's ability to implement the weatherization program? (For example, please note any specific ways the amendments will make it easier or harder to implement the program.)

18. Are there any other suggestions or comments you would like to make about the weatherization program?



LEGISLATIVE PROGRAM REVIEW
AND INVESTIGATIONS COMMITTEE

LEGISLATIVE OFFICE BUILDING, 18 TRINITY ST., HARTFORD, CT 06115 (203) 566-8480

May 27, 1980

SENATOR
WILLIAM E. CURRY, JR.
Co-chairman

REPRESENTATIVE
ASTRID T. HANZALEK
Co-chairman

SENATE MEMBERS

WAYNE A. BAKER
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DOROTHY S. MCCLUSKEY
RICHARD E. VARIS
ELINOR F. WILBER
MURIEL YACAVONE

MICHAEL L. NAUER
Director

Dear CAP Agency Staff Member:

As you may know, the Legislative Program Review and Investigations Committee (LPR&IC) is evaluating Connecticut's Weatherization Assistance for Low Income Households Program. Our review is primarily concerned with the efficiency and effectiveness of program implementation at the state and local levels.

The enclosed questionnaire is being sent to staff persons in each of the local community agencies involved in the weatherization program. We are interested in obtaining information about how local agencies carry out certain weatherization functions, the relationship between DHR and local weatherization agencies and DHR's management and monitoring role.

We would appreciate you taking the time to fill out the questionnaire and return it to us in the enclosed, postage-paid envelope by June 10, 1980. Your response is very important because it will help us to understand how the program operates and identify how the program might be improved.

We ask that you do not include your name on the survey, however, we do request that you write in the title of your position and provide us with some background information (see questionnaire cover page). This is to insure that we receive input from several persons in each agency. The cover sheet information will be coded as grouped data to assure anonymity.

Thank you for your time and cooperation. If you have any questions, please contact either Elaine Anderson or Jill Jensen at the Committee office (566-8480).

Sincerely,

Michael L. Nauer
Director

mlg

Enc.

N

1. Please circle how often your agency uses the following sources to make people aware of the weatherization program. (Please answer each item.)

		<u>Frequently</u>	<u>Sometimes</u>	<u>Rarely</u>	<u>Never</u>
	a. Notices in newspapers.....	33%	42%	17%	8%
12	b. Announcements on radio or TV.....	17%	42%	33%	8%
12	c. Letters to potentially eligible persons.....	25%	42%	17%	17%
12	d. Personal visits or phone calls to potentially eligible persons.....	17%	58%	17%	8%
12	e. Notices or flyers in public buildings, community centers, senior citizen centers, etc.....	67%	17%	8%	8%
12	f. Requests that local governmental agencies notify possible clients.....	25%	42%	25%	8%
	g. Other (please specify) ..	0%	0%	0%	0%

12 2. In addition to weatherizing the homes of clients, some agencies provide general energy conservation information about how clients can save money on their fuel bills or use less energy. During the past year, how many weatherization clients from your agency have been provided with such conservation information? (Please circle one item.)

- 25% Every client is given conservation suggestions
- 50% Most clients are given conservation suggestions
- 25% Some clients are given conservation suggestions
- 0% Conservation suggestions are not given

3. In general, what is your role in the process of making decisions for each of the following weatherization activities? Please circle your role in each case, using the following key:

- 4 = Major responsibility for final decision (Major)
- 3 = Directly provide advice or information to person(s) responsible for final decision (Advice)
- 2 = Indirectly provide information needed for final decisions (Indirect)
- 1 = No role in decision making process (No role)

		<u>Major</u>	<u>Advice</u>	<u>Indirect</u>	<u>No role</u>
12	a. Developing the agency budget for the weatherization program.....	58%	33%	8%	0%
12	b. Developing the weatherization grant request.....	42%	33%	25%	0%
11	c. Setting goals for weatherization (i.e., the number of completed units).....	55%	18%	9%	18%
12	d. Setting priorities for client eligibility.....	50%	8%	17%	25%
12	e. Securing weatherization crew personnel.....	67%	17%	8%	8%
11	f. Securing supplies and equipment.....	73%	18%	0%	9%
12	g. Contributing to the development of the state weatherization plan.....	8%	50%	0%	42%
	h. Other (please specify) _____				

N = number of respondents per item

4. For each of following statements, please circle whether you agree or disagree.

		<u>Strongly</u> <u>Agree</u>	<u>Agree</u>	<u>Disagree</u>	<u>Strongly</u> <u>Disagree</u>
12	a. My role and my responsibilities in this agency are clearly defined.....	75%	8%	17%	0%
12	b. The weatherization staff of this agency is generally able to respond to unexpected changes in work demands when they arise.....	50%	50%	0%	0%
11	c. The staff of this agency is restrained from identifying problems in the program to those outside the agency.....	9%	18%	64%	9%
12	d. Overall, the weatherization staff of this agency has a good understanding of the weatherization program, including the regulations and requirements.....	58%	42%	0%	0%
12	e. Decisions about the weatherization program are generally made by the appropriate person(s) in my agency.....	58%	33%	8%	0%
12	f. People in my agency generally share information that is needed to carry out the weatherization program.....	67%	33%	0%	0%

5. Please rank the following goals of the weatherization program in order of importance (1 = Most Important to 5 = Least Important).

- 1=36%, 2=36%, 3=27% Increase energy conservation
- 1=18%, 2=27%, 3=36%, 4=18% Make low income homes more comfortable and warmer
- 1=36%, 2=27%, 3=18%, 4=9% Help reduce weatherization clients' fuel costs by making their homes more energy efficient
- 2=9%, 3=18%, 4=16%, 5=9% Provide employment and training for unemployed or underemployed persons
- Other (please specify) _____

6. Please rate your agency's relationship as it pertains to weatherization activities, with each of the following groups or agencies. (Please answer each item.)

		<u>Excellent</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>	<u>No Relation-</u> <u>ship</u>
12	a. Other CAP agencies.....	50%	50%	0%	0%	0%
12	b. Connecticut Association for Community Action (CAFCA).....	17%	25%	33%	25%	0%
12	c. Department of Human Resources (DHR).....	42%	17%	25%	17%	0%
12	d. Office of Policy & Management (OPM).....	8%	17%	0%	17%	58%
12	e. U.S. DOE Regional Office.....	17%	33%	17%	8%	25%
12	f. Low Income Planning Agency (LIPA).....	58%	25%	17%	0%	0%
12	g. CETA prime sponsors.....	8%	17%	33%	8%	33%
11	h. Your CAP agency's Board of Directors.....	73%	18%	0%	0%	9%
12	i. Local governmental agencies.....	50%	33%	17%	0%	0%
12	j. Other (please specify) _____	0%	0%	0%	0%	0%

N 7. Please rate your agency's performance, at the present time, for each of the following types of weatherization program activities. (Please answer each item.)

		<u>Excellent</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>	<u>Agency Not Involved</u>
12	a. Outreach efforts.....	80%	50%	33%	0%	8%
12	b. Insuring client eligibility.....	50%	50%	0%	0%	0%
12	c. Insuring that elderly and handicapped clients receive priority.....	58%	42%	0%	0%	0%
12	d. Preparing accurate work estimates (building analysis).....	25%	50%	25%	0%	0%
12	e. Adhering to inventory control procedures..	33%	17%	33%	8%	8%
12	f. Adhering to work quality standards.....	42%	42%	17%	0%	0%
12	g. Maintaining accurate and complete records for each job.....	58%	33%	8%	0%	0%
12	h. Utilizing an accounting system.....	58%	17%	0%	25%	0%
12	i. Field inspections of completed units.....	33%	33%	33%	0%	0%
12	j. Training of CETA workers.....	8%	17%	50%	8%	17%
12	k. Meeting DHR and DOE reporting requirements.....	58%	17%	25%	0%	0%
12	l. Complying with program regulations.....	58%	33%	8%	0%	0%
11	m. Followup (determine results of completed weatherization work).....	27%	36%	27%	9%	0%

8. During the past year, about how often has your agency received information about the weatherization program from each of the following sources? (Please answer each item.)

		<u>Daily</u>	<u>Weekly</u>	<u>Monthly</u>	<u>Quarterly</u>	<u>Rarely If Ever</u>
11	a. Written memos from DHR.....	9%	36%	36%	9%	9%
10	b. Telephone conversations with DHR staff.....	10%	80%	10%	0%	0%
12	c. Meetings sponsored by CAFCA.....	8%	0%	33%	25%	33%
12	d. Formal training sessions held with staff from other CAP agencies.....	0%	0%	25%	42%	33%
12	e. Meetings sponsored by LIPA.....	0%	0%	42%	25%	33%
12	f. Formal training sessions held for your agency's staff alone.....	0%	0%	33%	42%	25%
12	g. Telephone conversations with U.S. DOE staff.....	0%	0%	17%	17%	67%
12	h. Written memos from U.S. DOE.....	0%	0%	25%	17%	58%
10	i. Internal agency staff meetings.....	0%	45%	36%	0%	18%
	j. Other (please specify)_____					

N 9. Please circle the adequacy of the training and technical assistance which your agency received from DHR in the following areas during the past year. (Please answer each item.)

	<u>Adequate</u>	<u>Inadequate</u>	<u>Did Not Receive</u>
11 a. Cost accounting procedures.....	55%	9%	36%
11 b. Inventory control mechanisms.....	45%	27%	27%
11 c. Preparing forms and reports.....	73%	27%	0%
10 d. Doing Retrotech estimates.....	90%	10%	0%
12 e. Weatherization work (e.g., how to install materials, using proper materials, etc.).....	50%	25%	25%
11 f. Interpreting program (DOE) regulations and guidelines.....	55%	36%	9%
g. Other (please specify) _____	0%	0%	0%

11 9a. Are there any areas in which you would like to receive training and technical assistance? Please circle: YES or NO. If yes, please identify _____

Yes - 64%, No - 36%

10. For each of the DHR monitoring activities listed below, please circle how often each has occurred in your agency during the last year. (Please answer each item.)

	<u>Weekly</u>	<u>Monthly</u>	<u>Quarterly</u>	<u>Rarely If Ever</u>	<u>Yearly</u>
12 a. Field visits (on-site inspections of completed units).....	0%	25%	33%	33%	8%
11 b. Periodic inspections of accounting procedures and accounts.....	0%	0%	45%	55%	0%
10 c. Independent financial audits.....	0%	0%	10%	70%	20%
12 d. Reviews of administrative procedures (e.g., files, records, information systems, etc.).....	0%	0%	33%	67%	0%
12 e. Reviews of client eligibility....	8%	0%	33%	58%	0%
11 f. Submission of written reports on units completed.....	9%	55%	27%	9%	0%
11 g. Submission of written reports on weatherization expenditures...	0%	55%	27%	18%	0%
12 h. Feedback on the results of monitoring activities (provided to your agency).....	0%	25%	8%	58%	8%

N

11. Please circle the extent to which DHR has helped your agency in each of the following areas of the weatherization program. (Please answer each item.)

	<u>Very</u> <u>Helpful</u>	<u>Helpful</u>	<u>Not</u> <u>Very</u> <u>Helpful</u>	<u>Not</u> <u>Helpful</u> <u>At All</u>	<u>Not Appropriate</u> <u>For DHR To Be</u> <u>Involved</u>
12 a. Securing an adequate labor crew.....	17%	42%	8%	8%	25%
11 b. Securing adequate supplies, equipment and materials.....	36%	36%	18%	9%	0%
12 c. Interpreting DOE regulations.....	33%	25%	33%	8%	0%
12 d. Clarifying reporting requirements.....	33%	42%	17%	8%	0%
12 e. Resolving funding delays or cash flow problems.....	17%	25%	33%	25%	0%
12 f. Keeping your agency up to date on program changes at the federal level.....	25%	25%	42%	8%	0%
8 g. Communicating CAP point of view to DOE.....	25%	25%	25%	25%	0%
11 h. Resolving problems in weatherizing rental units.....	27%	45%	18%	9%	0%
i. Other (please specify)_____					

.....

12 12. Overall, how adequate is the direction and information you get from DHR concerning the weatherization program? (Please circle one item.)

- 17% More than adequate
- 42% Adequate
- 42% Inadequate

12a. Please describe any specific areas in which you would like more direction or information from DHR concerning the weatherization program.

Ten specific answers.

13. What percentage of your total time is spent fulfilling paperwork requirements for the weatherization program? (Please write in estimated %.)

- DHR paperwork requirements _____ (estimated %)
- DOE paperwork requirements _____ (estimated %)
- Own agency paperwork requirements _____ (estimated %)

14. Please identify which, if any, forms or reports related to the weatherization program you consider duplicative, not useful or requested too frequently.

15. How much of a problem have the following circumstances been to your agency's ability to meet its goal of completed units during the past year? (Please answer each item.)

	A Major Problem	A Minor Problem	Was Problem; Isn't Now	Never A Problem
12 a. Inadequate funding for materials and equipment.....	25%	8%	42%	25%
12 b. Inadequate funding for labor.....	33%	17%	33%	17%
12 c. Funding delays or funding uncertainty.....	58%	17%	25%	0%
11 d. Lack of CETA labor.....	27%	45%	9%	18%
12 e. CETA workers unreliable or untrainable....	58%	17%	17%	8%
12 f. Difficulty in retaining skilled labor.....	42%	25%	17%	17%
12 g. Agency weatherization program understaffed	8%	42%	25%	25%
11 h. Agency weatherization staff, other than crew workers, inexperienced.....	0%	18%	27%	55%
12 i. Insufficient or untimely information from DHR.....	50%	8%	33%	8%
12 j. Insufficient or untimely information from DOE.....	25%	42%	17%	17%
11 k. Regulations cumbersome or unclear.....	64%	18%	9%	9%
12 l. Unrealistic goal of completed units.....	8%	33%	17%	42%
12 m. Materials and supplies for weatherization work in short supply or unavailable.....	8%	17%	33%	42%
11 n. DHR weatherization staff inexperienced.....	27%	55%	9%	9%
10 o. Staff shortages at DHR.....	30%	60%	0%	10%
12 p. Frequent changes in weatherization regulations, guidelines and required forms.....	67%	25%	8%	0%
12 q. Other (please specify).....	0%	0%	0%	0%

16. Do you agree or disagree with the following statements? (Please answer each item.)

	Strongly Agree	Agree	Disagree	Strongly Disagree
12 a. Agency performance should be judged on the basis of the quality of work done as well as the number of units weatherized.....	92%	8%	0%	0%
12 b. Goals of completed units should be set separately for publicly (state or local) owned housing and for privately owned housing.....	33%	17%	33%	17%
12 c. More emphasis should be placed on weatherizing public housing rather than privately owned units.....	0%	0%	75%	25%
12 d. More emphasis should be placed on weatherizing multi-family housing rather than single family units.....	8%	17%	58%	17%
12 e. Agency performance would be better evaluated by the amount of work done on each unit than the number of units completed.....	58%	17%	25%	0%

17. What suggestions do you have for indicators (other than the number of units completed during a year) that could be used to evaluate an agency's performance?

Eight specific answers.

N

18. How often are each of the following types of labor currently used by your agency for weatherization work? (Please answer each item.)

		<u>Very Often</u>	<u>Occasionally</u>	<u>Seldom</u>	<u>Never</u>
12	a. Private contractors.....	0%	17%	25%	58%
12	b. CETA workers (trainees).....	42%	42%	17%	0%
12	c. Volunteer workers.....	0%	17%	25%	58%
12	d. Experienced (professional)workers	67%	17%	17%	0%
	e. Other (please specify)_____				

18a. Are there any changes you would like to see in the weatherization program's provisions for labor or do you have any suggestions about how to obtain workers for the weatherization crews and reduce turnover? (Please explain)

9 specific answers

19. Have you received any information concerning the February 27, 1980 proposed weatherization regulations? Please circle: YES or NO. If YES, what impact do you think the amended regulations will have on your agency's ability to implement the weatherization program? (For example, please note any specific ways the amendments will make it easier or harder to implement the program.)

12 Yes - 58%, No - 42%

20. Are there any other suggestions or comments you would like to make about the weatherization program?



LEGISLATIVE PROGRAM REVIEW
AND INVESTIGATIONS COMMITTEE

LEGISLATIVE OFFICE BUILDING, 18 TRINITY ST., HARTFORD, CT 06115 (203) 566-8480

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REPRESENTATIVE
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Director

As you know, the Legislative Program Review and Investigations Committee is currently reviewing the state's weatherization assistance program. The Committee is interested in knowing more about the organization and staffing of each local community agency weatherization program. Therefore, we are requesting that each agency provide information concerning its weatherization program structure and staff (see attached form) by June 2, 1980.

Please return your response in the enclosed stamped envelope. If you have any questions or comments about this request, please contact Elaine Anderson or Jill Jensen at the Committee office (566-8480). Thank you for your cooperation.

Sincerely,

Elaine A. Anderson
Senior Program Analyst

Jill Jensen
Program Analyst

mlg

Enclosures

Organization and Staffing of _____ Weatherization Program
 (Write in Agency Name)

1. Please list all positions currently assigned full-time or part-time to your agency's weatherization program, noting the number of persons in each position, whether each position is filled or vacant, and how many, (if any) are CETA funded.

For your convenience, we have listed the most common weatherization position titles; however, if your agency uses a different title or has additional types of positions, please write in the title(s) you use.

Position Title	Total #	# Full-time	# Part-time	# Filled	# Vacant	# CETA Funded
For Example: Energy Coordinator (Weatherization Coordinator)	1	1	0	1	0	0
Energy Coordinator	_____	_____	_____	_____	_____	_____
Foreman	_____	_____	_____	_____	_____	_____
Crew chief	_____	_____	_____	_____	_____	_____
Crew worker	_____	_____	_____	_____	_____	_____
Building Analyst	_____	_____	_____	_____	_____	_____
Clerical	_____	_____	_____	_____	_____	_____
Other (specify)	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____

2. Have there been significant changes in the number of positions, or the number of filled positions (for example, increases due to more funding or decreases due to turnover) over the last year?
 Please circle: YES NO

2a. IF YES, please explain what changes occurred and why. _____

3. How many weatherization work crews are employed by your agency?

_____ (Write in Number)

3a. Please describe the composition of your work crew(s), that is how many workers are assigned to each crew and what are their titles? (For example, you might employ three crews, with each crew composed of one crew chief, two carpenters and one CETA trainee).

3b. If your agency employs more than one work crew, do all crews work out of one location, for example, the main office or warehouse?

Please circle: YES NO

IF NO, please describe where the crews are based. _____

4. Please provide a current organizational chart of your agency. If a chart is not available, please show, in a diagram, the relationship of the staff in the weatherization and crisis intervention programs to the upper level managerial staff in your organization.

5. Where are the applications for weatherization assistance submitted? (For example, are intake activities handled at your main office only, or can clients apply at neighborhood centers as well?) "Intake" is handled: (Please circle one answer)

- a. Only at the main office
- b. Primarily at the main office, but also at other locations (please specify)

- c. Primarily at locations other than the main office (please specify)

6. Please explain how fiscal planning and reporting requirements for the weatherization program are handled in your agency. Describe who handles these activities and how they are coordinated.

7. Are there any other comments you would like to make about the organizational structure and staffing of your agency's weatherization program? Please comment.

APPENDIX V

COVER SHEET: LPR&IC WEATHERIZATION CLIENT INTERVIEW
 (Data Collected from CAP Client Files Prior to Interview)

Interviewer: _____ Respondent ID# _____
 Date: _____
 Date Application Received at CAP _____ Date Work Completed _____

CAP AGENCY: _____

TOWN: _____

NOW: 16%
 TEAM: 17%
 NEON: 18%
 BCO: 20%
 HRANB: 9%
 CRT: 20%
 (N = 76)

Westport 1%
 Norwalk 17%
 Plainville 9%
 Bristol (Forestville) 4%
 Plymouth (Terryville) 7%
 Derby 9%
 Waterbury 8%
 Naugatuck (Union City) 1%
 New Hartford (Bakersville) 1%
 Winsted 1%
 Hartland (E. Hartland) 1%
 Norfolk 1%
 Cheshire 1%
 Orange 1%
 Ansonia 4%
 Seymour 3%
 Bloomfield 1%
 Windsor Locks 3%
 South Windsor 1%
 Manchester 1%
 Newington 1%
 West Hartford 1%
 Hartford 11%
 New Britain 9%
 (N = 76)

CLIENT (ELIGIBILITY) CATEGORY:

Elderly..... 50%
 Handicapped..... 14%
 (N = 63)

OWN/RENT:

Own..... 54%
 Rent..... 46%
 (N = 74)

TYPE HOME:

Single Family.... 58%
 Two Family..... 9%
 Multi-Family..... 33%
 (3 or more)
 (N = 76)

TOTAL NO. IN HOUSEHOLD: MEAN=2.7

One 25%
 Two 35%
 Three 19%
 Four 5%
 Five 8%
 Six 4%
 Seven 1%
 More than eight 3%
 (N = 63)

TYPE OF FUEL:

Gas/Natural..... 19%
 Gas/LP..... 1%
 Oil..... 68%
 Electricity..... 11%
 Coal..... 1%
 Wood..... 0%
 Solar..... 0%
 Other..... 0%
 (N = 75)

1. People have found out about this program in a lot of different ways. Please tell me how you first found out about the program.

- (DO NOT READ)
- | | |
|---|-----|
| 1) From a newspaper, the radio or TV | 22% |
| 2) From a CAP person who contacted client | 1% |
| 3) From a notice received in the mail | 0% |
| 4) From others who knew about the program | 33% |
| 5) Other way (specify) | 37% |
| 6) No answer | 7% |

* 2. Why did you decide to have your home weatherized?

- (DO NOT READ)
- | | |
|---|-----|
| a) I wanted my house/apartment to be warmer | 50% |
| b) I wanted to save money (on my heating bills) | 32% |
| c) Other (specify) | 53% |
| d) No answer | 0% |

3. About how long did it take you to fill out the application form? Did it take:

- | | |
|----------------------|-----|
| 1) An hour or less | 68% |
| 2) A couple of hours | 1% |
| 4) More than one day | 3% |
| 3) No answer | 28% |

4. Did the _____ people help you fill out the form?

- (DO NOT READ)
- | | | |
|--------------|-----|--------|
| 1) Yes | 47% | |
| 2) No | 36% | N = 75 |
| 3) No answer | 17% | |

* Percent does not equal 100 because respondents were allowed to give multiple answers.

5. Did you have to give the _____ people any papers which had information about your income?

DO NOT
READ)

1) Yes	81%	
2) No)	7%	N = 75
3) Don't know) (Skip to Q. 6)	12%	

5a. Were there any other papers you had to provide? (When you applied; for example, papers to prove your age or if you rent, your lease or your landlord's name)

1) Yes	22%	
2) No)	60%	N = 73
3) Don't know) (Skip to Q. 6)	18%	

5b. What papers did you have to provide?

NOW, I'd like to ask you about the work that was done on your home. We know that some people may not be at home or may be busy with other things when the work is being done. Please tell me the best you can whether you think the following work was done:

	<u>Yes</u>	<u>No</u>	<u>DK</u>	<u>Unsure</u>
6. a) Was insulation installed anywhere in your home?	72%	24%	3%	1%
b) Were storm windows and doors installed?	71%	28%	1%	0%
c) Was weatherstripping installed?	68%	29%	3%	0%
d) Was any work done on your furnace?	5%	88%	7%	0%
e) Were any general repairs made; for example, were broken windows replaced or was your roof fixed?	47%	50%	3%	0%
f) Was the hot water heater wrapped?	8%	92%	0%	0%
g) Was anything else done? (ASK WHAT)	45%	54%	1%	0%

7. DID THE CREW OR OTHER PEOPLE from (CAP NAME) give you any ideas about how you could keep your home warmer and use less fuel?

DO NOT
READ)

1) Yes	22%
2) No)	68%
3) DK) (Skip to Q.10)	9%

8. What kinds of energy saving ideas did they give you? (IF HESITATES, SAY: "IF YOU ARE NOT SURE, THAT'S O.K.")

1) Mentioned one or more specific ideas (e.g., turn down thermostat at night)	14%
2) Can't remember any specific ones	9%
3) No answer	76%

14a. How many times (have you received this assistance)?

- | | |
|--|-----|
| 1) Once | 18% |
| 2) Two or three times | 8% |
| 3) Four or five times | 4% |
| 4) More than five times | 1% |
| 5) Uncertain about the number of times | 25% |
| 6) Not applicable | 43% |

* 14b. Can you tell me who provided the assistance?

- | | | | |
|------------------------|-----|---------------------|-----|
| a) Crisis intervention | 8% | d) Federally funded | 5% |
| b) CAP | 33% | e) Other | 4% |
| c) State funded | 12% | f) Uncertain | 4% |
| | | g) Not applicable | 43% |

15. Is there anything else you'd like to say about the weatherization program or the work that was done on your home?

● Only respondents who answered "yes" to question 14 were asked this question.

* Percent does not equal 100 because respondents were allowed to give multiple answers.

APPENDIX VI

LOCAL AGENCY APPROVED WEATHERIZATION FUNDING
LEVELS FY 1976-77 THROUGH FY 1979-80*

LOCAL AGENCY	FY 1979-80		FY 1978-79		FY 1977-78	FY 1976-77
	DOE	CSA NERCOM OTHER ¹	DOE	CSA NERCOM OTHER ²	CSA NERCOM	CSA
ABCD	\$161,049	\$16,500 117 99,995	\$127,397	\$57,107 13,194 29,757	\$43,200 26,195	\$36,195
BCO	80,380	4,280 N/A 90,170	46,968	35,014 9,046 24,048	37,150 16,335	14,873
CACD	168,466	14,001 N/A 90,170	59,636	40,604 10,241 30,441	37,492 14,131	22,319
CRT	211,602	58,492 N/A 139,162	203,758	94,992 19,555 30,233	85,145 47,544	49,198
MCAA	102,590	9,375 N/A 57,215	62,389	39,799 9,249 22,631	29,545 12,623	20,159
CAGM	145,733	15,922 N/A 87,209	63,509	40,724 9,656 30,363	46,474 24,052	27,743
TEAM	124,365	12,901 N/A 58,413	66,786	43,539 9,826 29,910	12,033 24,305	25,404
HRA OF NB	126,498	547 9,869 63,453	64,069	41,073 10,510 29,448	39,050 12,535	17,457
HRA OF NH (HRI)	268,047	N/A 13,300 101,960	113,098	67,101 13,763 27,718	39,820 13,492	24,669
NEON	90,535	N/A N/A 51,042	40,089	46,447 9,589 23,281	34,376 13,770	19,964
TVCCA	166,660	N/A 22,636 51,452	101,011	54,017 12,812 30,507	48,819 25,856	33,053
CTE	135,457	N/A 17,877 62,443	63,509	30,687 10,436 29,437	33,525 15,407	21,846
NOW	287,181	5,011 6,736 128,653	141,186	56,352 14,934 30,269	61,466 46,436	39,549
WACAP	204,014	7,069 18,501 78,241	71,745	46,693 9,859 28,863	36,150 23,460	28,242

NOTES TO APPENDIX VI

- * Funds provided through DHR to the local agencies for low income weatherization projects. CETA funds for weatherization labor or funds local agencies may have received directly (not through DHR) for weatherization activities not shown.

No DOE funds were distributed to local agencies by DHR until FY 1978-79 although the state received its first DOE grant in November 1977. CSA and NERCOM funds shown for FY 1978-79 and FY 1979-80 are primarily "carry-over" funds from prior year grants.

- ¹ "Other" source for FY 1979-80: State Title XX funding allocated to local agencies for weatherization labor costs.
- ² "Other" source for FY 1978-79: State general fund money appropriated to DHR for local weatherization program labor costs.

N/A = Not Applicable; no "carry-over" funds remain from source.

Source: LPR&IC Staff Analysis of Connecticut Department of Human Resources Data.

APPENDIX VII

APPLICATION FOR WEATHERIZATION

DHR/ENERGY FORM 1 — REV. 4-80 — STATE OF CONNECTICUT DEPT. OF HUMAN RESOURCES

FOR OFFICE USE ONLY

JOB NUMBER: _____
Date Received: _____

1	GENERAL DATA	ACTION: <input type="checkbox"/> APPROVED <input type="checkbox"/> DENIED		REASON FOR DENIAL:			
		SERVICE RECIPIENT'S NAME (Last, First, Middle Initial)			SOCIAL SECURITY NUMBER		
		RECIPIENT'S HOME ADDRESS (Minimum requirement: Full TOWN NAME and ZIP CODE)			RECIPIENT'S TELEPHONE NUMBER		
		LANDLORD'S NAME (Last, First, Middle Initial)					
		LANDLORD'S HOME ADDRESS (Minimum requirement: Full TOWN NAME and ZIP CODE)			LANDLORD'S TELEPHONE NUMBER		
		NO. IN HOUSEHOLD _____		c. NO. 60 YEARS OLD AND OVER _____			
		a. HOMEOWNERS <input type="checkbox"/> RENTERS <input type="checkbox"/>		d. NO. HANDICAPPED/DISABLED _____			
b. NO. MIGRANT/SEASONAL FARM WORKERS _____		e. NO. NATIVE AMERICANS (Indians) _____					

2	APPLICATION FACTORS	TOTAL GROSS MONTHLY INCOME		Is service recipient on State Welfare? <input type="checkbox"/> Yes <input type="checkbox"/> No			
		A. <input type="checkbox"/> Employment	\$ _____	If yes, give		CASE NO. (From Card, Award Letter, or Check) (Suffix)	
		B. <input type="checkbox"/> Dividends, Interest	\$ _____			(This space should contain 1 OR 2 letters)	
		C. <input type="checkbox"/> Social Security	\$ _____			Does service recipient receive Supplemental Security Income (SSI)? <input type="checkbox"/> Yes <input type="checkbox"/> No	
		D. <input type="checkbox"/> Supplemental Security Income	\$ _____				
		E. <input type="checkbox"/> Pensions & Annuities	\$ _____				
		F. <input type="checkbox"/> Veterans Pension	\$ _____				
		G. <input type="checkbox"/> Unemployment Comp.	\$ _____				
		H. <input type="checkbox"/> Workmen's Comp.	\$ _____				
		I. <input type="checkbox"/> Welfare Payments	\$ _____				
J. <input type="checkbox"/> General Assistance Payments	\$ _____						
K. <input type="checkbox"/> Alimony	\$ _____						
L. <input type="checkbox"/> Child Support	\$ _____						
M. <input type="checkbox"/> Other (Specify)	\$ _____						
N. TOTAL	\$ _____						
TOTAL ANNUAL INCOME		\$ _____					
(twelve (12) times the amount shown in "N" above)							

ENERGY BILLS		
ELECTRIC CO.	NAME	ACCOUNT NUMBER
GAS CO.	NAME	ACCOUNT NUMBER
OTHER ENERGY DEALERS (Oil, propane, Wood, other)	NAME	ACCOUNT NUMBER
	ADDRESS	
	NAME	ACCOUNT NUMBER
	ADDRESS	

3	CERTIFICATION	<p>I HEREBY CERTIFY that all the statements made by me on this application are true and correct to the best of my knowledge and belief and that I understand that the provision of false, fraudulent or misleading information is punishable by federal law as cited in 18 USC 1001.</p> <p>I certify, to the best of my knowledge, that I am the only person in my household applying to this program for weatherization assistance.</p> <p>I give my consent for contact to be made, with the companies identified above, to verify my accounts and to determine my consumption rates for the last twelve (12) and for the next twenty-four (24) months.</p> <p>I understand that under section 3(e) (3) of the Privacy Act of 1974, 5 USC 552a(e) (3), each agency that maintains a system of records shall inform each individual from whom it solicits information of the authority which permits the solicitation of the information; whether disclosure is voluntary; the principal purpose for which the information is intended to be used; the routine uses which may be made of the information; and the consequences, if any, resulting from failure by the individual to provide the requested information. THIS STATEMENT IS REQUIRED BY THE PRIVACY ACT OF 1974</p>		<p>TO BE FURNISHED PRIOR TO THE COLLECTION AND USE OF THE INFORMATION OF THIS APPLICATION. I further understand that I am to be provided with a copy of this application for my records.</p> <p>The specific authority for the maintenance of this report is in section 416 and 417 of the Energy Conservation and Production Act, Public Law 94-385, as amended.</p> <p>I understand that my response to the request for information on this application is entirely voluntary, however, should I decline to provide the information requested, I cannot be considered for assistance.</p> <p>The information will be used by this agency to implement the weatherization assistance program; it will be used by the State of Connecticut and the U. S. Department of Energy, or their designees, to monitor the effectiveness of this program.</p> <p>The information which I provide on this application may be used in monitoring, evaluating and auditing the weatherization program. In addition, the information may be used in investigative, enforcement, or prosecutorial proceedings.</p>	
		DATE SIGNED	SIGNED (Recipient or Supervising Relative)	SIGNED (Witness or Interpreter)	WORKER NAME (Print)

WHITE COPY — Weatherization Office; YELLOW COPY — Client

NON-DISCRIMINATION

POLICY STATEMENT: Under no circumstances shall any applicant be discriminated against on the grounds of race, color, religious creed, age, marital status, national origin, sex, mental retardation or physical disability, including but not limited to blindness.

APPLICANT'S RIGHTS: If you feel that you have been discriminated against, for any of the above stated reasons, you may file a complaint with the state commission on human rights and opportunities, the federal office of civil rights, the office of federal contract compliance or the affirmative action office of the Department of Human Resources.

APPROVAL AND DENIAL OF APPLICATIONS

UNIFORM PROCEDURE FOR DENIAL FROM ASSISTANCE:

If you are denied assistance under the Connecticut Weatherization Program, you have the right to an appeal.

The denial and appeal procedures for this program are as follows:

- If you believe yourself to be eligible, you may make application for assistance on the standard application form.
- If you are denied an opportunity to file an application for assistance you may file a written or oral complaint against the service provider agency with the Department of Human Resources, Office of Energy Assistance, Post Office Box 786, Hartford, Connecticut, 06101, or by calling 566-7890.
- All complaints filed with the Department of Human Resources shall be investigated and a written determination, based upon findings of fact, will be made. All complaints filed against any service provider agency shall be kept confidential.
- You are entitled to a copy of this application.
- Should you be found to be ineligible, you shall:
 - be notified, within twenty (20) working days, by certified mail, of your ineligibility,
 - be allowed to respond, within twenty (20) working days, in person or by mail,
[should you not respond, it will be considered as agreement with the denial]
 - be notified, within twenty (20) working days, by certified mail, of your eligibility or ineligibility, and if ineligible, be allowed to submit additional information which you believe would make you eligible, within twenty (20) working days, from receipt of the notice of denial, in writing or in person,
[should you not respond, it will be considered as agreement with the denial]
 - be notified within ten (10) working days from the receipt of information provided in your last response of the final decision of the service provider agency,
 - be permitted to file an appeal with the Department of Human Resources, in person or by mail,
 - be notified within twenty (20) working days from the receipt of the appeal, by certified mail, of the decision of the Department of Human Resources,
 - be permitted to file an appeal with the U. S. Department of Energy, Boston Regional Office, 150 Causeway Street, Boston, Massachusetts, 02114.

APPLICATION APPROVAL:

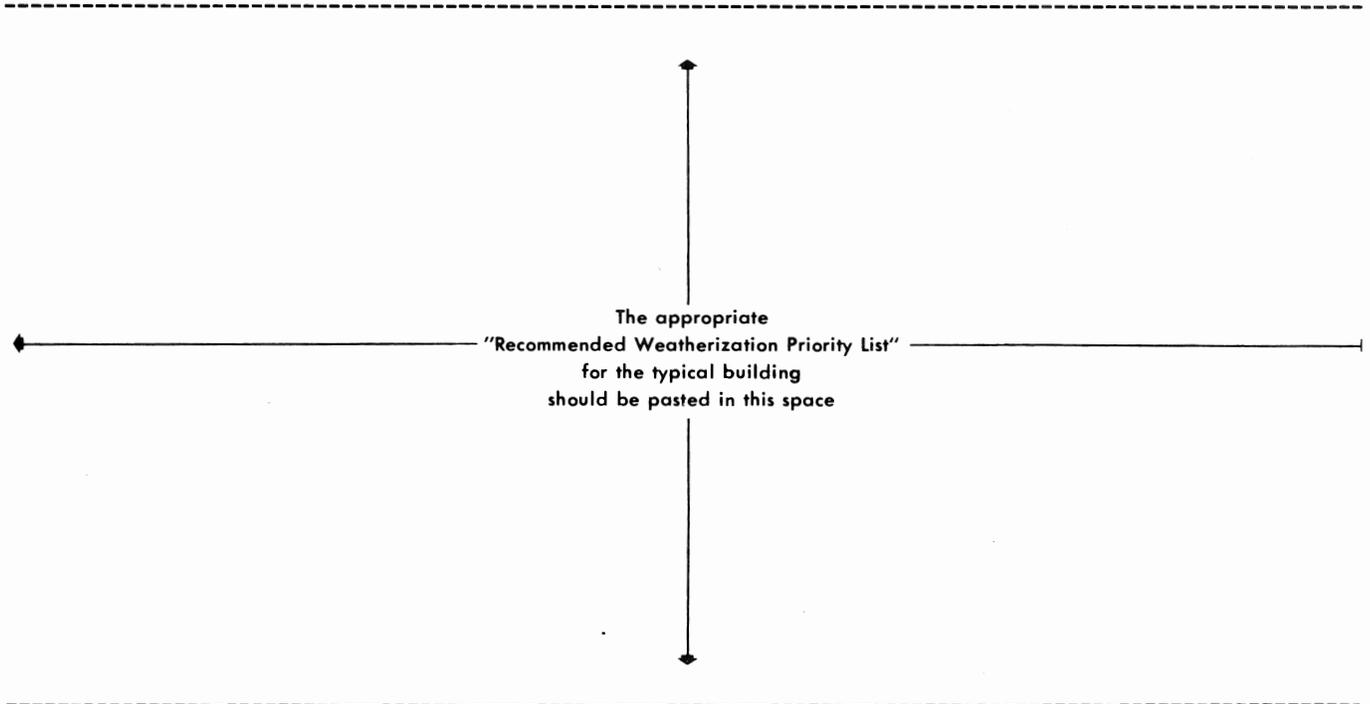
You are entitled to be notified, within twenty (20) working days from the date you filed this application, of your eligibility.

APPENDIX VIII

D.O.E. Weatherization Program
 U.S. Department of Energy
BUILDING CHECK AND JOB ORDER SHEET

Each block on this sheet provides basic ordering and control information for the various weatherization jobs on a building. The sheet can be used intact, or individual blocks may be pasted up, in the priority order agreed by the State and DOE, for duplication to provide a "camera ready" form for a specific building type. If a specific measure in a block is not to be undertaken, it may be omitted from the duplicated form.

During inspection of building, cross out any item which does not apply or is already weatherized. Fill in appropriate instruction for jobs to be done.



JOB	PHONE #	INTAKE / /
NAME		ESTIMATE /
ADDRESS		APPROVED /
DIRECTIONS AND SPECIAL PROBLEMS		WINDOWS ORDERED /
		WINDOWS RECEIVED /
		STARTED /
		COMPLETED / /
		Total Materials \$ _____
		Cost (from p4)

JOB ORDERS	Estimated Quantity	Estimated Cost (\$)	Actual Quantity	Actual Cost
GENERAL HEAT WASTE				
<p>Can INFILTRATION be reduced?</p> <p>Replace broken glass in _____</p> <p>Reset glass in _____</p> <p>Replace threshold in _____</p> <p>Pack cracks in _____</p> <p>Weatherstrip windows in _____ (not if storm windows to be installed?)</p> <p>Caulk windows in _____</p> <p>Weatherstrip doors in _____</p> <p>Caulk doors in _____</p> <p>Install door sweeps in _____</p> <p>Weatherstrip and insulate attic hatch _____</p> <p>Repair fireplace dampers in _____</p> <p>Close off fireplace in _____</p>				
<p>Do HOT-AIR DUCTS pass through cold areas?</p> <p>Insulate ducts leading to _____</p>				
<p>OBTAIN SPECIFIC PERMISSION OF OCCUPANT FOR EACH OF THE FOLLOWING OPTIONAL MEASURES</p>	X		X	
<p>Can DOMESTIC HOT WATER SYSTEM be made more efficient?</p> <p>Should HOT WATER HEATER temperature be reduced?</p> <p>Turn setting down to ____°F</p> <p>Can ELECTRIC HOT WATER HEATER be insulated?</p> <p>Insulate with R_____</p>				
<p>Can CONTROL of heating system be improved?</p> <p>Turn thermostat down to ____°F (explain benefit to client)</p> <p>Install night setback thermostat _____</p> <p>Relocate thermostat to _____</p> <p>Can any UNUSED ROOMS be CLOSED off? (remember water pipes may freeze in closed off rooms)</p> <p>Close off heating to _____</p>				
<p>Totals Carried forward _____ to page 4.</p>				

JOB ORDERS	Estimated Quantity	Estimated Cost (\$)	Actual Quantity	Actual Cost
ADDITIONAL NECESSARY REPAIRS				
Are any repairs necessary to protect or supplement the weatherization measures? List:				

FLOORS				
Can FLOOR EXPOSURE be reduced? Skirt crawl space with _____ Insulate perimeter with _____ (does perimeter insulation need to be waterproof?) Should FLOOR INSULATION be installed? Insulate floor with _____				

CEILINGS				
What is the R VALUE of the EXISTING ceiling? ____ (if existing R is over ____ no further insulation is to be added) What INSULATION should be added? Insulate with _____, _____ inches Joist Spacing _____ inches Ceiling Area _____ x _____ _____ x _____ _____ x _____ Is ATTIC VENTING needed? Install _____ vents in _____ (size) (location)				

WALLS				
Should WALLS be INSULATED? Are spaces accessible? (Remember possible moisture problems with frame walls insulated without a vapor barrier) Insulate wall in _____ with _____ _____ with _____ _____ with _____ (room) (material)				

Totals Carried forward →

--	--	--	--

JOB ORDERS	Estimated Quantity	Estimated Cost (\$)	Actual Quantity	Actual Cost
------------	--------------------	---------------------	-----------------	-------------

STORM WINDOWS

FIRST FLOOR

SECOND FLOOR

#	width × height	no.	cost	#	width × height	no.	cost
1.	×		\$	1.	×		\$
2.	×		\$	2.	×		\$
3.	×		\$	3.	×		\$
4.	×		\$	4.	×		\$
5.	×		\$	5.	×		\$
6.	×		\$	6.	×		\$
7.	×		\$	7.	×		\$
8.	×		\$	8.	×		\$

OTHER

#	width × height	no.	cost	#	width × height	no.	cost
1.	×		\$	1.	×		\$
2.	×		\$	2.	×		\$
3.	×		\$	3.	×		\$
4.	×		\$	4.	×		\$

Total Costs

MECHANICAL OPTIONS

Are FURNACE EFFICIENCY MODIFICATIONS possible?

List: _____

Other:

\$ Totals →

Brought forward from p2 →

Brought forward from p3 →

Total
Estimated
Cost

Total
Actual
Cost

MONITOR'S WEATHERIZATION INSPECTION REPORT

Date of Monitoring Visit: _____ Subgrantee Being Monitored: _____

Field Monitor: _____ Job No.: _____

A. Adequacy of System

- 1. Is Application Filled in Completely? Yes _____ No _____
- 2. Is Documentation of Income Complete? Yes _____ No _____
- 3. Is Computation of Income Correct? Yes _____ No _____
- 4. Are the Following Forms in File and Accurately Completed?
 - a. Building Weatherization Report (BWR) Yes _____ No _____
 - b. Building Check and Job Order Sheet Yes _____ No _____
 - c. Retro-Tech Job Book (if applicable) Yes _____ No _____
 - d. Energy Form 4 (owner agreement) Yes _____ No _____
 - e. Purchase Orders (if agency orders on a job by job basis) Yes _____ No _____
- 5. Is Job Number on A L L Forms? Yes _____ No _____
- 6. Is the Denial/Appeal Process being Properly Implemented? Yes _____ No _____
- 7. Is the Application Date and the Action Section of Each Application only Being Filled in at the Time of Eligibility Determination? Yes _____ No _____

COSTS

Actual Materials Cost (completed) \$ _____ Estimated Materials Cost (WIP) \$ _____

B. Actual Inspection

a. Completed Unit _____

b. Work-in-Process Unit _____

Do the following Comply with what has been reported on the Building Check and Job Order Sheet or the Retro-Tech Book

VEHICLES

	Good	Fair	Poor
What is the condition?			

What is the mileage?

	Reported		Actual			
	Yes	No	Good	Fair	Poor	None
a. Caulking						
b. Door Sweeps						
c. Weatherstripping						
d. Storm Windows						
e. Attic Insulation						
f. Venting						

	Reported		Actual			
	Yes	No	Good	Fair	Poor	None
g. Wall Insulation						
h. Floor Insulation						
i. Heating System						
j. Electric Hot Water Insulation						
k. Basement Infiltration Measures						
l. Other _____						

TOOLS AND EQUIPMENT

Item and Identification Number: _____
 Item and Identification Number: _____
 Item and Identification Number: _____
 Item and Identification Number: _____

(circle the letter that best describes)
 Condition G F P
 Condition G F P
 Condition G F P
 Condition G F P

C. Client Response

ITEM	GOOD	FAIR	POOR	COMMENTS
a. Quality of Work				
b. Attitude of Crew				
c. Courtesy of Crew				
d. Clean-up of Crew				
e. Was Adequate Explanation of Work Done Provided?				
f. Other (specify)				

- 1. Did the Client Receive a Copy of the Building Weatherization Report? Yes _____ No _____
- 2. Did the Client Receive a Copy of the Application? Yes _____ No _____



LEGISLATIVE PROGRAM REVIEW
AND INVESTIGATIONS COMMITTEE

LEGISLATIVE OFFICE BUILDING, 18 TRINITY ST., HARTFORD, CT 06115 (203) 566-8480

PUBLIC HEARING NOTICE

SENATOR
WILLIAM E. CURRY, JR.
Co-chairman

REPRESENTATIVE
ASTRID T. HANZALEK
Co-chairman

SENATE MEMBERS

WAYNE A. BAKER
WILLIAM E. CURRY, JR.
LAWRENCE J. DENARDIS
MARCELLA C. FAHEY
NANCY L. JOHNSON
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MICHAEL L. NAUER
Director

THE LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS
COMMITTEE ENCOURAGES AGENCIES, GROUPS OR
INDIVIDUALS INTERESTED IN THE WEATHERIZATION PRO-
GRAM TO COMMENT ON THE PROGRAM AT OUR PUBLIC HEARING.
THE HEARING IS SCHEDULED FOR:

WEDNESDAY, JUNE 11, 1980

TIME: 10:00 a.m to 12:00 NOON

PLACE: ROOM 310 OF STATE CAPITOL
IN HARTFORD

PUBLIC TESTIMONY WILL BEGIN AT 11:00 a.m. SPEAKERS
WILL BE CALLED IN THE ORDER IN WHICH THEY SIGN
UP THAT MORNING. IF YOU WOULD LIKE TO SCHEDULE
YOUR TESTIMONY FOR A SPECIFIC TIME, OR IF YOU HAVE
ANY QUESTIONS CONCERNING THE HEARING, PLEASE CONTACT
ELAINE ANDERSON OR JILL JENSEN AT THE COMMITTEE
OFFICE (566-8480).

LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS COMMITTEE PUBLIC
HEARING ON WEATHERIZATION ASSISTANCE FOR LOW INCOME PERSONS,
JUNE 6, 1980: WITNESS LIST

Mr. John Pickens	Director, Bureau of Program Planning and Development (Weatherization Project Director), Connecticut Department of Human Resources
Mr. Robert Burgess	President, Connecticut Association for Community Action (CAFCA)
Mr. Richard Ouillette	Weatherization Coordinator, Thames Valley Council for Community Action (TVCCA)
Mr. Joseph D'Orso	Weatherization Coordinator, New Opportunities for Waterbury (NOW)
Mr. James Gatling	Executive Director, New Opportunities for Waterbury (NOW)
Ms. Marion Bull	Weatherization Coordinator, Bristol Community Organization (BCO)
Ms. Karen Kolinowski	Outreach Worker, Training Education and Manpower (TEAM)
Mr. Delando Watson	Weatherization Coordinator, Community Renewal Team (CRT)
Mr. Allen Prechert	Citizen

APPENDIX XI

AGENCY RESPONSE

It is the policy of the Legislative Program Review and Investigations Committee to submit a late draft of each report to the appropriate agency for comment prior to publication. Written comments from the Department of Human Resources were solicited for this report.



STATE OF CONNECTICUT

DEPARTMENT OF HUMAN RESOURCES

November 5, 1980

Mr. Michael L. Nauer
Director
Legislative Program Review
and Investigations Committee
Legislative Office Building
18 Trinity Street
Hartford, Connecticut 06115

Dear Mr. Nauer:

We have carefully reviewed the first draft report of the Legislative Program Review and Investigations Committee on the Weatherization Assistance for Low Income Person's Program.

We are pleased to note the comprehensive, factual and carefully researched analysis that the report reflects. We were pleased to have contributed to this result by extending our full cooperation to the Committee through full and free sharing of information and a significant investment of time by our senior program staff. I want to commend the Committee and its staff for the fair, objective and scholarly nature of its work.

We also are pleased to note the report's conclusions that the program, under the stewardship of DHR, has achieved a remarkable turn around and has, and is, exceeding its goals, a conclusion also expressed by the federal Administering Agency, the U. S. Department of Energy, in its annual grantee Assessment of Connecticut's Weatherization Program, dated June 6, 1980.

In this context, we believe the Committee's recommendations are thoughtful and constructive. Most are already in the process of implementation. Those remaining will be addressed as financial and staff resources permit.

In conclusion, I want to thank the Committee for its interest and concern and for its work, which will add greatly to public knowledge about this critical problem, which affects most cruelly, our least fortunate citizens.

Sincerely,


Ronald E. Manning
Commissioner

REM:PNT

cc: File

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Phone:

P.O. Box 786 1179 Main Street, Hartford, Connecticut 06101

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