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

1.0 – General Information

Additional information that does not fit neatly in one of the other sections of this document.

Enter Additional H&S Information Here

2.0 – Budgeting

Grantees are encouraged to budget H&S costs as a separate category and, thereby, exclude such costs from the Average Cost Per Unit (ACPU) cost limitation. This separate category also allows these costs to be isolated from energy efficiency costs in program evaluations. H&S costs that are budgeted and reported under the Program Operations category rather than the H&S category, the related H&S costs must be included in the calculation of the ACPU and cost-justified through the Grantee’s Department of Energy (DOE)-approved energy audit tool.

Select which option used below.

- Separate H&S Budget
- Contained in Program Operations

3.0 – H&S Expenditure Limits

Pursuant to 10 CFR 440.16(h), Grantees must establish H&S expenditure limits for their Program and provide justification for those limits by explaining the basis and related historical H&S expenditures. DOE acknowledges that it may be necessary for Grantees to deviate from historical expenditures when certain circumstances arise (e.g. funding source changes).

10 CFR 440.16(h)(2) dictates that these limits must be expressed as a percentage of the ACPU. To calculate this percentage use the following formula:

\[
\text{Total Average H&S Cost per Unit} = \frac{\text{H&S budget amount}}{\text{Program Operations budget amount}}
\]

For example, if the ACPU is $5,000 and a Grantee’s Program expends an average of $750 per dwelling on energy-related H&S measures, the Total Average H&S Cost per Unit would equal 15 percent. DOE acknowledges that this percentage may vary significantly between Grantees due to different geographical areas and depending upon the availability of other funding sources, resource availability, etc. Low percentages should include a statement of what other funding supports H&S costs, while larger percentages will require greater justification and relevant historical support.

15 percent is not a maximum limit on H&S expenditures. DOE will conduct a secondary level of review on H&S Plans with a Grantee request of more than 15 percent of Program Operations used for H&S purposes. DOE strongly encourages using the table below in developing justification for the requested H&S budget amount. In accordance with 10 CFR 440.18(d)(15), these funds are to be expended by the Program in direct weatherization activities, “of which is necessary before, or because of, installation of weatherization materials.” This same section of the regulation excludes the H&S costs from the ACPU limitation if H&S costs are budgeted separately.

DOE recommends reviewing recent budget requests and compare those to actual H&S expenditures to see if previous budget estimates have been accurate. The resulting Total Average H&S Cost per Unit multiplied by the Grantee’s production estimate in the Annual File should correlate to the H&S budget amount listed in the Grantee’s annual plan.

H&S expenditure limits and justification explaining the basis for setting the limits.

The subgrantees must get state approval to spend more than the average H&S cost per unit from the attached spreadsheet. Approval is based on whether the subgrantee is not over their approved H&S allocation.
<table>
<thead>
<tr>
<th>Measure</th>
<th>Average Cost</th>
<th>Frequency Installed/Completed</th>
<th>Auto-Calculated Average Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ventilation</td>
<td>$180</td>
<td>73%</td>
<td>$131.40</td>
</tr>
<tr>
<td>Sump pump covers</td>
<td>$41</td>
<td>6%</td>
<td>$2.46</td>
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<tr>
<td>Knob and Tube cleanup</td>
<td>$0</td>
<td>0%</td>
<td>$0.00</td>
</tr>
<tr>
<td>Other Electrical Repair</td>
<td>$893</td>
<td>1%</td>
<td>$8.93</td>
</tr>
<tr>
<td>Plumbing repair</td>
<td>$498</td>
<td>1%</td>
<td>$4.98</td>
</tr>
<tr>
<td>Furnace Replacement</td>
<td>$0</td>
<td>0%</td>
<td>$0.00</td>
</tr>
<tr>
<td>Water Heater Replacement</td>
<td>$0</td>
<td>0%</td>
<td>$0.00</td>
</tr>
<tr>
<td>Other</td>
<td>$57</td>
<td>22%</td>
<td>$12.54</td>
</tr>
<tr>
<td>Furnace or Water Heater Rep.</td>
<td>$74</td>
<td>1%</td>
<td>$0.74</td>
</tr>
<tr>
<td>CO meters</td>
<td>$226</td>
<td>86%</td>
<td>$194.36</td>
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<tr>
<td>Dryer Vents</td>
<td>$16</td>
<td>33%</td>
<td>$5.28</td>
</tr>
<tr>
<td>Smoke Alarms</td>
<td>$27</td>
<td>46%</td>
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<tr>
<td>H&amp;S labor</td>
<td>$420</td>
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<td>$420.00</td>
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<tr>
<td>Grills</td>
<td>$18</td>
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<td>Roof Coating</td>
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<tr>
<td>Poly</td>
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<td>23%</td>
<td>$13.11</td>
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<tr>
<td>Support</td>
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<tr>
<td>Total Average H&amp;S Cost Per Unit</td>
<td></td>
<td></td>
<td>$863.28</td>
</tr>
</tbody>
</table>

Enter Estimated Production (Annual File: IV.2 WAP Production Schedule) 236
Enter Estimated Program Operations Budget (Annual File - Budget) $1,772,719.00
H&S Budget (Total Average H&S Cost Per Units * Estimated Production) $203,734.08
Suggested H&S Budget Request 11.493%
Utilizing the spreadsheet embedded below, provide a full list of H&S measures using historical data from your program, including average cost, and frequency rate. If installing more than a single instance of one measure in a unit (e.g. multiple CO alarms), Grantees may aggregate costs so that frequency does not exceed 100%, or enter a justification into the measure column, which explains why that measure has a frequency rate of over 100%. The spreadsheet will auto calculate your expected Total Average H&S Cost per Unit.

Instructions: Double-click icon directly below to open, view and edit Measure Matrix Spreadsheet. Complete the spreadsheet by entering the required information. To save, close the spreadsheet and it will save to this document.

Measure Matrix
Final.xlsx

### 4.0 – INCIDENTAL REPAIR MEASURES

Any measures that could potentially be identified as H&S but the Grantee chooses to instead identify and treat those measures as incidental repair measures (IRMs), must be implemented consistently throughout the Grantee’s weatherization program. The measure must fit the regulatory definition of an IRM and be cost justified along with the associated energy conservation measure and/or package of measures. 10 CFR 440.3 defines Incidental Repairs as, “those repairs necessary for the effective performance or preservation of weatherization materials.”

H&S measures identified and treated as IRMs within your Program.

List All H&S Measures Which Are Listed As IRMs Here
No incidental repair measures will be assigned as H&S measures.

### 5.0 – OCCUPANT PRE-EXISTING OR POTENTIAL HEALTH CONDITIONS AND HAZARD IDENTIFICATION AND NOTIFICATION FORM(S)

Grantees must include policies/procedures for informing clients of the aspects of weatherization that may put a client with pre-existing health conditions at risk during installation of measures. This screening may occur as part of the initial application for weatherization and/or during the energy audit. Procedures must include what steps will be taken and/or available to the client to ensure that weatherization work will not aggravate pre-existing health conditions. Additionally H&S assessments are required to identify hazards in the home. For those hazards identified, appropriate testing is required when applicable. The client/landlord/property manager must be informed in writing of all testing results, including identification of a hazards revealed by the testing that will lead to deferral/referral.

Grantees are required to develop documentation forms that include at a minimum:

- Occupant Pre-existing or Potential Health Conditions;
  - Screen occupant(s) to self-report known or suspected health concerns either as part of initial application for weatherization, during the energy audit, or other parts of the weatherization process as specified;
  - Inform client in writing of any known risks; and
  - Provide client with Subgrantee point of contact information in writing so client can inform of any issues.

- Hazard Identification Notification Form
  - The occupant(s) (and Landlord’s, if applicable) name and address;
  - Date(s) of the energy audit/assessment and when the occupant(s) (and Landlord, if applicable) was informed of a potential H&S issue;
Procedure for soliciting occupants’ health and safety concerns related to components of their homes

Clients are asked at the time of the interview during the initial audit. Documented on the Health and Safety Inspection and Release form.

Procedure for determining whether occupants suffer from health conditions which may be negatively impacted by the act of weatherizing their dwelling

Clients are asked at the time of the interview during the initial audit. Documented on the Health and Safety Inspection and Release form.

Procedure for addressing potential health concerns including pre-existing health conditions when they are identified

After discussing with client, they may be asked to occupy a part of the house away from the work that is being done or they may be asked to vacate the house while the work is being done. In a serious enough case, the job may be deferred.

Documentation Form(s) have been included for review?

Yes ☑ No ❑

Location where forms have been uploaded/submitted

Separate attachment to SF424 ☑ Separate attachment to H&S Plan ❑

6.0 – Health and Safety Categories

For each of the following H&S categories identified by DOE:

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

6.1 – Air Conditioning and Heating Systems

Concurrence, Alternative or Deferral

Concurrence with DOE Guidance ☐ Alternative Guidance ☑ Results in Deferral/Referral ☐
Air Conditioning Unallowable with DOE Funds ✔ Heating Unallowable with DOE Funds ☐
Other Funding Source Addresses H&S Issue ✔ LIHEAP

### Procedure for unsafe or non-functioning primary heating/cooling systems

When a space conditioning system does not qualify as an ECM, the following conditions must be met before the unit can be replaced or repaired with Health and Safety funds:

- “Red tagged,” inoperable, or nonexistent primary heating system may be replaced, repaired, or installed consistent with this guidance.
- Use proper sizing protocols (Heatloss calculation in WxPro Software which is based on Manual J.) based on post-weatherization housing characteristics, including installed mechanical ventilation, when installing or replacing a heating appliance.
- Unsafe primary units must be repaired or replaced, or deferral is required.
- See Hazardous Materials Disposal section for more information.
- There must be an identified and documented imminent H&S hazard (e.g. cracked heat exchanger) that necessitates the system replacement.

Almost all our heating system work is done with LIHEAP Emergency Furnace funds prior to weatherization. DOE funds are only used on clients that do not qualify for LIHEAP.

See attachment A for more information on heating system policies.

### Procedure for unsafe or non-functioning secondary heating systems, including unvented secondary space heaters

- Replacement or installation of secondary units is not allowed with DOE funds.
- Unsafe secondary units, including space heaters, must be repaired, or deferral is required.

Almost all our heating system work is done with LIHEAP Emergency Furnace funds prior to weatherization. DOE funds are only used on clients that do not qualify for LIHEAP.

### Definition of and documentation required for “at-risk” occupants

- All cooling work is funded through the LIHEAP Emergency Furnace program. Clients 60 and older are qualified. Client under 60 years of age are required to have a doctor’s note describing a health issue.

### Testing protocols

- Make sure primary systems are present, operable, and performing correctly.
- Check DOE-approved audit to determine if the system can be installed as an energy conservation measure (ECM) prior to replacement as an H&S measure.
- On combustion equipment, inspect chimney and flue and test for Combustion Appliance Zone (CAZ) depressurization. See attached ND Furnace Field Inspection form. Shaded cells are required.
- For solid fuel appliances look for visual evidence of soot on the walls, mantel or ceiling or creosote staining near the flue pipe.

### 6.2 – Asbestos (Confirmed and/or Presumed Asbestos Containing Material)

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<thead>
<tr>
<th>Concurrence, Alternative or Deferral</th>
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<tbody>
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<td>Concurrency with DOE Guidance ☐</td>
<td>Alternative Guidance ☑</td>
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<td>Results in Deferral/Referral ☐</td>
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Asbestos on Heating, Ventilation and Air Conditioning (HVAC) systems, distribution, venting and other small surfaces that will be disturbed through the course of weatherization work policy

- Assume asbestos is present in suspect covering materials.
- When suspected friable ACM is present, take precautionary measures as if it is asbestos unless testing determines otherwise.
- Grantee may allow removal or encapsulation by an appropriately trained professional on a case-by-case basis. Grantees will look at the savings that would be lost by deferring the home compared to the cost of the removal.
- Charge only those costs directly associated with the testing, encapsulation, or removal to the H&S budget category.
- When deferral is necessary due to asbestos, occupant must provide documentation that a certified professional performed the remediation before work continues.

Asbestos in attics, walls, floors roofs and foundations that will be disturbed through the course of weatherization work policy
Asbestos or presumed asbestos will not be disturbed during weatherization work.
• The existence of asbestos siding that is in good condition does not prevent installing dense-pack insulation from the exterior.
• Siding may be removed and reinstalled in order to perform the ECM, and the associated costs may be charged as part of the ECM.
• General abatement of asbestos siding or replacement with new siding is not an allowable H&S cost.

Vermiculite that will be disturbed through the course of weatherization work policy
See blower door testing policy below.

• When vermiculite is present, assume it contains asbestos unless testing determines otherwise.
• Use proper respiratory protection while in areas containing vermiculite.
• Removal is not allowed.
• When deferral is necessary due to asbestos, occupant must provide documentation that a certified professional performed the remediation before work continues.

Blower door testing policy when asbestos/vermiculite is present
• Blower door testing is allowed where friable suspected ACM is present unless the suspected ACM is in such condition that it cannot be contained and may be introduced into the living space of the home. Vermiculite in attics is not a reason to not do blower door testing. Workers should use PPE and access should be from outside when working in attics with vermiculite. Air sealing should be done before doing a blower door test. If inside access is necessary, containment must be used. If the ACM is in such a condition that blower door testing cannot be done, the home must be deferred. State Health Department Asbestos trainers have agreed with this policy.

Testing protocols
• Visually inspect exterior wall surface and subsurface, floors, walls, and ceilings for suspected ACM prior to drilling or cutting.
• Asbestos Hazard Emergency Response Act of 1986 (AHERA) sample collection and testing must be conducted by a certified tester.

Documentation requirements
Documented on the Health and Safety Inspection and Release form.

6.3 – Biologicals and Unsanitary Conditions
(e.g., odors, mustiness, bacteria, viruses, raw sewage, rotting wood)

Concurrence, Alternative or Deferral/Referral

<table>
<thead>
<tr>
<th>Concurrence with DOE Guidance</th>
<th>Alternative Guidance</th>
<th>Results in Deferral/Referral</th>
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</tbody>
</table>

Unallowable Measure with DOE Funding ☐ Other Funding Source Addresses H&S Issue ☐ Enter Funding Source

Biological and unsanitary conditions in dwellings policy
• Remediation of conditions that may lead to or promote biological concerns and unsanitary conditions is allowed.
• Addressing bacteria and viruses is not an allowable cost.
• Deferral may be necessary in cases where conditions in the home pose a health risk to occupants and/or weatherization workers.
• See Mold and Moisture section for more information.

Testing protocols
• Sensory inspection

6.4 – Building Structure and Roofing (e.g., roofing, wall, foundation)

Concurrence, Alternative or Deferral/Referral

<table>
<thead>
<tr>
<th>Concurrence with DOE Guidance</th>
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</table>

Unallowable Measure with DOE Funding ☐ Other Funding Source Addresses H&S Issue ☐ Enter Funding Source
Structural issues in dwellings policy

• Building rehabilitation is beyond the scope of the Weatherization Assistance Program.
• Homes that require more than minor repairs must be deferred.
• See Mold and Moisture, Code Compliance, and Pests sections for more information.
• Visual inspection.
• Ensure that access to the portions of the home where weatherization will occur are safe for entry and performance of assessments, work, and inspections.

Define and quantify minor or allowable structure and roofing issues. At what point are these considered beyond the scope of weatherization?

• Minor or allowable structure and roofing repairs must be tied to a measure being done during the weatherization or to protect existing insulation and other energy related parts of the home. The cost must not go above the $863 H&S average per home without state approval. Grantees will look at the savings that would be lost by deferring the home compared to the cost of the repair.

If priority lists are used and these repairs are designated as IRMs, at what point is a site-specific electronic energy audit required?

All homes have a site-specific audit.

6.5 – Code Compliance

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance ☑ Alternative Guidance ☐ Results in Deferral/Referral ☐

Unallowable Measure with DOE Funding ☐ Other Funding Source Addresses H&S Issue ☐ Enter Funding Source

Code compliance issues in dwellings policy

• Correction of preexisting code compliance issues is not an allowable cost unless triggered by weatherization measures being installed in a specific room or area of the home.
• When correction of preexisting code compliance issues is triggered and paid for with WAP funds, cite specific code requirements with reference to the weatherization measure(s) that triggered the code compliance issue in the client file.
• Follow State and local or AHJ codes while installing weatherization measures, including H&S measures.
• Condemned properties and properties where “red tagged” H&S conditions exist that cannot be corrected under this guidance must be deferred.
• Visual inspection.

6.6 – Combustion Gases

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance ☑ Alternative Guidance ☐ Results in Deferral/Referral ☐

Unallowable Measure with DOE Funding ☐ Other Funding Source Addresses H&S Issue ☐ LIHEAP

Combustion gas issues discovered during testing, including those that require an immediate response policy

• Proper venting to the outside for combustion appliances, including gas dryers and refrigerators, furnaces, vented space heaters and water heaters is required.
• Correct venting when testing indicates a problem.
• If unsafe conditions whose remediation is necessary to perform weatherization cannot be remedied by repair or tuning, replacement is an allowable H&S measure unless prevented by other guidance herein.
• Maintain documentation justifying the replacement with a cost comparison between replacement and repair in the client file.
• Replacement units must meet safety guidelines as determined in the Grantee Plan or technical Field Guide.
• See Air-Conditioning and Heating Systems section and Attachment A for more information.

Testing protocols
• Combustion safety testing is required when combustion appliances are present.
• Test naturally drafting appliances for spillage and CO during CAZ depressurization testing pre- and post-weatherization and before leaving the home on any day when work has been done that could affect draft (e.g., tightening the home, adding exhaust).
• Inspect venting of combustion appliances and confirm adequate clearances.
• Check DOE-approved audit to determine if the appliance can be justified as an ECM prior to replacement as an H&S measure.

6.7 – Electrical

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance ☐ Alternative Guidance ☑ Results in Deferral/Referral ☐

Unallowable Measure with DOE Funding ☐ Other Funding Source Addresses H&S Issue ☐ Enter Funding Source ☐

**Electrical hazards, including knob & tube wiring, in dwellings policy**

• When the H&S of the occupant/worker(s) is at risk, minor repairs, as defined by the Grantee, are allowed when necessary for weatherization measures.
• Evaluate and if necessary provide sufficient over-current protection and damming (if required) prior to insulating building components containing knob and tube wiring, as required by the AHJ.
• Replacement of knob and tube wiring is allowable if savings of the measure warrant the replacement or if deferral would be caused, the overall savings of weatherizing the house may be considered.
• Visual inspection for presence and condition of knob-and-tube wiring.
• Check for alterations that may create an electrical hazard.
• Voltage drop and voltage detection testing are allowed.

**Define and quantify minor electrical issues. At what point are these considered beyond the scope of weatherization?**

• Minor electrical repairs must be tied to a measure being done during the weatherization or to protect the health and safety of the occupants or crews. The cost must not go above the $863 H&S average per home without state approval. Grantees will look at the savings that would be lost by deferring the home compared to the cost of the repair.

**If priority lists are used and these repairs are designated as IRMs, at what point is a site-specific electronic energy audit required?**

All homes have a site-specific audit.

6.8 – Formaldehyde, Volatile Organic Compounds (VOCs), Flammable Liquids, and other Air Pollutants

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance ☑ Alternative Guidance ☐ Results in Deferral/Referral ☐

Unallowable Measure with DOE Funding ☐ Other Funding Source Addresses H&S Issue ☐ Enter Funding Source ☐

**Formaldehyde, VOCs, flammable liquids and other air pollutants in dwellings policy**

• Removal of pollutants is allowed and is required if they pose a risk to workers.
• If pollutants pose a risk to workers and removal cannot be performed or is not allowed by the client, the unit must be deferred.
• Refer to Hazardous Materials Disposal section for more information.

**Testing protocols**

• Sensory inspection.

6.9 – Fuel Leaks (*please indicate specific fuel type if policy differs by type*)

Concurrence, Alternative or Deferral/Referral

Concurrence with DOE Guidance ☐ Alternative Guidance ☑ Results in Deferral/Referral ☐

Unallowable Measure ☐

**Fuel leak remediation protocols**
• When a minor gas leak is found on the utility side of service, the utility service must be contacted before work may proceed.
• Fuel leaks that are the responsibility of the client (vs. the utility) must be repaired before weatherizing a unit. These would typically be funded through the LIHEAP Emergency Furnace grant in a LIHEAP client. DOE H&S funds would be used in the case of a client that does not qualify for LIHEAP but does qualify for DOE Weatherization.
• Notify utilities and temporarily halt work when leaks are discovered that are the responsibility of the utility to address.
• Test exposed gas lines for fuel leaks from utility coupling into, and throughout, the home.
• Conduct sensory inspection on bulk fuels to determine if leaks exist.

At what point are fuel leaks considered beyond the scope of weatherization?

• The cost of the repair must not go above the $863 H&S average per home without state approval. If above the $863, the state would consider the savings to the home that would be lost by deferral.

Testing protocols
Leak detectors, soap, sensory

### 6.10 – Gas Range/Ovens

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<th>Concurrency with DOE Guidance</th>
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<tbody>
<tr>
<td>Unallowable Measure with DOE Funding</td>
<td>Other Funding Source Addresses H&amp;S Issue</td>
<td>Enter Funding Source</td>
</tr>
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</table>

Unsafe gas range/ovens policy

• When testing indicates a problem, entities may perform standard maintenance on or repair gas cooktops and ovens. If repairs are not done, the client must be informed in writing about the problem.
• Replacement is not allowed.

Testing protocols
• Test gas ovens for CO.
• Inspect cooking burners and ovens for operability and flame quality.

Client Education

### 6.11 – Hazardous Materials Disposal [e.g., Lead, Refrigerant, Asbestos, Mercury (including CFLs/fluorescents), etc.] (please indicate where policy differs by material)

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<tr>
<td>Unallowable Measure with DOE Funding</td>
<td>Other Funding Source Addresses H&amp;S Issue</td>
<td>Enter Funding Source</td>
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Hazardous materials disposal policy (existing material/appliance and hazardous material)

• Inform client in writing of hazards associated with hazardous waste materials being generated/handled in the home.

Documentation requirements
Documented on the Health and Safety Inspection and Release form.

### 6.12 – Injury Prevention of Occupants and Weatherization Workers (e.g., repairing stairs and replacing handrails)

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<td>Enter Funding Source</td>
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Injury prevention measure(s) policy

• When necessary to effectively weatherize the home, workers may make minor repairs and installations, as defined by the Grantee in the ECM-GHW-H&S-IRM lists 2021 attachment to the 2021 State Plan.
• Inspect for dangers that would prevent weatherization.
Define and quantify minor or allowable injury prevention measures. At what point are these considered beyond the scope of weatherization?

- The cost of the repair must not go above the $863 H&S average per home without state approval. If above the $863, the state would consider the savings to the home that would be lost by not doing a measure or by deferral.
- If conditions will not be repaired, inform client in writing of observed hazards and associated risks.

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<th>6.13 – Lead Based Paint</th>
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<td>Unallowable Measure with DOE Funding</td>
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</table>

**Lead safe work protocols**

- Crews must follow EPA's Lead; Renovation, Repair and Painting Program (RRP) when working in pre-1978 housing unless testing confirms the work area to be lead free.
- Deferral is required when the extent and condition of lead-based paint in the house would potentially create further H&S hazards.
- Only those costs directly associated with the testing and lead safe practices for surfaces directly disturbed during weatherization activities are allowable.

**Testing protocols**

- Testing to determine the presence of lead in paint that will be disturbed by WAP measure installation is allowed with EPA-approved testing methods.
- Testing methods must be economically feasible and justified.
- Job site set up and cleaning verification by a Certified Renovator is required.
- Grantees must verify that crews are using lead safe work practices during monitoring.

**Documentation requirements**

- Documentation in the client file must include Certified Renovator certification; any training provided on-site; description of specific actions taken; lead testing and assessment documentation; and, photos of site and containment set up. Include the location of photos referenced if not in file.

<table>
<thead>
<tr>
<th>6.14 – Mold and Moisture</th>
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<tbody>
<tr>
<td><strong>Concurrence, Alternative or Deferral/Referral</strong></td>
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<tr>
<td>Concurrence with DOE Guidance</td>
<td>☑</td>
</tr>
<tr>
<td>Unallowable Measure</td>
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</tbody>
</table>

**Moisture related issues in dwellings policy**

- Limited water damage repairs that can be addressed by weatherization workers are allowed when necessary in order to weatherize the home and to ensure the long-term stability and durability of the measures.
- Source control (i.e. correction of moisture and mold creating conditions) is allowed when necessary in order to weatherize the home and to ensure the long-term stability and durability of the measures. Source control is independent of latent damage and related repairs.
- Where severe Mold and Moisture issues cannot be addressed, deferral is required.
- Mold testing or cleanup is not an allowable H&S cost.
- Surface preparation where weatherization measures are being installed (e.g., cleaning mold off window trim in order to apply caulk) must be charged as part of the ECM, not to the H&S budget category.
- Approved H&S measures are defined by the Grantee in the ECM-GHW-H&S-IRM lists 2021 attachment to the 2021 State Plan.

Define and quantify minor or allowable moisture-related measures. At what point are these considered beyond the scope of weatherization?
• The cost of the minor or allowable moisture-related measures must not go above the $863 H&S average per home without state approval. If above the $863, the state would consider the savings to the home that would be lost by deferral.

### 6.15 – Pests

**Concurrence, Alternative or Deferral/Referral**

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<thead>
<tr>
<th>Concurrency with DOE Guidance</th>
<th>Alternative Guidance</th>
<th>Results in Deferral/Referral</th>
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<tbody>
<tr>
<td>Unallowable Measure with DOE Funding</td>
<td>Other Funding Source Addresses H&amp;S Issue</td>
<td>Enter Funding Source</td>
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</table>

**Pests and pest intrusion prevention policy**

- Pest removal is allowed only where infestation would prevent weatherization.
- Infestation of pests may be cause for deferral where it cannot be reasonably removed or poses H&S concern for workers.
- Screening of windows and points of access and incorporating pest exclusion into air sealing practices to prevent intrusion is allowed.

**Define and quantify pest infestation thresholds. At what point are these considered Beyond the scope of weatherization**

- If the infestation prevents weatherization and the cost of removal is above the $863 H&S average per home, state approval is required. If above the $863, the state would consider the savings to the home that would be lost by deferral.

### 6.16 – Radon

**Concurrence, Alternative or Deferral/Referral**

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<tr>
<th>Concurrency with DOE Guidance</th>
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<tbody>
<tr>
<td>Unallowable Measure with DOE Funding</td>
<td>Other Funding Source Addresses H&amp;S Issue</td>
<td>Enter Funding Source</td>
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</table>

**Procedure for radon in dwellings**

- Radon mitigation is not an allowable H&S cost.
- Clients must sign an informed consent form prior to receiving weatherization services. This form must be kept in the client file.
- In homes where radon may be present, work scope should include precautionary measures based on EPA Healthy Indoor Environment Protocols for Home Energy Upgrades, to reduce the possibility of making radon issues worse.
- Whenever site conditions permit, cover exposed dirt floors within the pressure/thermal boundary with 6 mil (or greater) polyethylene sheeting as described in the ND Single Family SWS and Field Guide.
- Other precautions may include, but are not limited to, sealing any observed floor and/or foundation penetrations, including open sump pits, isolating the basement from the conditioned space, and ensuring crawl space venting is installed.

**Testing protocols**

- Testing is not allowed but Sub-grantees may direct clients to the State Health Department which has testing available.

**Documentation requirements**

- Written confirmation that EPA’s A Citizen’s Guide to Radon was received and radon related risks discussed with the client. Page 3 of the attached Health and Safety Inspection and Release Form is the Radon Informed Consent form and contains the required language and sign off for the client.

### 6.17 – Safety Devices: Smoke and Carbon Monoxide Alarms, Fire Extinguishers

**Concurrence, Alternative or Deferral/Referral**

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<thead>
<tr>
<th>Concurrency with DOE Guidance</th>
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<th>Results in Deferral/Referral</th>
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</thead>
<tbody>
<tr>
<td>Unallowable Measure with DOE Funding</td>
<td>Other Funding Source Addresses H&amp;S Issue</td>
<td>Enter Funding Source</td>
</tr>
</tbody>
</table>

**Installation or replacement policy for the following safety devices:**

**Smoke Alarms:** Smoke alarms must be installed where alarms are not present or are inoperable.

**Carbon Monoxide Alarms:** CO alarms must be installed where alarms are not present or are inoperable.

**Fire Extinguishers:** Where solid fuel burning equipment is present, fire extinguishers may be provided as an allowable H&S measure.
### Testing protocols
- Check existing alarms for operation.
- Verify operation of installed alarm

### 6.18 – Ventilation and Indoor Air Quality

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<thead>
<tr>
<th>Concurrence, Alternative or Deferral/Referral</th>
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<tr>
<td><strong>Concurrence with DOE Guidance</strong> ✔️</td>
</tr>
</tbody>
</table>

**Version of American Society of Heating Refrigeration and Air-conditioning Engineers (ASHRAE) 62.2 Implemented**
- Optional: identify Addenda used

- **ASHRAE 62.2 – 2016**
- We have been given a variance on section 6.5.2 to use our duct leakage standards. We also have been given an exception to section 6.4 to use our Worst Case Spillage Test in place of the requirements of this section. We will meet section 6.1 and 6.1.1 by using blower door guided air sealing and infrared cameras. We will notify DOE of any adoptions of addendums to the Standard.

**Procedures for complying with implemented ASHRAE standard**
- Install ventilation as required by ASHRAE 62.2 - 2016.
- If the ASHRAE normative Appendix A is employed and an existing fan is being replaced or upgraded to meet whole-house ventilation requirements, take actions to prevent zonal pressure differences greater than 3 pascals across the closed door, if one exists.
- Use the blower door testing to use the Infiltration Credit.

**Testing protocols**
- Measure fan flow of existing fans and of installed equipment to verify performance.

### 6.19 – Window Repair, Door Repair

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**Window repair and door repair H&S policy**
- Replacement, repair, or installation is not an allowable H&S cost.

### 6.20 – Worker Safety (e.g., OSHA)

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<td><strong>Concurrence with DOE Guidance</strong> ✔️</td>
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**Federal, state and local worker safety requirements policy**
- Workers must follow OSHA standards where required and take precautions to ensure the H&S of themselves and other workers.
- All Subgrantees and contractors must maintain compliance with the current OSHA Hazard Communication Standard, including on-site organized Safety Data Sheets (SDS) (formerly called MSDS).
- Safe work practices are verified during in-progress monitoring, using photo documentation in the file, and client interviews when monitoring.
- Each crew will be visited in the field once per year with no advance notice.
- OSHA confined space rules are followed and the form is attached to this document.
### 7.24 – Infectious Disease Preparedness and Response

**Concurrence, Alternative, or Deferral**

<table>
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**Funding**

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</table>

**Remediation Protocols**

Please see the ND – COVID – Considerations-for- Fieldwork document attached

**Testing Protocols**

n/a

**Client Education**

Please see the ND Client Procedures – 6-15-20 document attached

**Training**

All staff are required to take the COVID-19: Workplace Safety online training from the Energy Smart Academy
OSHA and COVID-19

Recommendations begin with the development or updating of an infectious Disease Preparedness and Response Plan that will help guide protective actions for both workers and clients during epidemics like COVID-19. Recommendations for plan development can be found here. The following recommendations from OSHA and the U.S. Department of Labor should be considered when you begin the transition back to field work after the suspension is lifted.

Grantee Planning: We are updating our Health and Safety plan to include a COVID-19 and other infectious disease deferral condition with a reasonable timeframe (30-120 days) for clients that may be exhibiting symptoms, or exposed to others with an infectious disease, or clients that are concerned for their safety. Include the allowance of additional PPE and other protective measure costs for both crew and client safety. We are requiring online training on PPE proper use and cleaning prior to re-entry into the field. See https://www.energysmartacademy.com/online-courses.html

Prepare to Implement Basic Infection Measures:
• Prohibit handshaking, maintain social distance, at least 6 feet, as often as possible.
• Mandate that sick employees stay home, promote telework options if possible.
• Include routine, daily disinfecting of equipment and tools being used in the field. When choosing cleaning chemicals, consult information in the EPA approved disinfectant labels with claims against viral pathogens. Follow the manufacturer’s instructions for use of all cleaning and disinfection products (e.g., concentration, application method and contact time, PPE).
• Promote frequent handwashing with soap and water for at least 20 seconds. Avoid touching eyes, nose or mouth with unwashed hands.
• Field staff should have temperature taken each day before going out in the field.

Prepare to Implement Changes to Field Work during the transition:
• Training and equipping all field workers with PPE and how to properly use it, remove it and clean it to avoid contamination of self and others. Examples of PPE include gloves, goggles, face shields and masks, N95 filtering respirators.
• Provide sanitary wipes to crews that can be used to clean surfaces in client homes both before and after they are performing work. See the EPA list of disinfectants for use against SARS-CoV-2.
• Ensure all vehicles and crew members are equipped with hand sanitizer with at least 60% alcohol.
• Consider prioritizing the completion of all exterior work first, and then address the interior work in the client home. Remember to practice social distancing.
• Try to reduce the number of crew and clients in the home at the time of interior work, consider asking clients if they would leave the home during the interior work or try to isolate them to one room.
• Consider establishing a policy that crews conducting interior work will wear PPE, this may also help assure clients who are fearful of people entering their home.
• Consider offering face masks to clients to contain respiratory secretions.
• Consider installing a physical barrier, such as a clear sheet of plastic, to isolate a client while interior work is being conducted.
• One driver per vehicle per day, disinfect the drivers controls after use.
• If workers arrive at a site and determine a client is exhibiting respiratory illness, establish a policy that may allow them to defer the home for a period to ensure worker safety.

Create Inventory checklist for field crew
Is there adequate inventory for the following categories before going into the field?
Respirators
N95 face masks
Gloves
Tyvek Suits
Booties
Paper towels
Hand soap
Cleaners
Client education materials
Client face masks
Add these Recommended Screening Questions:

1. Has anyone in the household tested positive for COVID-19? If so, how long ago?
2. Is anyone in your household experiencing fever, cough or shortness of breath in the last two weeks?
3. Has anyone in your household been in contact with someone who has had a fever, cough or shortness of breath in the last two weeks?
4. Consider using the COVID-19 self-screening tool to help determine if clients should be serviced or deferred for a period. Check your risk for COVID-19 - https://c19check.com/start
To All Who We Serve,

All of us here in the North Dakota Weatherization Assistance Program understand this is a challenging and unprecedented time and that everyone has concerns regarding their safety and well-being during this COVID-19 pandemic. Through a collaborative effort between the Department of Energy, the Low Income Home Heating Assistance Program, OSHA, and the CDC we are implementing the policies and practices outlined below to ensure your safety and the safety of our staff and community as we begin to re-open our program and start providing Weatherization services again.

What You Can Expect

- We will call you to schedule a time to come to your home and make sure you are comfortable with us coming. The person who calls will ask you several health-related questions as part of this process related to COVID-19. All this information is kept private and confidential.
- Once you have given us the go ahead to come to your home to provide Energy Efficiency Coaching, Energy Auditing, Weatherization or Quality Control Inspection services (depending on what phase in the weatherization process you are in), we will call you the day we are due to arrive to double check there have been no health related changes in your household that would keep us from coming to your home.
- All our staff are screened daily to make sure they have a normal temperature and have no COVID-19 related symptoms. No one will come to your home that has not been screened that day.
- Before our arrival, all equipment that will be used in your home will be disinfected. All materials to be installed will have been either disinfected and/or quarantined in our warehouse beforehand.
- Any staff entering your home will be wearing an approved mask, gloves and other personal protective equipment as needed.
- While any of our staff are at your home, you will be asked to wear a mask and maintain social distancing to both protect yourself and our staff as per state guidelines. If you are unable to wear a mask due to health reasons, please let us know and we will adjust for this. If you are able to wear a mask but are unwilling to, we will need to postpone our visit until you are either willing to wear one or the State of North Dakota deems they are no longer necessary. If you do not have a mask, we can provide you with one.
- Often there are papers which we will need you to sign during our visit. These will be provided to you in duplicate in a plastic zip lock bag. We will ask you to sign them (preferably with your own pen). One set of copies are for you to keep and the other will be placed back into the bag for return to our office.
- Any surfaces in your home which are touched by any of our staff without gloves will be disinfected before leaving.
Because we are funded by the federal government and we care about everyone’s safety, we are taking the guidelines issued to us for safe operation very seriously. If you have any questions or concerns about our COVID-19 safety procedures, please let us know and we will do our best to address them.

We look forward to serving you and making your home more energy efficient, healthier and comfortable.

Bruce Hagen
Weatherization Program Manager
ND Department of Commerce, Division of Community Services
A visual assessment of your home will include, but is not limited to, mold & moisture, asbestos, wiring problems, occupant health conditions, pests, and other health and safety concerns. The weatherization program may not be able to use funds to take care of these problems but needs to inform the occupants.

☐ There is no mold visibly present at the time of the assessment.
☐ There is mold visibly present at the time of the assessment in the following locations:

Moldy or musty odors are an indicator that there may be hidden mold growth.

| Moldy or Musty Odors | ☐ Are Present | ☐ Are not Present |

**Occupant Health Interview**

☐ No occupant health conditions were observed at time of assessment.
☐ After interviewing the occupants, the following health conditions were noted:

**Other Hazards Identified**

☐ No other hazards identified.
☐ The following other hazards have been identified (see checklist on Page 2):

---

I have received information concerning the possible hazards in my home and I will take steps to reduce and correct any hazards identified. I agree to hold the Weatherization Assistance Program harmless for any future hazards that are not associated with the weatherization work. I have also received a copy of "A Citizen's Guide to Radon."

**Agency Auditor**

| Date |

**Weatherization Client**

| Date |
Any of the following that are checked yes are to be discussed with client. | YES | NO | N/A |
---|---|---|---|
1. Suspected asbestos containing materials present? |   |   |   |
2. Any structurally compromised areas? |   |   |   |
3. Any code issues present? |   |   |   |
4. Are any fuel or gas leaks present? |   |   |   |
5. Are there any issues with gas ovens or stoves? |   |   |   |
6. Are gutters clean and maintained? |   |   |   |
7. Are downspouts and extensions present? |   |   |   |
8. Are there any landscaping issues? |   |   |   |
9. Are there any issues with solid fuel vents? |   |   |   |
10. Does ventilation need to be added? |   |   |   |
11. Does existing ventilation operate correctly? |   |   |   |
12. Are CO and smoke alarms needed? |   |   |   |
13. Are any pests present? |   |   |   |
14. Any electrical or plumbing problems present? |   |   |   |
15. Any issues with the heating system? |   |   |   |
16. Any issues with the water heater? |   |   |   |
17. Any biologicals or sanitation issues? |   |   |   |
18. Any VOC’s or other air pollutants present? |   |   |   |
19. Are there any hazardous materials to be disposed of? |   |   |   |
20. Is lead-based paint present that will be disturbed? |   |   |   |
21. Are there any issues present that will cause deferral? |   |   |   |

Any other issues identified or other comments for documentation? |   |   |   |

COVID-19 Interview Questions – Questions should be asked daily. | YES | NO |
---|---|---|
1. Has anyone in the household tested positive for COVID-19? When? |   |   |
2. Has anyone in your household experienced fever, cough or shortness of breath in the past 14 days? |   |   |
3. Has anyone in your household been in contact with someone who has had fever, cough or shortness of breath in the past 14 days? |   |   |
4. In the past 14 days have you been on a commercial flight or traveled outside the country? |   |   |
5. Is anyone in the household currently waiting for results of a COVID test? |   |   |
Radon Informed Consent Language

Weatherization achieves energy and cost savings and improved comfort, health and safety of homes through a variety of home retrofit measures, including some which improve the airtightness of the building. According to the Department of Energy (DOE) sponsored study, "Weatherization and Indoor Air Quality: Measured Impacts in Single-family Homes under the Weatherization Assistance Program," there is a small risk of increased radon levels in homes when the building air tightness levels are improved. These increases are smaller in manufactured housing everywhere, and all homes in low-radon potential counties, and higher in site built homes in high-radon-potential counties. There is some evidence that the installation of continuous mechanical ventilation reduces radon levels in homes, and counteracts any radon increases that are due to improved building air tightness levels.

Zones 1 and 2 Only:
Precautionary Measures: Since your house is in a county identified as having moderate-to-high potential radon levels\(^1\), precautionary measures indicated below will be installed as part of weatherization:

- Exposed dirt floors covered and sealed where accessible
- Floor/foundation penetrations sealed
- Open sump pit capped
- Exhaust ventilation installed
- Other: ____________________________

I am aware that weatherization may result in increased levels of radon, and that mechanical ventilation may counteract those increases. I have received the Environmental Protection Agency’s (EPA’s) “A Citizen’s Guide to Radon,” and radon-related risks were discussed. I have chosen to go forward with weatherization and accept all risks of injury or damages.

I have carefully read this informed consent form and have signed it of my own free will.

<table>
<thead>
<tr>
<th>Printed Client Name</th>
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<tbody>
<tr>
<td>Client Signature</td>
<td>Date</td>
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</tbody>
</table>

\(^1\) Defined as counties with predicted indoor radon screening levels at or above 2 pico Curies per liter of air (pCi/L). Link to EPA interactive zonal radon map: [https://www.epa.gov/radon/find-information-about-local-radon-zones-and-state-contact-information#radonmap](https://www.epa.gov/radon/find-information-about-local-radon-zones-and-state-contact-information#radonmap)
This form may be used by firms to document compliance with the requirements of the Federal Lead-Based Paint Renovation, Repair, and Painting Program after April 2010.

## PAMPHLET RECEIPT

### Occupant Confirmation

<table>
<thead>
<tr>
<th>□</th>
<th>I have received a copy of the lead hazard information pamphlet informing me of the potential risk of the lead hazard exposure from renovation activity to be performed in my dwelling unit. I received this pamphlet before the work began.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Printed Name of Owner-Occupant</td>
<td>Date</td>
</tr>
<tr>
<td>Signature of Owner-Occupant</td>
<td>Date</td>
</tr>
</tbody>
</table>

### Renovator’s Self Certification Option (for tenant-occupied dwellings only)

**Instructions to Renovator:** If the lead hazard information pamphlet was delivered but a tenant signature was not obtainable, you may check the appropriate box below.

- **Declined** – I certify that I have made a good faith effort to deliver the lead hazard information pamphlet to the rental dwelling unit listed below at the date and time indicated and that the occupant declined to sign the confirmation of receipt. I further certify that I have left a copy of the pamphlet at the unit with the occupant.

- **Unavailable for Signature** – I certify that I have made a good faith effort to deliver the lead hazard information pamphlet to the rental dwelling unit listed below at the date and time indicated and that the occupant was unavailable to sign the confirmation of receipt. I further certify that I have left a copy of the pamphlet at the unit by sliding it under the door or by (fill in how the pamphlet was left):

| Printed Name of Person Certifying Delivery | Attempted Delivery Date |
| Signature of Person Certifying Lead Pamphlet Delivery | Date |

**Unit Address** | **City** | **State** | **ZIP Code**

---

**Note Regarding Mailing Option** – As an alternative to delivery in person, you may mail the lead hazard information pamphlet to the owner and/or tenant. Pamphlet must be mailed at least 7 days before renovation. Mailing must be documented by a certificate of mailing from the post office.
Waiver of Liability Relating to Coronavirus/COVID-19

The novel coronavirus, COVID-19, has been declared a worldwide pandemic by the World Health Organization. COVID-19 is reported to be extremely contagious. The state of medical knowledge is evolving, but the virus is believed to spread from person-to-person contact and/or by contact with contaminated surfaces and objects, and even possibly in the air. People reportedly can be infected and show no symptoms and therefore spread the disease. The exact methods of spread and contraction are being researched, and there is no known treatment, cure, or vaccine for COVID-19.

Evidence has shown that COVID-19 can cause serious and potentially life-threatening illness and even death. (Local agency) cannot prevent you or the members of the household from becoming exposed to, contracting, or spreading COVID-19 while utilizing (Local agency) services on your premises. It is not possible to entirely prevent against the presence of the disease. Therefore, if you choose to utilize (Local agency) services and/or allow RRVCA to enter onto your premises you may be exposing yourself to and/or increasing your risk of contracting or spreading COVID-19.

ASSUMPTION OF RISK: I have read and understood the above warning concerning COVID-19. I hereby choose to accept the risk of contracting COVID-19 for myself and my household in order to utilize RRVCA’s services and allow (Local agency) to enter my premises. These services are of such value to me and my household that I accept the risk of being exposed to, contracting, and/or spreading COVID-19 in order to utilize (Local agency) services and allow it to enter my premises in person.

WAIVER OF LAWSUIT/LIABILITY: I hereby forever release and waive my right to bring suit against (Local agency) and its officers, directors, managers, officials, trustees, agents, employees, or other representatives in connection with exposure, infection, and/or spread of COVID-19 related to utilizing (Local agency) services on my premises. I understand that this waiver means I give up my right to bring any claims including for personal injuries, death, disease or property losses, or any other loss, including but not limited to claims of negligence, and give up any claim I may have to seek damages, whether known or unknown, foreseen or unforeseen.

CHOICE OF LAW: I understand and agree that the law of the State of North Dakota will apply to this contract.

I HAVE CAREFULLY READ AND FULLY UNDERSTAND ALL PROVISIONS OF THIS RELEASE, AND FREELY AND KNOWINGLY ASSUME THE RISK AND WAIVE MY RIGHTS CONCERNING LIABILITY AS DESCRIBED ABOVE:

____________________  ____________________
Name (printed):        Signature

____________________
Date:
ND Department of Commerce
Competent Person Confined Space Evaluation Sheet / Entry sheet sign in

WX #____________  Date:  ____________
Address

Description of Confined Space: (select all that apply)
* Attic Ventilate space as needed
* Crawl Open all crawl vents before entering
* MH Crawlspace Open skirting in two locations to enter

1 Are activities being conducted that would require a Confine Space Permit?
   IF YES STOP TAKE ACTION TO DEPERMIT SPACE

2 Structural supports and framing sound within the space?

3 Combustion appliance present in confined space:
   Detail type and condition:

4 Are there flue pipes in the confined space?
   Clearance to combustables correct?

5 Are fuel lines in the space?
   Oil leaks present
   Gas line test is negative?

6 Do all plumbing drain/vents and connections appear secure/sound and leak free?
   Hazards related to plumbing?

7 Any electrical hazards

8 List all observed general hazards:
   Nails protruding from decking or boards
   Animal waste
   Mold and mildew
   Pooled water or damp areas
   Insects or pest infestation
   Excessive Debris
   Sewer leak
   Other ?

9 Air monitoring recording as needed in table below:

   Oxygen     Min. 19.5%      Max. 23.5%
   Methane    Max 10% LEL
   Hydrogen Sulfide Max 10 PPM
   Carbon Monoxide Max 35 PPM

Is this space considered a Permit-Space?
(Defer work until corrected)
Can work proceed in De-Permit Space?

Signature:  ___________________________  Date:  ____________

Comments:  __________________________________________

1st Day

<table>
<thead>
<tr>
<th>Zone</th>
<th>1st Day</th>
<th>2nd Day</th>
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<td>Carbon Monoxide</td>
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2nd Day

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<td>Carbon Monoxide</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

YES  NO  YES  NO

Can work proceed in De-Permit Space?

Signature:  ___________________________  Date:  ____________