

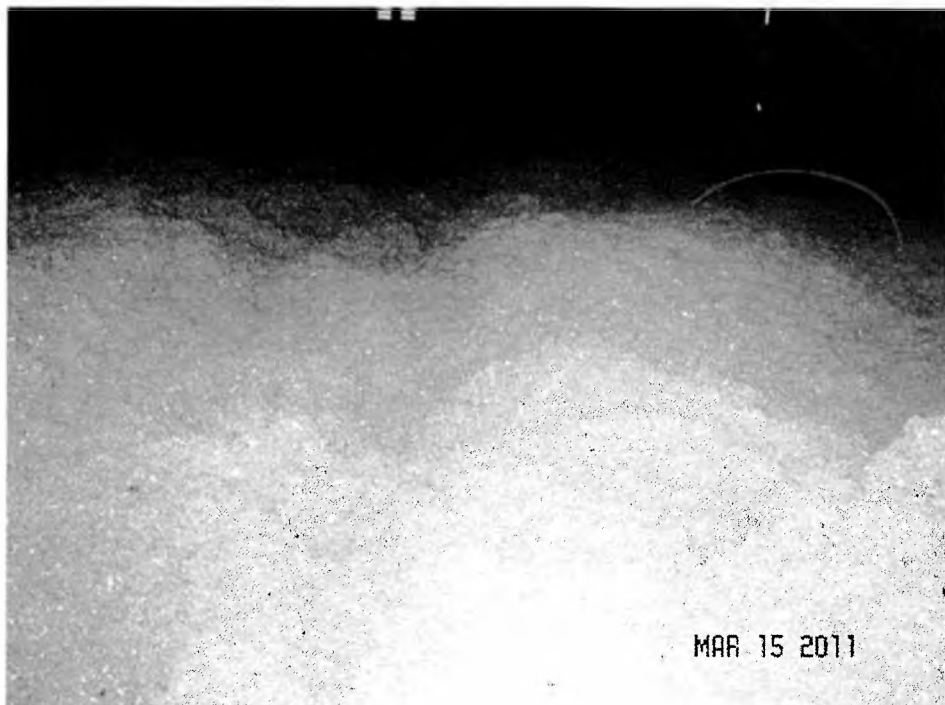
Issac Salters

MAR 15 2011





Issac Salters





27. Alonzo Scipio, 1107 North Irby St., Florence – Florence County



1. Blower Door – Complete any additional air sealing with blower door running. Record information on new sheet.
2. Duct Testing – Complete any additional air sealing with blower door running. Record information on new sheet.
3. Complete Manual J – Verify that installed unit matches Manual J.
4. New furnace - \$4,000 – paper work not in file. Incorrect total reported to OEO for \$4,566.86. Should have been \$8,566.86.
5. Evenly spread cellulose insulation to achieve 11" thickness.
6. Safely hide exposed wires on top of hot water heater.

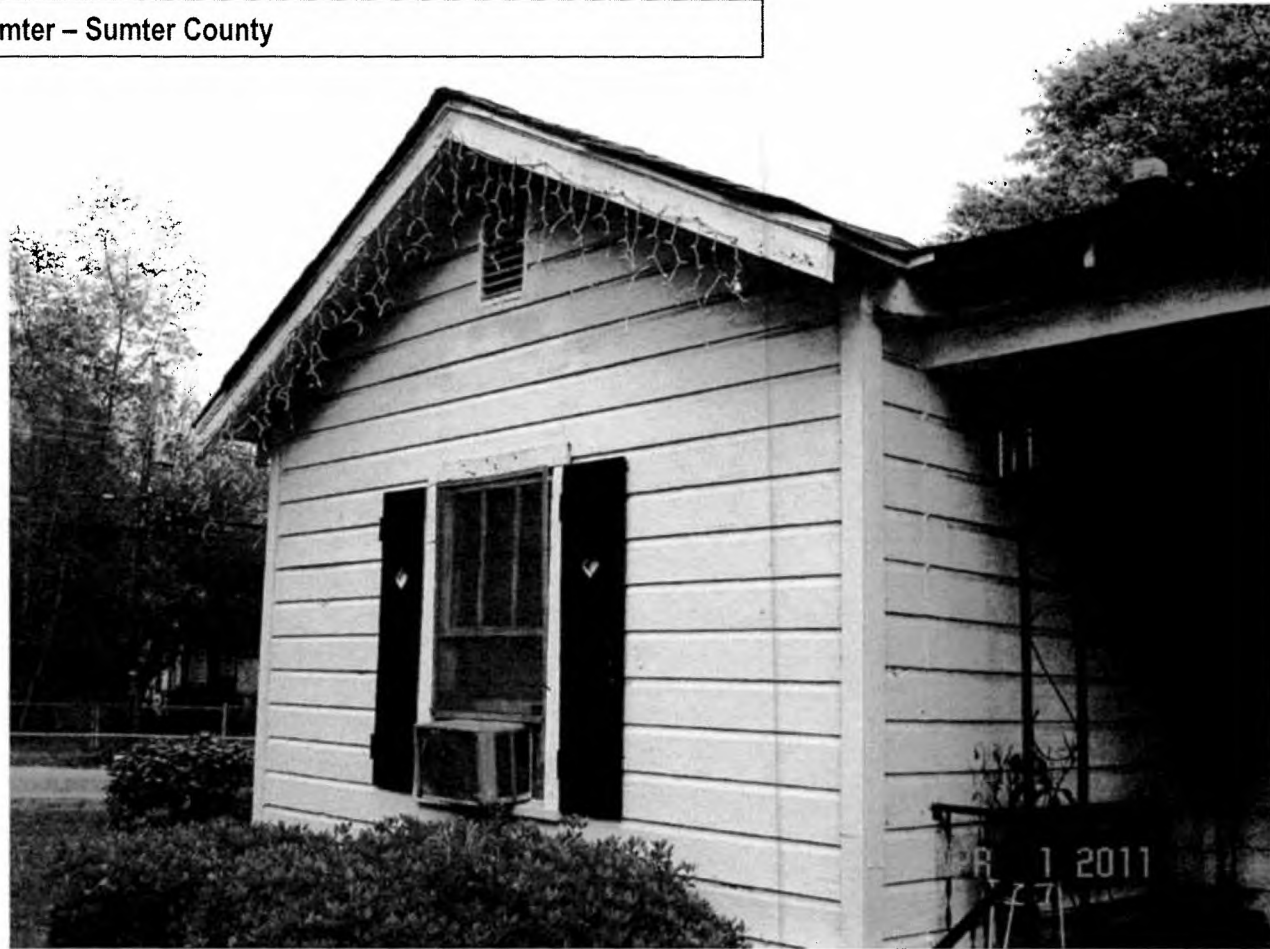
28. Oliver Severance, 1108 Sonnet Dr., Manning – Clarendon County



1. A window (10 x 32) was purchased/installed – not showing on invoice.
2. Remove unvented space heater.
3. Install 2 smoke detectors.
4. Seal around window a/c.



29. Betty Smalls, 149 Milton Rd., Sumter – Sumter County



1. Blower Door – Complete any additional air sealing with blower door running. Record information on new sheet.
2. Client was informed that a new combustion appliance would be provided to replace her unvented space heater. No heater was provided. Determine the proper size of vented space heater by having the HVAC contractor complete a Manual J.
3. Air seal around window air conditioner

Betty Smalls

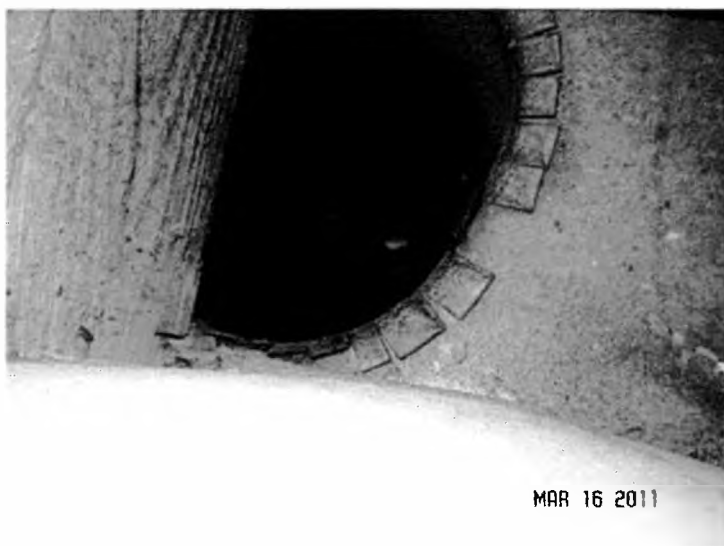


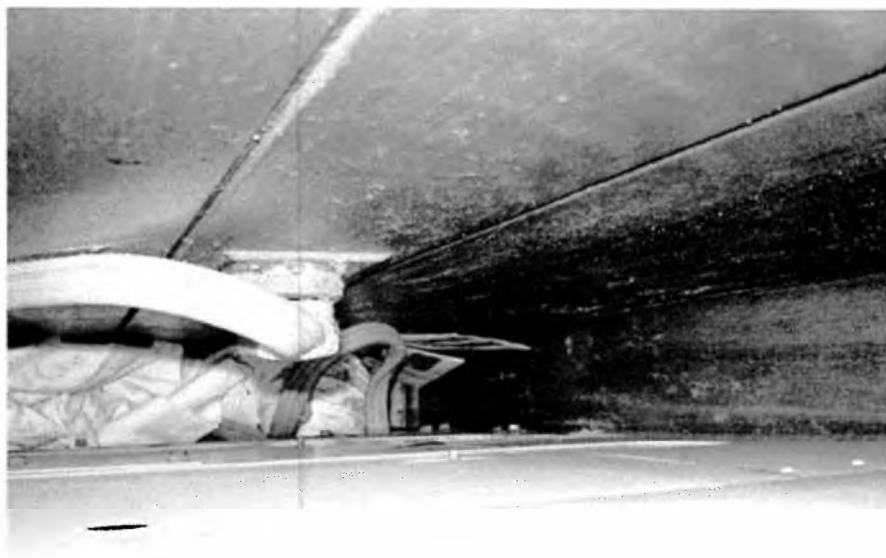
30. Fannie Smoot, 2416 Alligator Rd., Effingham – Florence County



1. Blower Door – Complete any additional air sealing with blower door running. Record information on new sheet.
2. Duct Testing – Complete any additional air sealing with blower door running. Record information on new sheet.
3. Complete Diagnostic Testing – CAZ
4. Assessment Booklets need to be completed.
5. Insulate top of water heater.
6. Insulate first 5 feet of plumbing (hot/cold) pipes from water heater.
7. Remove Gorilla brand tape from all registers and seal with Mastic or with Mastic tape.
8. Investigate the fireplace – was not drafting properly at the time of our inspection (smoke was filling the room)
9. Replace vinyl dryer vent pipe with rigid pipe and exit to outside of dwelling.
10. Extend pop-off vent pipe to at least 6" above grade.
11. Install Insulation Information Card (correct information).
12. Attic Stairway – Install ½" OSB for the lid and install a handle to lift the lid. Weatherstrip on top of box and attach batt insulation on top of lid.
13. Replace foil tape with mastic tape.

Fannie Smoot





MAR 16 2011



Fannie Smoot





31. Lurena Warren, 910 West Chestnut St., Camden – Kershaw County



1. Blower Door – Complete any additional air sealing with blower door running. Record information on new sheet.
2. Duct Testing – Complete any additional air sealing with blower door running. Record information on new sheet.
3. Evenly spread cellulose insulation in attic.
4. Replace insulation information card with a new one that accurately reports the amount of insulation installed.
5. Remove insulation from hot water heater.

Lurena Warren

INSULATION INFORMATION CARD

1

THE INSTALLER CERTIFIES THAT CELLULOSE FIBER
LOW DENSITY INSULATION HAS BEEN
INSTALLED ACCORDING TO FEDERAL REGULATIONS
IN THE FOLLOWING AREAS:

IN THE ATTIC FLOOR AREA AN R VALUE
OF _____ USING 12 BATT AT A THICKNESS
OF _____ INCHES COVERING _____ TOTAL
SQUARE FEET

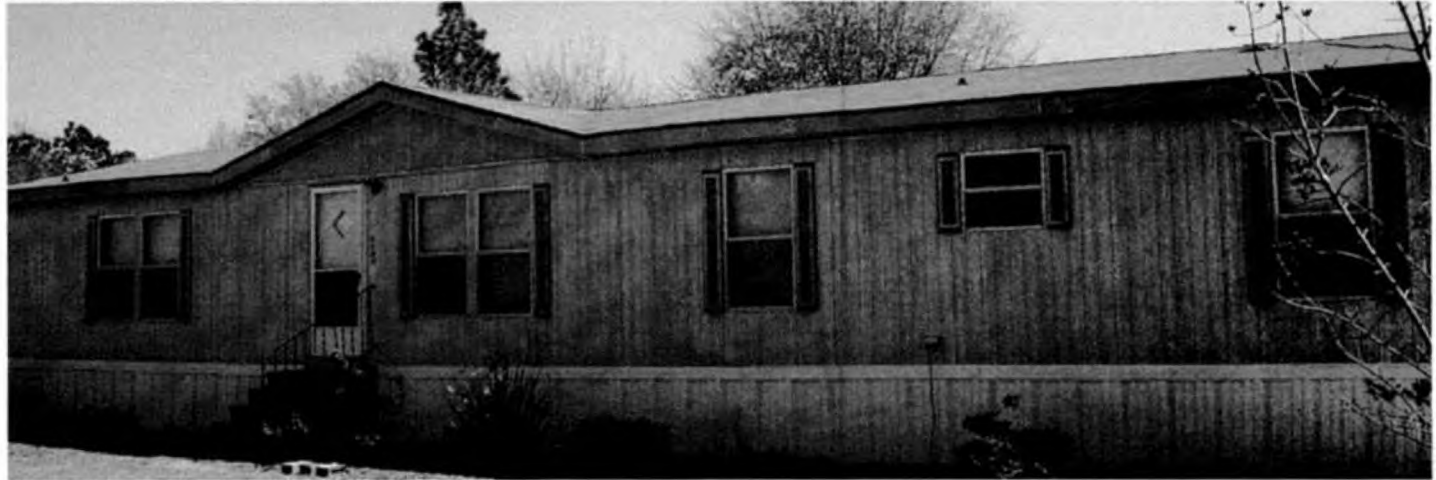
SIGNER: Lurena Warren

AGENCY'S NAME: Lurena Warren

DATE: 11-1-10



32. Melvin Weaver, 8064 Pages Ct., Gresham – Marion County



1. Blower Door Test
2. Duct Test – Repair crossover duct that is down.
3. Insulate/Repair Belly
4. Insulate roof cavity – Investigate since there are cathedral ceilings.
5. Fix front door w/s to enable door to seal properly.
6. Install rigid dryer vent pipe and exit to outside. (Remove concrete blocks around vent).
7. Install vapor barrier at contractor's expense (was charged).

Melvin Weaver



33. Mamie Wilson, 27 Walsh Grovel, Sumter – Sumter County



1. Blower Door – Complete any additional air sealing with blower door running. Record information on new sheet.
2. Remove unvented space heater in hallway.
3. Install a switch plate.

1. Susie Abraham, 6401 Old River Rd., Florence – Florence County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Repair and Insulate belly with blown fiberglass and Belly Board (Outward Clinch Staple Gun made by Bostich). (not pictured)
- 4) Remove insulation around brick chimney in attic and build a dam.
- 5) Insulate/weather strip attic stairway.
- 6) Replace vinyl vent pipe for dryer with rigid and exit to outside.
- 7) Evenly spread cellulose insulation in attic.
- 8) Verify 60 bags verses the 30 bags that is written on the Insulation Information Card.
- 9) Install Chimney liner if needed.
- 10) Contractor to pay back cost for 6 slant-back roof vents.
- 11) Install pop-off to outside.
- 12) Insulate hot water heater.
- 13) Seal the ducts with Mastic. Remove tape from the perimeter.

Wateree's Response

1	Blower Door	-50.0 pa. 2598 per Mark Christman (inspector)
2	Duct Testing	All tested below 1.0 pa.
3	Insulate Belly	Site built
4	Remove Insulation	Removed/Dam built
5	Attic Stairway	Insulated and weather stripped
6	Dryer Vent Pipe	Rigid installed and vented to outside
7	Attic Insulation	Insulated
8	Insulation Info Card	Complete
9	Chimney Liner	Did not need
10	Contractor Reimbursement	Refunded on Mary McDaniel's invoice
11	Hot Water Heater – Pop-off valve	Complete
12	Hot Water Heater – Insulation	Complete
13	Duct Sealing	All ducts were sealed below 1.0 pa.

2. Charlene Davis, 408 Oakview Dr., Lugoff – Kershaw County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Provide a breakdown of materials/labor for weatherization and for Housing Trust Funds
- 4) Insulate the roof cavity.
- 5) Insulate the belly.
- 6) Vacuum out all debris in ducts.
- 7) Replace damaged dryer vent pipe.
- 8) Provide a copy of a Manual J to assure that installed unit was sized correctly.
- 9) New registers were purchased. Verify that the registers are new and are safely secured to the floor.
- 10) Charlene Davis was reported twice in PY 2010 – 7/1/10 and 9/1/10. Send to OEO an amended Recap Report.

Wateree's Response

1	Blower Door	-50 pa 1961 cfm per	1880 cfm per Roger Hudson
2	Duct Testing	All tested below 1.0 pa (.5-.8)	

3	Materials/Labor invoice	Invoice correction complete
4	Insulate Roof	complete
5	Insulate Belly	complete
6	Vacuum Ducts	complete
7	Replace Dryer Vent Pipe	Complete
8	Provide a copy of Manual J	Unit installed with State Housing Funds (didn't require Manual J)
9	Verify new Registers were safely secured	complete
10	Send Amended Recap Report to OEO	complete

3. **Carolyn Evans, 2050 Old Creek Rd., Florence – Florence County**

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Repair and Insulate belly with blown fiberglass and Belly Board (Outward Clinch Staple Gun made by Bostich).
- 4) Contractor to install at his expense one window (36 x 54).
- 5) Replace dryer (vinyl) vent hose with rigid flexible and vent to the outside.
- 6) Install blown fiberglass in roof cavity.

Waterree's Response

1	Blower Door	-50.3 pa 2953 cfm per Mark Christman (inspector)
2	Duct Testing	All tested below 1.0 pa
3	Repair & Insulate Belly	Belly insulated and repaired w/ stich staples
4	Install 36x54 window	Window installed
5	Replace dryer vent hose	Vented to outside w/ correct pipe (rigid)
6	Install blown fiberglass in roof	Could not insulate due to A-Frame built on top of mobile home roof

4. **John Gregg, 4502 Francis Marion, Florence – Florence County**

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Have HVAC professional return to dwelling to fix problem with furnace – Heater will not turn on and the air conditioner will not turn off.
- 4) HVAC professional to clean A-Coil.
- 5) Insulate roof cavity.
- 6) Do not insulate belly (open sewer).

Waterree's Response

1	Blower Door	-50.1 pa A-Ring 1588 per Mark Christman (inspector)
2	Duct Testing	Ducts tested 1.6-4.6 per Mr. Christman Could not address due to live sewer in crawl
3	Fix problem with furnace	Per HVAC Tech (Jacks MH) unit is beyond repair. Suggest new unit
4	Clean A- Coil	Cleaned A-Coil
5	Insulate Roof	Complete
6	Do not insulate belly	N/A

5. **Mandell Hines, 3007 North Old River Rd., Florence – Florence County**

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Replace single wall vent pipe with double wall vent pipe for new heater.
- 3) Complete Manual J.
- 4) Replace inside dryer vent lint trap with rigid vent pipe and exit to outside of home.

- 5) Seal around all window a/c and clean filters. Install a/c foams for all.
- 6) Evenly spread cellulose insulation in attic.
- 7) Build a dam in the attic around space heater vent pipe.
- 8) Insulate hot water heater and vent out pop-off to outside of home.
- 9) Weatherstrip door (closet leading from kitchen).
- 10) Investigate possibility of installing cellulose insulation in empty cavity in kitchen (add-on room).
- 11) Verify that new vent pipe for heater meets code

Wateree's Response

1	Blower Door	-50 pa 3382 cfm Per OJ Remolding NOTE: Our office made several attempts to
2	Install double wall vent pipe	contact homeowner but was unsuccessful. Per Mr. OJ all repairs were made as
3	Complete Manual J	Noted.
4	Replace dryer vent lint trap	
5	Installed a/c foams & sealed windows	
6	Insulate Attic	
7	Build a dam in attic	
8	Insulate HWH	
9	Weather-strip door	
10	Investigate Cellulose insulation	
11	Heater vent pipe meets code	

6. Ester James, 1190 Barberry St., Summerton – Clarendon County

- 1) Verify the CO level for the gas stove for each burner and oven.
- 2) New Empire vented heater - Not installed according to manufacturer instructions. Vent pipe must be installed by a qualified person. Re-do installation to correct clearances. Install a floor pan under the heater.

Wateree's Response

1	Verify CO level for gas stove	Burner Cleaned but homeowner wouldn't allow Mr. Christman to complete test
2	Installed new empire heater correctly	Per J&R Heating, all clearances were meet per code (no other solutions). Floor pan installed.

7. Mary James, 5092 Old River Rd., Pinewood – Clarendon County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) New vented natural gas heater installed. Verify that the vent pipe is installed according to code.
- 3) Replace 2 x 4 under wood stove with bricks or concrete blocks.
- 4) Remove unvented space heater from dwelling.
- 5) Remove insulation from hot water heater. (Poor installation by contractor).
- 6) Install pop-off to outside for hot water heater.
- 7) Install a cover plate on junction box next to hot water heater.
- 8) Verify that the taped wiring splice is safely secured.
- 9) Air seal around window a/c.

Wateree's Response

1	Blower Door	-50 pa 2598 CFM per
2	Vent pipe installed according to code	Proper clearance horizontally 3' but missing 4" vertically – 20" should be 24"???
3	Replace 2x4	Replaced with brick
4	Remove space heater	Space heater in bathroom, client refused to remove (See signed copy)
5	Remove insulation	Insulation removed
6	Install pop-off to outside	Vented to exterior
7	Install cover plate	Complete
8	Taped wiring splice secured safely	Complete

9	Air seal a/c window	Caulked and sealed A/C
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8. Louise Jennings, 2700 Rembert Church Rd., Dalzell – Lee County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Seal fireplace.
- 4) Vacuum ducts.
- 5) Install pan under hot water heater.
- 6) Repair hole in ceiling.
- 7) Seal around window air conditioners (2). Clean air filters.
- 8) Re-attach dryer vent pipe to outside.
- 9) Repair belly where insulation is falling through.
- 10) Replace vinyl dryer vent pipe with metal vent pipe.
- 11) Verify that hot water heater pop-off vent pipe exits to outside.

Wateree's Response

1	Blower Door	-50 pa 2261 cfm per
2	Duct Testing	All ducts below 1.0 pa (0.1 -0.3)
3	Seal Fireplace	Fireplace has damper
4	Vacuum Ducts	complete
5	Install HWH pan	complete
6	Repair hole in ceiling	complete
7	Seal windows & clean filters	complete
8	Dryer vent pipe	complete
9	Repair Belly	complete
10	Replace dryer vent pipe	complete
11	Pop-off vent to outside	complete

9. Willie Mae Johnson, 98010 Raccoon Rd., Manning – Clarendon County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Vacuum out all debris in vents.
- 4) Clean the A-Coil.
- 5) Repair side door to eliminate crack between door knob and deadbolt.

Wateree's Response

1	Blower Door	-50.1 pa. 2122 CFM per
2	Duct Testing	.4 -.9 pa.
3	Vacuum vents	Complete
4	Clean –A Coil	Complete
5	Repair side door	Complete

***10. Ruby Knight, 1896 Koon Rd., Lugoff – Kershaw County (3:30)**

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Replace sloppy installation of insulation around hot water heater.

- 4) Replace attic insulation card with a new card that provides accurate information.
- 5) Evenly spread the cellulose insulation in the attic.
- 6) Assure that proper blocking is done in attic.

Wateree's Response

1	Blower Door	-50 pa 2597 cfm per
2	Duct Testing	No duct system
3	Replace insulation/ hot water heater	complete
4	Insulation Info Card	complete
5	Cellulose Insulation	complete
6	Blocking in attic	complete

11. Ethel Leaf, 1670 Boulevard Rd., Sumter – Sumter County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Evenly spread cellulose insulation in attic.
- 3) Replace insulation information card with a new one that accurately reports the installed insulation.
- 4) Verify that hot water heater pop-off pipe exits to outside.
- 5) Repair large crack in outside wall to prevent water from entering the dwelling.
- 6) Correct floor problem. May need to replace floor joist.
- 7) Safely secure exposed electrical wire outside of dwelling.

Wateree's Response

1	Blower Door	-50 pa. 3800 cfm Per Roger Hudson/Robert Turner (inspector)
2	Cellulose Insulation	complete
3	Insulation Info Card	complete
4	Pop-off pipe to outside	complete
5	Repair crack in wall	complete
6	Correct floor problem	complete
7	Electrical wire secured	complete

12. Eariden Lewis, 314 Dickson Heights, Marion – Marion County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Spread cellulose insulation evenly to achieve 11" depth.
- 4) Contractor pays back the cost for one attic stairway.
- 5) Attic Stairway - Insulate top of lid and weatherstrip.
- 6) Investigate possible plumbing vent pipe in attic that appears to be disconnected.
- 7) Replace dryer (vinyl) vent hose with rigid flexible and vent to the outside.

Wateree's Response

1	Blower Door	-50 pa 2619 cfm per Mark Christman (inspector)
2	Duct Testing	No ducts (wall furnace)
3	Cellulose Insulation to 11"	Insulation leveled
4	Reimbursement for attic stairway	complete
5	Insulate & weather-strip attic stairway	complete
6	Checked plumbing vent pipe in attic	Complete (look ok)
7	Replace dryer vent hose	complete

13. Bobbie McCormick, 107 East Pickens St., Marion – Marion County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet. All registers, boots sealed with Mastic and vacuum inside ducts.
- 3) Contractor to pay back cost of the one bundle of mineral siding (asbestos siding) and associated materials (nails).
- 4) Attic Stairway – Install ½" OSB for the lid w/handle. Weatherstrip on top of box and attach batt insulation on top of lid.
- 5) Seal fireplace opening.

Wateree's Response

1	Blower Door	Did not re-visit, client unavailable on four (4) attempts. Per Mr. OJ, all repairs
2	Duct Testing	Were complete as noted
3	Reimbursement of siding & materials	
4	Attic Stairway	
5	Seal fireplace	

14. Rosa McCutcheon, 1855 North Old Georgetown Rd., Scranton – Florence County

1. Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
2. Seal around window a/c.
3. Clean the A-Coil.
4. Repair front door to eliminate crack between door knob and deadbolt.
5. New vented heater not installed correctly. Re-do installation to correct clearances around unit and in the attic. Install a floor pan under the heater.
6. Remove existing unvented heater.
7. Floor under the hot water heater was repaired. Install a pan under the hot water heater. Verify that the hot water heater is not leaking.

Wateree's Response

1	Blower Door	Client unavailable after several attempts. Contractor stated all corrections were
2	Seal around window a/c	Complete as noted. Mark Christman went to home several times w/o any success.
3	Clean A-Coil	
4	Repair front door	
5	Vented Heater	
6	Removed unvented heater	
7	Hot Water Heater floor repair & leakage	Client replaced w/h and did not want contractor to move to install pan.(client signed statement)

15. Mary McDaniels, 411 East Marlboro St., Florence – Florence County

- 1) High cost for roofing coil nails – 38 boxes - \$1,292 – Contractor to refund amount not used.
- 2) Vent pop-off to outside.
- 3) Insulate/weatherstrip attic hatch.
- 4) New roof covered up plumbing vent pipes – Contractor to vent above roof line.
- 5) Perform CAZ on gas hot water heater in closet.
- 6) Remove aluminum duct tape in registers and install mastic.
- 7) Check distance from gas hot water heater or heater exhaust pipe from attic vents. Correct problem as needed.
- 8) Verify range hood exhaust working properly.
- 9) Install a Firestop spacer where the gas hot water heater vent pipe passes through the ceiling.

Wateree's Response

1	Reimbursement of un-used nails	\$1601.54 Refund received from Elliott Gin & Lumber Co. Inc. of Florence
2	Vent pop-off	Vented to outside 2" above grade Mark Christman (inspector)
3	Insulate/weather-strip attic	Attic insulated and weather stripped
4	Contractor to vent roof line	Contractor vented out using a Mobile Home roof vent cap
5	Perform CAZ	CAZ test completed Flue-14ppm, Flue Air Free-21ppm, Stack Temp-423, O2-6.9%, EF-82.5%
6	Install Mastic in registers	complete
7	Correct problem w/gas HWH	Distance of gas vent is adequate
8	Range hood exhaust	Exhaust working correctly
9	Install Firestop spacer	Spacer installed at ceiling

16. Mary Miles, 2060 McAllister Mill Rd., Scranton – Florence County

- 1) Blower Door Test
- 2) Duct leakage Test. Mastic all registers and vacuum out trash/debris.
- 3) Insulate/Seal/weatherstrip attic stairway. Remove insulation batt in attic stairway.
- 4) Seal off old register above chair in den.
- 5) Replace filter in return behind TV. (not pictured)
- 6) Remove and dispose properly the paint chips lying on the ground.
- 7) Seal cracks around area where unvented space heater (not working) is located.
- 8) HVAC professional to examine unit in outdoor closet. (not pictured)
- 9) Temporary seal fireplace.

Wateree's Response

1	Blower Door	-50.5 pa 4262 per Mark Christman (inspector)
2	Duct Testing	Ducts 1.2 pa.-1.4 pa.
3	Attic Stairway	Insulated and weather stripped
4	Seal off register in den	Register Sealed
5	Replace filter in return	Filter replaced
6	Remove & Dispose paint chips	Paint chips removed
7	Seal cracks	Sealed around heater
8	Examined unit in closet	HVAC checked
9	Temporary seal fireplace	Balloon installed

17. Genevieve Montgomery, 185 Brown St., Lake City – Florence County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Seal around all air conditioner window units. Install ½" plywood and caulk on both sides of A/C.
- 4) Clean a/c filters.
- 5) Insulate hot water heater in outside closet.
- 6) Contractor to pay for one slantback roof vent. 6 purchased 5 on house.
- 7) Insulate and weatherstrip attic stairway.
- 8) Pay back for 13 pieces of primed 1 x 4 x 16 lumber.
- 9) Run pop-off from hot water heater to outside (if needed).
- 10) Spread cellulose insulation evenly to achieve 11" depth.

Wateree's Response

1	Blower Door	-50.2 pa. A-Ring 2263 CFM per Mark Christman (inspector)
2	Duct Testing	No Ducts
3	Seal around a/c units & install plywood	Sealed and plywood installed
4	Clean a/c filters	Filters cleaned

5	Insulate how water heater	Water heater insulated
6	Contractor reimbursement	Contractor installed vent
7	Insulate & weather-strip attic stairway	Stairway insulated w/o weather strip
8	Contractor reimbursement	Refund included in refund for Mary McDaniel's of \$1601.54
9	Hot Water Pop-off	Pop off to outside
10	Cellulose insulation to 11" depth	11 inches achieved

18. Janie Moore, 5490 Mayrant Rd., Sumter – Sumter County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Vacuum out all debris in vents.
- 4) Clean the A-Coil.

Waterer's Response

1	Blower Door	-50 pa 1800 cfm Per Roger Hudson/Robert Turner (inspector)
2	Duct Testing	All ducts below 1.0 pa
3	Vacuum vents	Complete
4	Clean A-Coil	Complete

19. Geromia Morris, 1067 Peacock St., Manning – Clarendon County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Remove insulation from hot water heater (poor installation by contractor).
- 4) Repair torn bathroom exhaust pipe in attic and exit through the roof.
- 5) Provide client with air filters.
- 6) Correct materials installed. Invoice indicates that 2 roof vents were purchased. A total of 4 roof vents were installed.

Waterer's Response

1	Blower Door	-50.2 1963 CFM per
2	Duct Testing	All 1.0-1.1 pa.
3	Remove insulation from HWH	Insulation removed
4	Repair bathroom pipe	Pipe vented to exterior
5	Provide Air Filters	Filter provided
6	Correct materials installed/ roof vents	Four (4) roof vents installed

X 20. Addie Moses, 3000 Cabbage Rd., Sumter – Sumter County 12:00

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Vacuum out all debris in ducts. Apply mastic where air leaks are evident.
- 4) Replace damaged dryer vent pipe in the crawl space and exit to the outside.
- 5) Re-locate the CO detector from behind the sofa to another area in the dwelling.

- 6) Repair leaking hot/cold water at connection to the hot water heater.

Wateree's Response

1	Blower Door	-50 pa 2290 cfm per Roger Hudson/Robert Turner (inspector)
2	Duct Testing	All ducts 1.1 and below
3	Vacuum ducts/mastic air leaks	complete
4	Dryer Vent Pipe	complete
5	Re-locate CO Detector	complete
6	Repair leakage/HWH	complete

Dryer Vent is old Linb with connection installed inside Pipe

21. Elnora Palmer, 475 Ballfield Rd., Pinewood – Clarendon

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Vacuum out all debris in vents.
- 4) Return the cost of the 50 yard tape measure that was purchased.
- 5) Install pop-off drain pipe to the outside.
- 6) Safely secure sharp metal object on top of hot water heater.
- 7) Provide 12 air filters to client.

Wateree's Response

1	Blower Door	-47.7 pa 2598 CFM per
2	Duct Testing	All ducts are .5 -1.4 pa.
3	Vacuum vents	Complete
4	Contractor Reimbursement	Tape measure was not purchased (50 ft of
5	Pop-Off drain pipe	Complete
6	Secure sharp objects on HWH	Objects removed
7	Air Filters to client	Filters given to client

X 22. Betty Peterson, 203 East Moore St., Sumter – Sumter County 10:30

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Complete Manual J – Verify that installed unit matches Manual J.
- 4) Evenly spread cellulose insulation to achieve 11" thickness.
- 5) Replace crushed dryer vent pipe.

Wateree's Response

1	Blower Door	-50 pa 2700 cfm per Roger Hudson/Robert Turner (inspector)
2	Duct Testing	All ducts below 1.0 pa
3	Complete Manual J	complete
4	Spread cellulose insulation to 11"	complete
5	Replace dryer vent pipe	complete <i>No to exterior</i>

23. Samuel Rabon, Jr., 429 Guyton Ct., Mullins – Marion County

- 1) Conduct Blower Door testing.
- 2) Conduct Duct Testing.
- 3) Install floor pan under new installed vented space heater.

- 4) Contractor to pay back cost for door jambs that were installed as w/s on new windows that were already weatherstripped.
- 5) Complete a Manual J.
- 6) Clean refrigerator coils with shop vac.
- 7) Minimum clearances not met for vent pipe extending through the roof. National Fuel Gas Code, ANSI Z223.1, Section 10.5.2.1, states the rule: "A chimney for residential-type or low-heat gas utilization equipment shall extend at least 3 ft. (0.9 m) above the highest point where it passes through a roof of a building and at least 2 ft. (0.6 m) higher than any portion of a building within a horizontal distance of 10 ft. (3 m).
- 8) Contractor to pay back cost for roof vents.
- 9) Seal around window a/c and clean filter and install a/c foam.
- 10) Ken to determine refund for any lumber.
- 11) Replace vinyl dryer vent pipe with flexible rigid.
- 12) Note: Samuel Rabon's name was reported twice in PY 2010 – 11/29/10 and 12/1/10. Send to OEO an amended Recap Report.

Wateree's Response

1	Blower Door	-50 pa. 3891 CFM Per Mark Christman (inspector)
2	Duct Testing	No ducts
3	Install Floor Pan	Pan installed
4	Contractor Reimbursement	Refund in Elliott Lumber invoice
5	Complete Manual J	Manual J completed
6	Clean Refrigerator coils	Per client, contractor move Refrigerator and cleaned coils
7	Minimum clearances not met for vent pipe	Clearance meet
8	Contractor Reimbursement	Client responsible for enclosing porch which is why contractor installed vents
9	Seal window a/c & install foam, clean filter	Sealed w/ plywood
10	Refund of lumber	All lumber accounted for
11	Vinyl Dryer Vent Pipe	Installed but crimped/contractor addressed on revisit
12	Send Amended Recap Report to OEO	Amended recap report sent

24. Mattie Ragin, 2206 Willie Richburg, Summerton – Clarendon County

- 1) Provide 12 air filters.
- 2) Belly needs to be inspected to assure that it is properly insulated.
- 3) Check warped floor in kitchen.
- 4) Replace vinyl dryer vent pipe with metal.

Wateree's Response

1	Air Filters to client	Filters on site per
2	Inspect belly for proper insulation	Insulated properly
3	Check warped floor in kitchen	Floor weak at range but considered safe
4	Replace dryer vent pipe	Complete with hard pipe (07-21-11)

* 25. Larry Robinson, 1521 Lewis St., Camden – Kershaw County (1 pm)

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Vacuum ducts.
- 4) Patch holes in belly.

Wateree's Response

1	Blower Door	-49 pa 1751 cfm per Robert Turner (inspector)
2	Duct Testing	Ducts .3-4.0 (Trunk line made with flashing using floor joists, only 1 duct above 1-kit)

3	Vacuum Ducts	complete
4	Belly repair	complete

26. Issac Salters, 271 East Claff Circle, Lake City – Florence County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Conduct CAZ test for gas hot water heater in closet. Install appropriate ventilation in door.
- 3) Replace range hood exhaust with one with an operating damper and replace outside louver vent cover.
- 4) Complete Manual J.
- 5) Call gas vendor to check if outside propane is leaking gas.
- 6) Evenly spread cellulose insulation in attic to achieve 11" depth.
- 7) Vent pop-off on hot water heater to outside (if needed).
- 8) Assure that unvented space heater is not operable (disconnect gas line).

Watersee's Response

1	Blower Door	-50 pa. 3545 CFM per Mark Christman (inspector)
2	CAZ test	Vent added to door/Flue-18ppm, Flue free air-32ppm, stack temp-486, O2-9%, EF-79.2% Additional vent installed in door of CAZ Zone
3	Replace Range Hood Exhaust	Outside louver replaced w/ damper
4	Complete Manual J	Manual Complete
5	Vendor checked for leaking gas	Gas company fixed leak
6	Spread Cellulose Insulation to 11"	Insulation even w/ card in attic
7	HWH – Pop-off Valve	Vented to outside
8	Space Heater not Operable	Removed

27. Alonzo Scipio, 1107 North Irby St., Florence – Florence County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Complete Manual J – Verify that installed unit matches Manual J.
- 4) New furnace - \$4,000 – paper work not in file. Incorrect total reported to OEO for \$4,566.86. Should have been \$8,566.86.
- 5) Evenly spread cellulose insulation to achieve 11" thickness.
- 6) Safely hide exposed wires on top of hot water heater.

Watersee's Response

1	Blower Door	Did not re-visit, client unavailable on several attempts. Per Mr. OJ, all repairs
2	Duct Testing	Were complete as noted
3	Complete Manual J	
4	Proper paper work for furnace	Filed new paperwork and resubmitted correct totals to OEO.
5	Cellulose Insulation to 11"	
6	Secure wires on HWH Safely	

28. Oliver Severance, 1108 Sonnet Dr., Manning – Clarendon County

- 1) 10 x 32 window purchased/installed – no invoice. Provide documentation for the purchase and installation of window.
- 2) Remove unvented space heater.
- 3) Install 2 smoke detectors.
- 4) Seal around window a/c.

Wateree's Response

1	Window receipts & installation cost	Window installed at left of front entrance per
2	Remove space heater	No USH
3	Installed 2 smoke detectors	Installed
4	Seal around window a/c	A/C sealed

29. Betty Smalls, 149 Milton Rd., Sumter – Sumter County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Client was informed that a new combustion appliance would be provided to replace her unvented space heater. No heater was provided. Determine the proper size of vented space heater by having the HVAC contractor complete a Manual J.
- 3) Air seal around window air conditioner

Wateree's Response

1	Blower Door	No additional air sealing needed per Roger Hudson/Robert Turner (Inspector)
2	Complete Manual J	Manual J would suggest 2-3 ton unit. Informed client of over cost if installed
3	Seal around window a/c	complete

30. Fannie Smoot, 2416 Alligator Rd., Effingham – Florence County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Complete Diagnostic Testing – CAZ
- 4) Assessment Booklets need to be completed.
- 5) Insulate top of water heater.
- 6) Insulate first 5 feet of plumbing (hot/cold) pipes from water heater.
- 7) Remove Gorilla brand tape from all registers and seal with Mastic or with Mastic tape.
- 8) Investigate the fireplace – was not drafting properly at the time of our inspection (smoke was filling the room)
- 9) Replace vinyl dryer vent pipe with rigid pipe and exit to outside of dwelling.
- 10) Extend pop-off vent pipe to at least 6" above grade.
- 11) Install Insulation Information Card (correct information).
- 12) Attic Stairway – Install ½" OSB for the lid and install a handle to lift the lid. Weatherstrip on top of box and attach batt insulation on top of lid.

Wateree's Response

1	Blower Door	-50.4 pa 2945 CFM per Mark Christman (inspector)
2	Duct Testing	Ducts 1.4-3.1 pa. Contractor revisited and reported duct readings below 1.0 (see notes)
3	Complete CAZ Testing	Complete
4	Complete Assessment Book	complete
5	Insulate HWH	complete
6	5 ft. plumbing pipe from HWH	complete
7	Seal Registers with Mastic or Tape	complete
8	Investigate Fireplace	Fireplace investigated with no indication of poor drafting
9	Dryer Vent Pipe	complete
10	Pop-off Vent to 6"	complete
11	Insulation Info Card	complete
12	Attic Stairway	installed Styrofoam as lid

31. Lurena Warren, 910 West Chestnut St., Camden – Kershaw County

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Duct Testing – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 3) Evenly spread cellulose insulation in attic.
- 4) Replace insulation information card with a new one that accurately reports the amount of insulation installed.
- 5) Remove insulation from hot water heater.

Wateree's Response

1	Blower Door	-50 pa 3800 cfm per Robert Turner (inspector)
2	Duct Testing	All ducts below 1.2 pa (.8-1.2)
3	Evenly spread insulation in attic	complete
4	Insulation Info Card	complete
5	Remove insulation from HWH	complete

32. Melvin Weaver, 8064 Pages Ct., Gresham – Marion County

- 1) Blower Door Test
- 2) Duct Test – Repair crossover duct that is down.
- 3) Insulate/Repair Belly
- 4) Insulate roof cavity – Investigate since there are cathedral ceilings.
- 5) Fix front door w/s to enable door to seal properly.
- 6) Install rigid dryer vent pipe and exit to outside. (Remove concrete blocks around vent).
- 7) Install vapor barrier at contractor's expense (was charged).

Wateree's Response

1	Bloor Door	-50.5 pa. A-ring 1579 cfm per Mark Christman (inspector)
2	Duct Test	All ducts below 1.0 pa
3	Insulate/Repair Belly	complete
4	Insulate Roof	Complete per client
5	Repair front door	complete
6	Dryer Vent Pipe	complete
7	Contractor Reimbursement	complete

***33. Mamie Wilson, 27 Walsh Grovel, Sumter – Sumter County (9:30)**

- 1) Blower Door – Complete any additional air sealing with blower door running. Record information on a new sheet.
- 2) Remove unvented space heater in hallway.
- 3) Install a switch plate.

2-15-12

Wateree's Response

1	Blower Door	-50 pa 3400 cfm per Roger Hudson/Robert Turner (inspector)
2	Remove space heater	complete
3	Install switch plate	complete

! Dry not connected.
2 week on Vm IN 2 front Bedroom & Left side Bedroom



State of South Carolina

Office of the Governor

NIKKI R. HALEY
GOVERNOR

OFFICE OF EXECUTIVE
POLICY AND PROGRAMS

June 11, 2012

Dr. James L. Coleman
Executive Director
Wateree Community Actions, Incorporated
2611 Forest Drive, Suite 115
Columbia, South Carolina 29204

Dear Dr. Coleman:

This letter provides the results of the Community Services Block Grant (CSBG) Program and the Low-Income Home Energy Assistance Program (LIHEAP) monitoring visit conducted at Wateree Community Actions, Incorporated on January 9-20, 2012. The purpose of this monitoring was to review the agency's implementation of the Program Year (PY) 2011 CSBG and LIHEAP programs.

The Appeal and Fair Hearing Procedures are visibly displayed in the lobby at the main office. To date, the agency does not have any appeals. Included in this report are the observations/areas of concern, recommendations, and required actions discussed during this visit for the CSBG and LIHEAP programs.

There were two vacancies on the Board at the time of the monitoring; however, OEO was notified on March 29, 2012 that four new members were seated on March 27, 2012. As of March 27, 2012 there are no vacancies. There are seventeen (17) pending files under LIHEAP; fifty-one (51) files under GEAP are pending, and one (1) file pending under Youth Leadership.

The agency is being placed on Corrective Action Status based on the findings outlined in this report. Furthermore, the agency has mismanaged the grant funding for Program Year 2011 resulting in several reimbursements. The total reimbursement for LIHEAP is \$221.00 and the total for CSBG is \$3,807.22. Using non-Federal, non-State funds, the appropriate grant must be reimbursed. A copy of the fiscal transaction, along with the accounting system's financial report that ties to the FSR, year-to-date, and monthly expenditure being reported must be submitted to OEO by June 29, 2012. As a result of the aforementioned, OEO will monitor your PY 2012

CSBG and LIHEAP programs at least twice during PY 2012. The initial visit is scheduled for June 25 – 29, 2012.

Dr. James L. Coleman

June 11, 2012

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Financial Reporting

PY 2011 Budget Amendment #1 was approved for CSBG and LIHEAP on October 7, 2011.

❖ **Budgets**

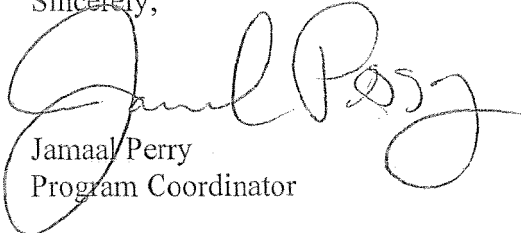
Total 2010 CSBG Budget	\$1,302,070.00
Total 2010 LIHEAP Budget	<u>\$5,601,196.00</u>
Budget Total	\$6,903,266.00

❖ Financial Status Reports (FSR) and Household Reports are complete through December with the exception of December's FSR's for CSBG & LIHEAP.

❖ ROMA Reports have been included the 2011 IS Report.

Thank you and your staff for the hard work and dedication to resolving all pending issues and your commitment to improvement in PY 2012. If you have any questions, please call me at (803) 734-0547.

Sincerely,



Jamaal Perry
Program Coordinator

Enclosure

c: Toya Joyner, CSBG Program Specialist, USHHS
Katina Lawson & Trudy Hairston, USHHS - LIHEAP
Earnestine Lowery, Board Chairperson
Laurey Carpenter, CSBG/LIHEAP Director
Ken McManus, OEO Director
Bertie McKie, Senior Manager for CSBG/LIHEAP
Diana Graham, Senior Manager for Audit
2011 CSBG and LIHEAP Agency Files

Via email and mailing:

**OFFICE OF THE GOVERNOR
Office of Economic Opportunity
Columbia, South Carolina 29201**

**LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM
(LIHEAP)**

AND

COMMUNITY SERVICES BLOCK GRANT (CSBG)

PY 2011 Monitoring Field Report

AGENCY NAME: Wateree Community Actions, Incorporated
ADDRESS: 13 South Main Street
Sumter, South Carolina 29150
Phone: (803) 775-4354
SITE(S) VISITED: Main Office
PERIOD REVIEWED: January 1, 2011 – December 31, 2011
DATES OF VISIT: January 9-20, 2012
PROGRAMS REVIEWED: CSBG and LIHEAP Programs
**AGENCY
EXECUTIVE DIRECTOR:** Dr. James L. Coleman
STAFF INTERVIEWED: Ms. Laurey Carpenter, Director of CSBG/LIHEAP
DATE OF REPORT: June 11, 2012
OEO REVIEWERS: Ms. Bertie McKie, Senior Manager for CSBG/LIHEAP
Ms. Sandra Grant, Program Coordinator
Mr. Jamaal Perry, Program Coordinator

A. LIHEAP PROGRAM YEAR 2011

Subgrantee Monitoring Results

Section I: Revenues and Expenses

Energy Assistance - Based on the FSR for the period ending December 31, 2011, the total allocation for Energy Assistance is \$4,830,873.00. The expenditures are \$3,603,234.92 which represents an expenditure rate of 74%. The balance of funds reflected on the December 2011 FSR is \$1,227,638.08; however this report must be amended.

Energy Counseling - Based on the FSR for the period ending December 31, 2011, the total allocation for Energy Counseling is \$331,560.00. The expenditures are \$330,487.39, which represents an expenditure rate of 99%. The balance of funds is \$1,072.61.

Section II: Files

Monitoring was conducted on January 9-13, 2012. Seventy-eight (78) files were randomly selected and reviewed to ensure accuracy and adherence to program requirements. Of those files fifty (50) were Direct Assistance (DA), twenty-five (25) were Emergency Crisis Intervention Program (ECIP), and three (3) were for Heating Ventilation & Air Conditioning (HVAC) units.

Resolved- DA

E. Wilson (09142431), S. Doyle (11450090), L. Cooley (10296831) - A Vendor Agreement was provided to show how unallowable charges were paid.

E. Dingle (09211525), D. Williams (09140739), K. Washington (10364737), B. Lewis (09131063), L. Dennis (09283612), K. Manigault (09231144), E. Little (09145639), G. Washington (11448512), S. Doyle (11450090), L. Roseborough (10394496) - A check copy was provided for each file.

R. Robertson (09123679) - The customers LIHEAP Special Assistance Program application and voucher were voided in DBA.

K. Manigault (09231144) - The customer's address was updated with DMV to match DBA application.

E. Benjamin (10376989), B. Bennett (11445887), M. Hicks (10317335) - A Vendor Batch Payment Report list was provided.

G. Wood (11441047), M. Singleton (11431989) - Proof of disability was placed in the customer's file.

R. Fortune (09138595) - An explanation was provided as to why customer was served with DA.

R. Brown (11437642) - The customer's income was re-calculated.

Resolved- ECIP

D. Williams (09140739) - A check copy was provided.

R. Wright (09120064) – Inappropriate document removed from the customer's file.

Resolved – HVAC

O. McDowell (09268460) – An explanation was provided as to why it appeared the vendor was paid prior to service being rendered, why the customer had an electric bill, and an explanation was provided as to why customer had credit balance on their account.

V. Canty (10395022) – An explanation was provided as to why there were two vouchers in the customer's file. A work order was provided to show the vendor had completed the HVAC installation.

B. Pringle (10390694) – An explanation was provided to explain why an electrical bill was in the customer's file. An explanation was provided to explain why the customer had two vouchers in their file.

Resolved – ECIP

S. Savage (09224909) - The customer's income was re-calculated.

M. Rivers (09126382), M. Savage (09187119) – An explanation was provided as to why the customers received two services in a 12 month period.

A. Martin (11416325) – DBA was updated to show the customer only received one service.

S. Thomas (10368174) – The appropriate bill showing the account was disconnected was placed in the customer's file.

E. Wilson (11404236) – Inappropriate documents removed from the customers file. Correct voucher and check were placed in the customer's file.

C. Hayward (11456198) – Documentation was provided to explain the customer's emergency. A copy of the customer's new identification card was provided with the address that was on DBA application.

B. Singleton (11443529) – An inappropriate document was removed from the customer's file. An explanation was provided as to the reason the customer had a large bill.

F. Bethel (11399520) – Agency provided information explaining the difference in the award detail and the actual amount given to the customer. A copy of the check was placed in the customer's file.

Pending – DA

B. Lewis (09131063) – Unable to determine if the 4 year old household member is the child or grandchild of the applicant.

R. Robertson (09123679) - A copy of the check was not in the file. No information was in the file to show how unallowable charges were paid.

R. Fortune (09138595), R. Brown (11437642), C. Loney (10388114) – No information in the file to explain how unallowable charges were paid.

L. Roseborough (10394496) – The copy of the voucher for 2011 was not in the file. No notes in customer's file to state that this service was paid from LIHEAP funds.

E. Benjamin (10376989) - A Vendor Batch Payment Report list was not in the customers file.

M. Ragin (09279690) – The customer's address on the driver's license and utility bill do not match. No explanation was provided as to why the utility bill is in person's name who does not live in the household.

Note: Once pending issues are addressed, an additional reimbursement may be required.

Findings:

1. B. Lewis (11436540) – Spouse's name needs to be corrected in DBA. Incorrect identification card was in the file. The customer was given a disability benefit of \$50.00 they were not eligible for. A reimbursement of \$50.00 is required.

2. R. Wright (09120064) – Agency paid \$24.00 in unallowable charges. A reimbursement of \$24.00 is required.

3. J. Bonnett (09130760) - Agency paid \$22.00 in unallowable charges. A reimbursement of \$22.00 is required.

4. B. Dallas (10394174) – The customer did not date the application. The customer's identification card did not match the DBA application. The customer was given a disability benefit of \$125.00 they were not eligible for. A reimbursement of \$125.00 is required.

5. V. Nelson (10313472) – No explanation provided to explain why the customer received three services on the same day.

Pending - ECIP

M. Savage (09187119), L. Hickman (11438732) – The check amount does not match the amount of the voucher.

C. Pearson (10300886) – No documentation showing how the balance of the customer's bill was paid.

C. Hayward (11456198) – A copy of the check was not in the customer's file.

(Requirement)

Agency needs to ensure customers receive appropriate benefit award amounts (C. Manor (09228399)).

Total Reimbursement required by June 29, 2012: \$221.00

Action Required: Please provide documentation to resolve all pending files to OEO by June 29, 2012 to include documentation showing the agency has reimbursed the LIHEAP account using non-State, non-Federal funds.

Section III: Performance Target Outcome

Performance Target Outcome (PTO): 8,000 households will achieve at least one of the following: (1) Direct Assistance, (2) Emergency Crisis Intervention, (3) Home Ventilating and Air Conditioner, and (4) Window Air Conditioning unit.

- Based on the Household Reports:
 - 5,369 households received Direct Assistance to reduce their energy burden and increase the household's disposable income.
 - 2,860 households received a home energy Emergency Crisis Intervention assistance to prevent disconnection.
 - 3 household received a home energy Heating Ventilating and Air Conditioning (HVAC) system.
 - 0 households received window air conditioners.

Section IV: Project Share Non-State, Non-Federal Funds

"Project Share funding is administered on a state fiscal year cycle (beginning July 1st and ending June 30th of the following year) and the program operates on the calendar year with LIHEAP." (LIHEAP Administrative Guide).

South Carolina Electric & Gas - The FSR for the period ending December 31, 2011, reflects expenditures totaling \$550.00. The total revenue is \$35,046.91. The balance of funds is \$34,496.91. An explanation is required to provide the agency's plan to expend funds by the close of the grant June 30, 2012.

B. CSBG PROGRAM YEAR 2011

Subgrantee Monitoring Results

- ❖ Monitoring was conducted on January 16-20, 2012. Files were randomly selected for review.
- ❖ The agency operates four CSBG projects: (1) GEAP, (2) Youth Leadership, (3) Meals on Wheels (Nutrition), and (4) Housing.

Section I: General Emergency Assistance Program

GEAP - Based on the FSR for the period ending December 31, 2011, the total allocation for GEAP is \$228,228.94. The expenditures are \$219,046.92 which represents an expenditure rate of 96%. The balance of funds reflected on the December 2011 FSR is \$9,182.02; however this report must be amended.

Identified Problem: Low-income individuals/families lack the financial resources to meet their basic needs.

Service/Activity: 500 individuals/families will receive emergency assistance to alleviate crisis situation during the 2011 Program Year. 300 individuals/families will receive emergency assistance with utilities, food, medicine, medical services, household goods, clothing, temporary shelter, and/or heating/cooling system repairs during the 2011 Program Year. 100 individuals/families will receive emergency assistance for rent or mortgage up to \$500.00 to prevent eviction or foreclosure during the 2011 Program Year. 25 individuals/families will receive emergency assistance with transportation or car repairs needed to maintain employment during the 2011 Program Year. 25 individuals/families will receive emergency assistance with six weeks of childcare not to exceed \$75.00 per week during the 2011 Program Year.

Outcome/Indicator: 20 of 25 or 80% obtain access to expanded opportunities through community-wide partnerships. 40 of 50 or 80% seniors are able to maintain independent living. 40 of 50 or 80% disabled persons are able to maintain independent living. 70 of 100 or 70% of the individuals will receive emergency food. 80 of 100 or 80% of the individuals will receive emergency fuel or utility payments. 45 of 50 or 90% of individuals/families will receive emergency rent/mortgage payments. 25 of 25 or 100% of individuals/families will receive emergency car or home repairs. 25 of 25 or 100% of individuals/families will receive emergency temporary shelter. 25 of 25 or 100% of individuals/families will receive emergency medical care. 5 of 5 or 100% of individuals/families will receive emergency protection from violence. 25 of 25 or 100% of families/individuals will receive emergency transportation assistance. 10 of 10 or 100% of individuals/families will receive emergency disaster relief. 10 of 10 or 100% of families will receive emergency clothing assistance. 20 of 25 or 80% will obtain access to reliable transportation and/or driver's license to alleviate barriers to employment. 20 of 25 or 80% will obtain healthcare for themselves or family members to alleviate barriers to employment. 20 of 25 or 80% will obtain access to new or expanded transportation resources. 20 of 25 or 80% will obtain childcare to alleviate barriers to employment. 20 of 25 or 80% will obtain access to before or after school programs.

Clients served: 974

Files reviewed: 109

<u>County</u>	<u># Served</u>
Richland	533
Sumter	245
Kershaw	69
Lee	86
Clarendon	41
Total	974

Pending

Finding: N. McLeod (10391542) – Agency overpaid customer's bill. A reimbursement of \$57.54 is required.

Finding: A. McDaniel (09129158) – A copy of the check was not in the customer's file. Agency overpaid customer's bill. A reimbursement of \$78.36 is required.

Finding: M. Drakeford (10365256) – Agency overpaid customer's bill. A reimbursement of \$10.76 is required.

Finding: R. Michaels (09271573) - Agency overpaid customer's bill. A reimbursement of \$7.91 is required.

Finding: J. Wilder (10335840) – A copy of the customer's bill was not in the file. A copy of the check was not in the customer's file.

Finding: M. Wilson (10394847) - A copy of the check was not in the customer's file. Agency overpaid customer's bill. A reimbursement of \$80.34 is required.

Finding: B. Windham (09277459) – A copy of the check was not in the file. The customer's voucher needs to be reprocessed. Agency overpaid customer's bill. A reimbursement of \$59.20 is required.

C. Latimer (09243760) – A copy of the customer's voucher and check was not in the file.

Finding: N. Crim (09140005) - Agency overpaid customer's bill. A reimbursement of \$43.96 is required.

Finding: A. McKenney (09117057) – Agency overpaid customer's bill. A reimbursement of \$111.00 is required.

Finding: S. Felder (10390499) - Agency overpaid customer's bill. A reimbursement of \$44.08 is required.

Finding: L. Gamble (10390138) - Agency overpaid customer's bill. A reimbursement of \$62.08 is required.

Finding: E. Allen (10313051) - Agency overpaid customer's bill. A reimbursement of \$59.05 is required.

Finding: M. Conyers (10334650) - Agency overpaid customer's bill. A reimbursement of \$86.00 is required.

Finding: T. Hodge (10391447) - A copy of the check and voucher was not in the file. Agency overpaid customer's bill. A reimbursement of \$126.21 is required.

Finding: T. Porter (09165191) - Agency overpaid customer's bill. A reimbursement of \$6.31 is required.

Finding: C. Jacobs (10395107) - A copy of the check was not in the customer's file. Customer was over 125% FPL. A reimbursement of \$75.00 is required.

Finding: H. Pringle (09193450), V. Eze (10394381) - Customer was over 125% FPL. A reimbursement of \$75.00 is required.

Finding: J. Barber (10394905) - Customer was over 125% FPL. A reimbursement of \$150.00 is required. A copy of the check was not in the customer's file.

J. Sims (11405630) - A copy of the check was not in the customer's file. No explanation as to how the balance was satisfied.

K. St. John (11404980), A. Foust (11406249) - No explanation as to how the balance was satisfied.

C. Richburg (10305741), C. Washington (10393947) - A copy of the check was not in the customer's file.

Finding: A. Boykin (10391738) - No proof of Social Security income. Agency overpaid customer's bill. A reimbursement of \$103.51 is required.

L. Covington (09248538) - Proof of income was not in customer's file.

Finding: C. Brunson (09288234), B. Bumgartner (10392991) - Customer was over 125% FPL. A reimbursement of \$150.00 is required.

Finding: M. Gardner (09129507) - No explanation as to why the bill was not in the applicant's name. Customer received an additional benefit. A reimbursement of \$75.00 is required.

Finding: B. Williams (10391212) - Agency overpaid customer's bill. A reimbursement of \$106.74 is required.

V. McCleary (09290322) – The customer's address on Driver's License did not match DBA application.

Finding: M. Holloman (09136396) – Agency overpaid customer's bill. A reimbursement of \$55.66 is required.

Finding: R. Higgins (10394592) - Agency overpaid customer's bill. A reimbursement of \$228.63 is required.

Finding: B. Goins (10395076) - Agency overpaid customer's bill. A reimbursement of \$36.70 is required. A copy of the check and voucher was not in the file.

Finding: F. Geddings (09151613) - Agency overpaid customer's bill. A reimbursement of \$121.11 is required.

Finding: Z. Williams (09181208) - Agency overpaid customer's bill. A reimbursement of \$183.00 is required.

Finding: E. Welborn (09289897) – Agency overpaid customer's bill. A reimbursement of \$113.26 is required.

Finding: M. Caples (09131404) – Agency overpaid customer's bill. A reimbursement of \$59.65 is required.

Finding: E. Blanding (09174558) - Agency overpaid customer's bill. A reimbursement of \$91.51 is required.

Finding: L. Hawkins (09263936) - Agency overpaid customer's bill. A reimbursement of \$19.42 is required.

Finding: B. Stratford (09143663) - Agency overpaid customer's bill. A reimbursement of \$112.02 is required.

Finding: A. Brazelle (09198077) - Agency overpaid customer's bill. A reimbursement of \$73.29 is required. A current Social Security Income benefit document was not in the customer's file.

Finding: G. Atkinson (10393330) – Agency overpaid customer's bill. A reimbursement of \$28.00 is required.

Finding: I. Hough (10390112) - Agency overpaid customer's bill. A reimbursement of \$62.08 is required.

Finding: A. Harris (10393998) - Customer was over 125% FPL. A reimbursement of \$225.00 is required. A copy of the check and voucher were not in the customer's file.

Finding: C. Finney (09279400) - Agency overpaid customer's bill. A reimbursement of \$5.13 is required.

Finding: J. Washington (10386697) - Agency overpaid customer's bill. A reimbursement of \$292.50 is required.

Finding: J. Wasson (10390779) - Agency overpaid customer's bill. A reimbursement of \$132.56 is required. A copy of the voucher was not in the file.

Finding: H. Webber (09124382) - Agency overpaid customer's bill. A reimbursement of \$26.00 is required.

Finding: N. Zuel (10394807) - Agency overpaid customer's bill. A reimbursement of \$37.25 is required.

Finding: E. Turner (10393092) - Agency overpaid customer's bill. A reimbursement of \$111.40 is required.

Resolved

N. McLeod (10391542), M. Drakeford (10365256), R. Michaels (09271573), R. Caldwell (09124648), M. Conyers (10334650), M. Wallace (11407010), M. Jones (11406224), J. Harris (11406260), J. Thompson, K. St. John (11404980), A. Boykin (10391738), A. Foust (11406249), V. Carroll (09121893), I. Weston (09151860), L. Covington (09248538), B. Bumgartner (10392991), B. Williams (10391212), R. Bryant (10319131), B. Vereen (09161138), C. Latimer (09243760), K. Williams (10354272), B. Catoe (10390582), V. McCleary (09290322), Z. Williams (09181208), E. Welborn (09289897), M. Caples (09131404), L. Hawkins (09263936), J. Burgess (10390702), B. Scarborough (10346968), S. Taylor (10361546), W. Wages (09149035), R. Williams (10393829), J. Crossman (10394675), W. Black (09133988), L. Williams (09150963), M. Wilder (10390416), D. Wood (10395015), B. Qualls (10392263), K. Pompey (10392626) - A check copy was provided.

A. McDaniel (09129158), M. Drakeford (10365256), N. McLeod (10391542), R. Michaels (09271573), T. Porter (09165191), A. Boykin (10391738), C. Brunson (09288234), R. Bryant (10319131), B. Catoe (10390582), C. Blanding (09274191) - The voucher was voided in DBA.

N. Crim (09140005), A. McKenney (09117057), B. Qualls (10392263) - A copy of the customer's voucher and check copy was placed in the file. The original DA voucher was voided.

C. Richburg (10305741), B. Vereen (09161138), A. Pinckney (10349250), C. Latimer (09243760), K. Williams (10354272), B. Catoe (10390582), M. Holloman (09136396), G. Atkinson (10393330), E. Turner (10393092), D. Adams (09140587), S. Taylor (10361546), R. Williams (10393829), M. Skinner (09131548), L. Williams (09150963), S. Williams (09288235) - A copy of the customer's voucher was placed in the file.

S. Baker (11447040) - Household members Social Security number was corrected in DBA. Documentation of household members Social Security number was placed in the customer's file.

A. Boykin (10391738), V. Carroll (09121893), S. Billups (09119977), D. Wood (10395015) - The inappropriate document was removed from the customer's file.

I. Weston (09151860), N. Zuel (10394807) – A copy of the customer's bill was placed in the file.

L. Richardson (11406157) – The customer's income frequency was updated in DBA.

R. Bryant (10319131) – Proof of income was provided.

T. Weeks (09139874) – Customer's notes were updated to match year of service on DBA voucher.

C. Finney (09279400) – Customer's address was updated to match DBA application.

H. Jefferson (09124747), W. Rembert (10368066), A. Stukes (10392359), Y. Sumter (10394686), S. Twitty (09287441), S. Washington (09183955), R. Williams (10302573), A. Wright (09137736) - A Vendor Batch Payment Report list was placed in the customer's file.

S. Soto (11410855) – The applicant's marital status was updated in DBA. An explanation was provided as to why spouse's name was listed on the applicant's bill.

(Recommendations)

Agency needs to ensure all documents are signed and dated by staff members as well as customers.

Agency needs to ensure that car repair bills are on official company letterhead. It is not acceptable to solely utilize a notarized document.

Agency needs to ensure that vouchers are voided in DBA when appropriate.

Agency needs to ensure all customer documents are legible.

Total Reimbursement: \$3,582.22

Action Required: Please provide documentation to resolve all pending files to OEO by June 29, 2012 to include documentation showing the agency has reimbursed the LIHEAP account using non-State, non-Federal funds.

Section II: Youth Leadership Program

Youth Leadership Program - Based on the FSR for the period ending December 31, 2011, the total allocation for Youth Leadership is \$26,785.00. The expenditures are \$26,785.00 which represents an expenditure rate of 100%. The funds have been fully expended.

Identified Problem: Youth/Adults have a lack of marketable employment skills and poor work ethic.

Service/Activity: 170 youth/adults ages 16 to 24 are enrolled in the program within 90 days (March 31, 2011). 170 enrollees ages 16 to 24 complete the MOU for participation. 170 enrollees ages 16 to 24 will complete 85% of the 20 hour pre-employment skills training to do work experience during the 2011 Program Year. 170 enrollees ages 16 to 24 will complete 20 hours of pre-employment skills training and receive a benchmark certificate during the 2011 Program Year. 170 enrollee's ages 16 to 24 that complete 85% of the program will be placed in work experience for 80 hours and receive a stipend of \$6.25 per hour. 170 enrollees ages 16 to 24 that complete the 80 hour internship will receive a benchmark certificate.

Outcome/Indicator: 40 of 170 or 23.5% participants will obtain a job. 25 of 170 or 15% participants will maintain a job for at least 90 days. 25 of 170 or 15% participants will obtain an increase in employment income and/or benefits. 25 of 170 or 15% participants will achieve living wage and/or employment and/or benefits. 153 of 170 or 90% participants will obtain skills/competencies required for employment. 5 of 10 or 50% participant will complete ABE/GED and receive a certificate or diploma. 5 of 10 or 50% will complete post-secondary education program and obtain a certificate or diploma. 5 of 10 or 50% will obtain care for child or other dependents. 15 of 25 or 60% participants will obtain access to reliable transportation and/or driver's license. 5 of 10 or 50% participants will benefit from jobs created, or saved from reduction or elimination in the community. 5 of 10 or 50% participants will benefit from accessible living wage jobs created, or saved from reduction or elimination in the community. 90 of 170 or 53% participants will have accessible or increased educational and training placement opportunities, or those that are saved from reduction or elimination that are available for low-income people in the community, including vocational, literacy, and life skills training, ABE/GED, and post-secondary education.

Clients served: 106

Files reviewed: 22 (18- YETS, 2- Intergenerational, 2- Academic Camp)

Resolved

T. Wilson (11415576), S. Wilson (11397114) – An explanation was provided about the type of assessment the agency used.

C. Poole (09156950) – A Social Security card was provided for one of the household members. An evaluation form was placed in the file.

K. Thompson (11424846) – An explanation was provided as to why permission slip was not completed.

T. McCloud (11416582), K. Thompson (11424846), B. Johnson (10393824) – An explanation was provided as to why checks were written prior to vouchers.

B. Johnson (10393824) – Income was re-calculated.

D. Kennedy (09288307) – The evaluation was dated. Post evaluation was identified on the document.

T. McFadden (11418102), M. McFadden (11416063) – An explanation was provided regarding no check copy being in the file.

J. Conyers (10315721) – An updated DBA application was provided with household member's correct Social Security number.

S. Wilson (11397114) – An explanation was provided regarding participant not receiving school supplies.

T. Oliver (09140548), A. Gibson (10302893) – Notes were added to customer's file to update status.

S. Briggs (09150789) – Action plan was updated to advise of participants status. Invoice provided to explain cost of supplies.

D. McCray (10298999) - Invoice provided to explain cost of supplies. Household member's last name updated on DBA application.

Pending

K. Mack (11425552) – Applicant's date of birth needs to be corrected in DBA. The name on the parent's Driver's License does not match DBA application.

Section III: Meals on Wheels (Nutrition)

Meals on Wheels - Based on the FSR for the period ending December 31, 2011, the total allocation for this project is \$12,415.00. The expenditures are \$12,415.00 which represents an expenditure rate of 100%. The funds have been fully expended.

Identified Problem: Low-income households suffer from malnutrition.

Service/Activity: 300 low-income individuals/families will receive donated food from the local food pantry located in each outreach site during the 2011 Program Year. 35 low-income homebound disabled individuals will receive weekly home delivered meals from the local Council on Aging during the 2011 Program Year.

Outcome/Indicators: 275 of 300 or 92% individuals/families will receive food. 35 of 50 or 70% individuals/families will benefit from expanded resources and opportunities as a result of public and private community action efforts. 40 of 50 or 80% of seniors will maintain independent living as a result of community action efforts.

Clients served: 25

Files reviewed: 6

Resolved

G. McDonald (09139320) – DBA income screen corrected. Check copy was placed in the customer's file.

V. Gallashaw (09231782), M. Mack (10307093), L. McGill (09178091), P. Moody (09178113), A. Early (09141536) – Check copy was placed in the customer's files.

Section IV: Housing

Housing - Based on the FSR for the period ending December 31, 2011, the total allocation for this project is \$500.00. The expenditures are \$500.00, which represents an expenditure rate of 100%. The funds have been fully expended.

Identified Problem: Low-income individuals need assistance to purchase homes.

Clients served: 1

Files reviewed: 1

Section V: Board Members

- ❖ The Board of Director's roster was provided during the monitoring along with board minutes for January 25, March 15 and March 29, April 28, May 31, June 22, August 9, September 6, September 27, November 18, 2011. Board minutes include reports from the executive director, personnel, finance, nominating and planning committees.
- ❖ The agency's board is comprised of 15 members. At the time of this monitoring visit, there were 13 members and two vacancies. On March 29, 2012 OEO was notified of new Board Members being seated on March 27, 2012. If there have been any changes to Board membership please provide updated information to OEO immediately.

C. OTHER NARRATIVE

On January 9, 2012, an entrance conference was conducted and attended by Dr. James Coleman, Ms. Laurey Carpenter, Ms. Bertie McKie, Ms. Sandra Grant, and Mr. Jamaal Perry.

On January 20, 2012, an exit conference was attended by Dr. James Coleman, Mr. Joseph Davis, Ms. Laurey Carpenter, Ms. Fredrica Brailsford, Ms. Bertie McKie, Ms. Sandra Grant, and Mr. Jamaal Perry. The comments, observations, recommendations and areas of concern outlined in this report were discussed at that time.

D. OTHER NARRATIVE

Vehicles were inspected for the appropriate logos. Current registration and insurance cards were provided on site. Tag numbers and mileage were recorded as follows:

Tag # GRE820 - mileage 12,063
Tag # BU23011 - mileage 7,060.8
Tag # GRE819 - mileage 10,771
Tag # BJY415 - mileage 50,280.7
Tag # BKH185 - mileage 22,597

This monitoring is not closed pending the requested information due to OEO by June 29, 2012.



State of South Carolina

Office of the Governor

NIKKI R. HALEY
GOVERNOR

OFFICE OF EXECUTIVE
POLICY AND PROGRAMS

January 30, 2012

Dr. James Coleman
Executive Director
Wateree Community Actions, Inc.
Post Office Box 1838
Sumter, SC 29151-1838

Dear Dr. Coleman,

This letter is to provide the results of the November 1-3, 2011 monitoring assessment by me of the American Reinvestment and Recovery Act Weatherization Assistance Program (ARRA WAP) as implemented by Wateree Community Actions, Inc.

A. **File Inspection**

During the visit 23 client files were inspected: Mary Green, Rachel Wilson, Rose Heyward, Maxine Franklin, Bertha Williams, Geraldine Baker, Betty Merchant, Minnie Mcfadden, Patricia Mcfadden, Brian Huggins, Cassandra Furman, Robert McKenzie, Harold Huggins, Timothy Collier, Shana Williams, Marketha Davis, Angela Jackson, Marion Skinner, Alyeshia Adamson, Angel Caldwell, Audrianna Dempsey, Elizabeth Mashack, and Anita Outten. The files were in order and showed significant improvement from the last monitoring trip. There were no findings.

Observation:

Although there were no findings or any consistent problems, there were a few small things that should be reviewed.

- A) **Rachel Wilson—124 Willow St., Mayesville, SC 29104**—The initial assessment indicated that the refrigerator was in “poor condition” but there were no baseload measures conducted on the refrigerator, nor was it replaced. If a refrigerator is older or appears to be energy inefficient it should definitely be tested.
- B) **Betty Merchant—1122 Lincoln St., Summerton, SC 29148**—The work summary indicated that it took ten work hours to address the attic, but no insulation was blown. The assessment or final inspection should show in detail what kind of work was involved. If the contractor can’t justify the ten hours of labor then it should be paid back to the agency. In the event that this happens OEO needs to be notified for reporting purposes. On the monthly report, the home will be removed from the previously reported month and added to the month in which the total cost revisions are made.

- B) Dwelling Inspection
Eleven completed dwellings were inspected: Harold Huggins, Timothy Collier, Shana Williams, Marketha Davis, Angela Jackson, Marion Skinner, Alyeshia Adamson, Angel Caldwell, Audrianna Dempsey, Elizabeth Mashack, and Anita Outten. The assessments were consistent with the Priority Measures. Materials purchased for the dwellings were verified to have been installed on the dwellings when inspection of said materials was feasible.
- C. Inventory
Wateree currently doesn't maintain materials inventory, but does have some equipment. Wateree's equipment was checked and reconciled with all equipment records. There were no findings.
- D. Dwelling Completions/Expenditures
As of January 9, 2012 Wateree has weatherized 633 dwellings out of the minimum 999 and has expended \$3,494,987.61 out of \$7,184,790 of Total DOE Program Operations for ARRA WAP. Currently Wateree is on target with meeting and/or exceeding the minimum quota.

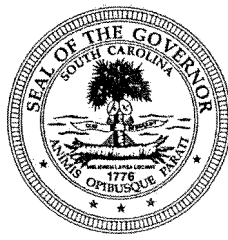
Thank you for the courtesy extended during the monitoring visit. Should you have any questions, please call me at (803) 734-0137.

Sincerely,

Timothy McLaurin

Timothy McLaurin
ARRA WAP Coordinator

c: Joseph Pastell, Board Chairperson
Kenneth Barnes, WAP Coordinator
Ken McManus, OEO Director
WAP ARRA Agency File



State of South Carolina

Office of the Governor

NIKKI R. HALEY
GOVERNOR

OFFICE OF EXECUTIVE
POLICY AND PROGRAMS

August 9, 2012

Dr. James L. Coleman
Executive Director
Wateree Community Actions, Incorporated
2611 Forest Drive
Suite 115
Columbia, South Carolina 29204

Dear Dr. Coleman:

This letter provides the results of the Community Services Block Grant (CSBG) Program and the Low-Income Home Energy Assistance Program (LIHEAP) monitoring visit conducted at Wateree Community Actions, Incorporated on June 25-29, 2012. The purpose of this monitoring was to review the agency's implementation of the Program Year (PY) 2012 CSBG and LIHEAP programs.

The Appeal and Fair Hearing Procedures are visibly displayed in the lobby at the main office. To date, the agency does not have any appeals. Included in this report are the observations/areas of concern, recommendations, and required actions discussed during this visit for the CSBG and LIHEAP programs.

Outlined in the enclosed monitoring report is information pertaining to the files reviewed by OEO staff. Please note, there are nine pending LIHEAP files, refer to Section A. Additionally, CSBG projects are listed in Section B, where there were two pending files under GEAP, and four pending files under Youth Leadership. There were no files reviewed under the Housing and Nutrition CSBG projects.

Dr. James L. Coleman
August 9, 2012
Page -2-

Financial Reporting

PY 2012 Budget Amendment #1 was approved for CSBG and LIHEAP on June 27, 2012.

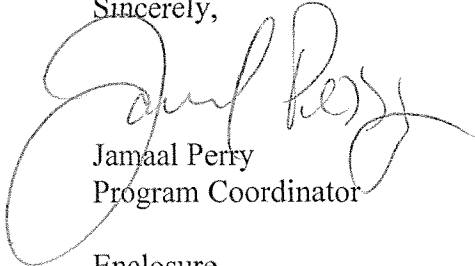
❖ **Budgets**

Total 2012 CSBG Budget	\$1,228,825.99
Total 2012 LIHEAP Budget	<u>\$5,161,154.51</u>
Budget Total	\$6,389,980.50

- ❖ Financial Status Reports (FSR) and Household Reports are complete through June 30, 2012.
- ❖ Second quarterly ROMA Report has been received for CSBG.
- ❖ Program Status Reports (PSR) are complete through June.

Thank you and your staff for the assistance and cooperation during this visit. If you have any questions, please call me at (803) 734-0547 or Bertie McKie at (803) 734-0673.

Sincerely,



Jamaal Perry
Program Coordinator

Enclosure

c: Toya Joyner, CSBG Program Specialist, USHHS
Katina Lawson & Trudy Hairston, USHHS - LIHEAP
Ernestine Lowery, Board Chairperson
Laurey Carpenter, CSBG/LIHEAP Director
Ken McManus, OEO Director
Bertie McKie, Senior Manager for CSBG/LIHEAP
Diana Graham, Senior Manager for Audit
2012 CSBG and LIHEAP Agency Files

Via email and mailing:

**OFFICE OF THE GOVERNOR
Office of Economic Opportunity
Columbia, South Carolina 29201**

**LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM
(LIHEAP)**

AND

COMMUNITY SERVICES BLOCK GRANT (CSBG)

PY 2012 Monitoring Report

AGENCY NAME: Wateree Community Actions, Incorporated
ADDRESS: 2611 Forest Drive, Suite 115
Columbia, South Carolina 29204
Phone: (803) 807-9811
SITE(S) VISITED: Main Office
PERIOD REVIEWED: January 1, 2012 – May 31, 2012
DATES OF VISIT: June 25-29, 2012
PROGRAMS REVIEWED: CSBG and LIHEAP Programs
**AGENCY
EXECUTIVE DIRECTOR:** Dr. James L. Coleman
STAFF INTERVIEWED: Ms. Laurey Carpenter, Director of CSBG/LIHEAP
DATE OF REPORT: August 9, 2012
OEO REVIEWERS: Ms. Bertie McKie, Senior Manager for CSBG/LIHEAP
Ms. Sandra Grant, Program Coordinator
Mr. Jamaal Perry, Program Coordinator
Mr. Larry Washington, Program Coordinator

A. LIHEAP PROGRAM YEAR 2012

Subgrantee Monitoring Results

Section I: Revenues and Expenses

Energy Assistance - Based on the FSR for the period ending June 30, 2012 the total allocation for Energy Assistance was \$4,464,994.56. The expenditures were \$1,213,843.31 which represents an expenditure rate of 27%. The balance of funds was \$3,251,151.25. . An explanation is required to provide the agency's plan to expend these funds by the close of the grant.

Energy Counseling - Based on the FSR for the period ending June 30, 2012, the total allocation for Energy Counseling is \$229,622.00. The expenditures are \$126,613.53, which represents an expenditure rate of 55%. The balance of funds was \$103,008.47.

Section II: Files

Monitoring was conducted on June 25-29, 2012. One hundred nine (109) files were randomly selected and reviewed to ensure accuracy and adherence to program requirements. Of those files sixty (60) were Direct Assistance (DA), forty-three (43) were Emergency Crisis Intervention Program (ECIP), and six (6) were Project Share.

Resolved- DA

M. Cabbagestalk (10320662) - A copy of the customer's detailed bill was provided to help determine if the customer was supposed to receive an additional benefit for having an energy burden.

N. Glover (12471452) – An explanation was provided as to why the customer did not pay unallowable charges.

C. Allen (11436278) – An explanation was provided to help determine the amount owed on the customer bill.

C. Bendow (12458448) – A check copy was provided.

W. Hall (09156488), L. Richardson (12467608) – Proof of disability was placed in the customer's file.

A. Gilliard (12473691) - Miscellaneous income was entered in DBA to include money received from family members.

J. Portee (12468964) – An explanation was provided as to why the customer did not receive a benefit for having an energy burden.

FINDING: D. Baxley (12458784) – The customer's income was re-calculated using the total gross income.

B. Diggley (09183637) – The customer's name was corrected on the file folder.

FINDING: O. Hickman (12475016) – The customer's income was re-calculated using miscellaneous income from family members.

C. Thomas (12460766), J. Woodley (09187903) - A copy of the customer's detailed bill was provided to help determine the amount owed on the account.

G. Mack (09134615) – A letter from Lee County was provided to explain why the customer's service address did not match the mailing address.

S. Hardrick (10348460) - Proof of customer's disability was provided.

FINDINGS: D. Spriggs (09263882), C. Johnson (12473506) - Income was re-calculated to include miscellaneous money received from family members.

H. Thames (09253437) - Proof of customer's disability was provided. The agency provided documentation showing the additional \$50.00 disability benefit was given to the customer. The DBA application was updated to show the customer is disabled.

FINDING: S. Wilson (12469193) - Income was re-calculated to include miscellaneous money received from family members. The notes were updated to show the customer received DA service.

R. Heriot (12459185) – A legible copy of the customer's identification card was provided. An updated copy of the customer's bill with the delivery date and quantity of fuel delivered was provided. A change of address document from the DMV was provided.

J. Briggs (12465061), M. Faile (12471718) - An additional \$50.00 DA benefit was provided to the customer. Agency provided a copy of the check showing benefit was given to the customer.

T. Singleton (09199350), J. Hill (12458454) - An additional \$75.00 DA benefit was provided to the customer. Agency provided a copy of the check showing benefit was given to the customer.

Resolved- ECIP

L. Jeffers (10347203), C. Jett (09128672) - The income-to-bill ratio calculation was provided to justify emergency.

J. Bell (09244030) –The customer's demographic information was updated in DBA to show a disability. The notes were updated to show the customer received an ECIP service.

R. Myers (11418381), M. Franklin (09173072), D. Burroughs (12464685) - Miscellaneous income was entered in DBA to include money received from family members.

T. Williams (10337977) - A check copy was provided. The income-to-bill ratio was re-calculated using the customer's income and current energy bill.

A. Glover (12461694) - A check copy was provided. An explanation was provided why the child's name was not on the lease.

C. Seward (12473316) - An explanation was provided why it appeared the customer's utility services were disconnected prior to the date listed on the utility bill.

B. Staley (12460252) - The customer's referral form was completed to determine what agency they were referred to.

T. Henderson (12458634) - A copy of the customer's detailed bill was provided to help determine the amount owed on the account.

S. Pedican (12470907) - An explanation was to provided help determine why unallowed charges were not paid by the customer.

FINDINGS: M. Frazier (09179626), K. Macon (12460972) - A Declaration of Zero Income Form was placed in the customer's file. Income was re-calculated to include miscellaneous money received from family members.

FINDING: C. Lawson (12458733) - Income was re-calculated to include miscellaneous money received from family members. The income-to-bill ratio re-calculated was provided to justify emergency.

R. Crosby (12471500) - A Rental Agreement was provided to show the individuals living in the household that were listed on the DBA application.

H. Truesdale (09135081) - A DBA screenshot was provided to show the customer only reviewed one service in 2012 Program Year.

R. Williams (12457847) - Proof of customer's emergency was provided. An explanation was provided about some of the undefined fees on the customer's bill.

Pending

J. Hill (12458454) - The customer did not sign the second page of the DBA application.

FINDING: T. Davis (12459904) - A Declaration of Zero Income Form was not in the customer's file. The customer provided UI documents showing job search requirements needed to continue receiving unemployment compensation, but there was no printout showing his weekly benefits. The customer's income could not be determined without either of these documents. Provide a plan on how the agency will ensure income is properly documented during the intake process.

FINDING: L. McFadden (09117753) – The customer did not meet all the guidelines in order to utilize a disconnection to determine whether to use ECIP or DA service. The customer's FPL exceeded 75%, therefore making her ineligible. A reimbursement of \$275.00 is required.

FINDING: S. Stewart (09260400) – The income entry screen shot did not match the income on the DBA application. An additional person was listed on the DBA application that was not on the Lease Agreement. The household was over 150% of the FPL. A reimbursement of \$225.00 is required.

T. Manning (12462236) – The Lease Agreement did not list the children in the household.

FINDING: T. Mack (10307094) - Agency overpaid on customer's account by .02. The amount is immaterial, no reimbursement required.

C. Montgomery (09143036) – Official pay check stubs showing the gross and total withholdings for April 13th and April 20th were not in the file.

C. Vaughn (09230253) – The entire copy of the customer's 2010 tax return was not in the file.

B. Staley (12460252) – The customer's income needs to be re-calculated using the appropriate monetary amount awarded from Social Security. This may require reimbursement if the household is over 150% of the FPL.

(Observations)

1. Agency must ensure customers are receiving appropriate DA award amounts.
2. Agency must ensure they are paying correct amount towards the customer's energy bill.
3. Agency must ensure that financial contributions from individuals not in the household are included as miscellaneous income on in DBA.
4. Agency must ensure the customer's provide all income documentation prior to agency payments or pledges are made.
5. Agency must ensure the customer's proof of emergency occurs within 30 days of the application date, unless exceptions have been stated in the LIHEAP Administrative Guide.

Section III: Performance Target Outcome

Performance Target Outcome (PTO): 7,640 households will achieve at least one of the following: (1) Direct Assistance, (2) Emergency Crisis Intervention, (3) Home Ventilating and Air Conditioner, and (4) Window Air Conditioning unit.

- Based on the Household Reports:
 - 1,039 households received Direct Assistance to reduce their energy burden and increase the household's disposable income.
 - 1,598 households received a home energy Emergency Crisis Intervention assistance to prevent disconnection.

- 0 household received a home energy Heating Ventilating and Air Conditioning (HVAC) system.
- 0 households received window air conditioners.

Section IV: Project Share *Non-State, Non-Federal Funds*

“Project Share funding is administered on a state fiscal year cycle; beginning July 1st and ending June 30th of the following year; however the program operates on the calendar year with LIHEAP.” (Refer to the LIHEAP Administrative Guide).

South Carolina Electric & Gas - The FSR for the period ending May 31, 2012 reflects expenditures totaling \$49,282.66. The total revenue is \$73,062.91. The balance of funds is \$23,780.25.

B. CSBG PROGRAM YEAR 2012

Subgrantee Monitoring Results

- ❖ Monitoring was conducted on June 25-29, 2012. Files were randomly selected for review.
- ❖ The agency operates four CSBG projects: (1) GEAP, (2) Youth Leadership, (3) Nutrition, and (4) Housing.

Section I: General Emergency Assistance Program

GEAP - Based on the FSR for the period ending May 31, 2012 the total allocation for GEAP was \$204,446.00. The expenditures were \$12,457.86 which represents an expenditure rate of 6.1%. An explanation is required to provide the agency’s plan to expend these funds by the close of the grant.

Identified Problem: “Lack of financial resources to meet their basic needs.”

Service/Activity: “197 individuals/families will receive emergency assistance to alleviate crisis situations during the 2012 Program Year. Ensure that 50 individuals/families receive emergency assistance from emergency food and shelter funds during the 2012 Program Year. 30 individuals/families will receive emergency assistance for rent or mortgage up to \$500.00 to prevent eviction or foreclosure during the 2012 Program Year.”

Outcome/Indicator: “40 out of 50 or 80% of individuals/families will obtain access to expanded opportunities through community-wide partnerships. 24 out of 30 or 80% of seniors will be able to maintain independent living. 24 out of 30 or 80% of disabled persons will be able to maintain independent living. 32 out 40 or 80% of individuals will receive emergency fuel or utility payments. 135 out of 1500 or 9% of individuals/families will receive emergency rent/mortgage payments. 16 out of 20 or 80% of individuals/families will receive emergency car

or home repairs. 16 out of 20 or 80% of individuals/families will receive emergency temporary shelter. 16 out of 20 or 80% of individuals/families will receive emergency medical care. 5 out of 5 or 100% of individuals will receive emergency protection from violence. 8 out of 10 or 80% of individuals/families will receive emergency transportation assistance. 8 out of 10 or 80% of individuals/families will receive emergency disaster relief. 8 out of 10 or 80% of individuals/families will receive emergency clothing assistance. 16 out of 20 or 80% of individuals/families will obtain access to reliable transportation and/or driver's licenses to alleviate barriers to employment. 16 out of 20 or 80% will obtain health care services for themselves or family members to alleviate barriers to employment. 8 out of 10 or 80% will obtain care for child or other dependents to alleviate barriers to employment."

Clients served: 15

Files reviewed: 11

<u>County</u>	<u># Served</u>
Richland	7
Sumter	5
Kershaw	1
Lee	1
Clarendon	1
Total	15

Resolved

J. Sims (12458250) – The notes were updated to show the customer received a GEAP service.

C. Cain-Wise (09281289) – A statement from the customer's landlord was provided to document the children lived in the applicant's household.

R. Muldrow (11422287) – The income frequency was corrected to reflect weekly instead of bi-weekly. The DBA application and income screen shot were updated with the correct income and FPL.

Pending

FINDING: T. Richardson (12458998) - Agency overpaid on customer's account by .31. The amount is immaterial, no reimbursement required.

S. Feaster (12459948) – The customer was left with \$28.00 balance after the agency provided an emergency service.

(Observations)

1. Agency must ensure they are paying correct amount towards the customer's account.
2. Agency must ensure customers are not left with a balance after an emergency service has been provided.

Section II: Youth Leadership Program

Youth Leadership Program - Based on the FSR for the period ending June 30, 2012, the total allocation for Youth Leadership was \$26,785.00. The expenditures were \$1,200.93 which represents an expenditure rate of 4.5%. An explanation is required to provide the agency's plan to expend these funds by the close of the grant.

Identified Problem: "The Needs Assessment revealed that youth/adults lack of marketable employment skills and poor work ethic. There are also a limited number of jobs with comparable living wages. Students are unprepared for post high school training, work, or leadership roles. A high number of students are dropping out of school before graduating. Undesirable youth activities such as teenage pregnancy, drug abuse, gang and crime continues to grow among students in grades 9-12. Middle school students are at risk for low academic achievement. High numbers of middle school students are dropping out of school prior to completing high school."

Service/Activity: "112 youth/adults ages 16-24 will complete 85% of the 20 hours of pre-employment training to do work experience during the 2012 Program Year. 112 youth/adults enrollees ages 16-24 will receive a benchmark certificate. 112 youth/adult enrollees that complete 85% of the program will be placed on limited work experience for 40 hours a week and receive a stipend of \$6.25 per hour. 100 students will be enrolled and pre-tested by February 28, 2012. 100 enrolled youth and parents will complete an MOU for the program. 100 enrollees will complete the Six Pillars of Character curriculum by May 30, 2012. 100 enrollees will attend a city council, county council meeting and a court session by April 30, 2012. 100 enrollees will complete 10 hours of community service. 100 students in grades 6-8 will enroll and complete the TABE Pre-test and MOU by March 31, 2012. 100 enrollees will complete 60 hours of instructional training to reinforce reading, writing, and mathematical skills. 100 enrollees will complete the TABE Post-test. 100 enrollees will complete 85% of the program and receive a school supply packet valued at \$75.00."

Outcome/Indicator: "90 out of 100 or 90% will obtain a job. 25 out of 100 or 25% will achieve "living wage" employment and/or benefits. 90 out of 100 or 90% will obtain skills/competencies required for employment. 90 out of 100 or 90% will complete the required curriculum and obtain skills/competencies for employment. 87 out of 125 or 70% will improve their social/emotional development. 70 out of 100 or 70% will avoid risk taking behavior for a defined period. 60 out of 100 or 60% will reduce their involvement with the criminal justice system. 50 out of 100 or 50% will increase their academic, athletic, or social skills for school success. 70 out of 100 or 70% will enroll in before or after school programs. 40 out 100 or 40% will reduce their involvement with the criminal justice system."

Clients served: 58

Files reviewed: 51 (14- YETS, 17- YLP, 20- Academic Camp)

Resolved

L. Brailsford (11400170) – Agency documents were not signed and dated. Student never attended required orientation and was removed from the program.

E. Mickens (10297379) – Proof of applicant's TANF income was placed in the file.

T. Burris (09214211) – The incomplete field trip permission slip was removed from the file.

E. Brown (10330594) - Proof of miscellaneous income was provided for one of the members of the household.

L. Robinson (10344880) – The Social Security income was placed under the adult head of household.

J. Wilson (11406899) – An updated referral form was placed in the file.

M. Hopkins (11411811) - The Social Security income was placed under the adult head of household. The incomplete field trip permission slip was removed from the file. Blank Pre-Evaluation forms were removed from the file. The instructor and signed the Pre-Evaluation. Notes were added to DBA about the current status of the student.

R. McLeod (09148257) – Proof of applicant's Social Security income was provided. The Pre-Evaluation was completed by the student. The Pre and Post-Evaluations were dated. The incomplete field trip permission slip was removed from the file.

C. Oaks (11402619) – A copy of the students test scores were placed in the file.

S. Simons (09147111) - A Declaration of Zero Income Form was placed in the customer's file. Blank Pre-Evaluation forms were removed from the file. The Pre-Evaluation was signed by the instructor.

K. Williams (09134100), F. Bolton (12466428) – The Pre-Evaluation was signed by the instructor.

V. Gunter (09132651), L. Singleton (10295614), D. Epps (12466257) – Notes were added to DBA about the current status of the student. The Pre-Evaluation was signed by the instructor.

T. Davis (12468330) - Household member's name corrected on DBA application. Notes were added to DBA about the current status of the student.

L. Blyther (09132223) - The Pre-Evaluation was signed by the instructor and the student. The Pre-Evaluation was completed by the student. Blank Pre-Evaluation forms were removed from the file. A completed field trip permission slip was added to the file.

F. Bolton (12466428) - Notes were added to DBA about the current status of the student.

L. Blyther (09132223) – The students Action Plan was updated to show current status. The Pre-Evaluation was signed by the instructor. The incomplete field trip permission slip was removed from the file.

L. Oliver (10307525) - The Pre-Evaluation was signed by the instructor. The incomplete field trip permission slip was removed from the file. A completed field trip permission slip was added to the file. A date was placed on the Lessons in Character activities.

P. Kelly (09226520) - A copy of the student's test scores were placed in the file. Notes were added to DBA about the current status of the student.

V. Brown (09125517) - Notes were added to DBA about the current status of the student.

S. Pringle (09288236), A. Jackson (11409568) - The incomplete field trip permission slip was removed from the file. Notes were added to DBA about the current status of the student.

L. Singleton (10295614) – Parental permission slip was placed in the student's file.

M. Jackson (09175799) – An income entry screen shot from DBA was placed in the customer's file. The income was re-calculated to include gross mileage.

M. Rice (12468784) - A Declaration of Zero Income Form was placed in the customer's file. Documents were provided to show spouse lived in the household. The income was re-calculated to include income from the spouse. Document was provided to show an individual no longer lived in the household.

S. Lewis (12468591) – A legible copy of the applicant's identification card was provided. The incomplete field trip permission slip was removed from the file. Notes were added to DBA about the current status of the student. A copy of the student's test scores were placed in the file.

M. Anderson (09131791) – Proof of the customer's address was placed in the file.

E. Mickens (10297379) - Proof of applicant's TANF income was placed in the file. A completed Pre-Assessment was placed in the file.

K. Davis (09158111) – An income entry screen shot from DBA was placed in the customer's file. Blank Pre-Evaluation forms were removed from the file. An additional pay check stub was provided to determine the household's income. Social Security cards were provided for two members of the household.

S. Kennedy (09288307) - Notes were added to DBA about the current status of the student.

J. McCloud (11416582) - Notes were added to DBA about the current status of the student. The correct date was added to the signature page on the DBA application.

M. Brunson (11421323) – A completed field trip permission slip was placed in the file. An explanation was provided about the start dates for the Summer Employment program.

Pending

J. McCloud (11416582) – The Pre-Evaluation form was not in the file. The Pre-Employment information was not in the file.

D. Bing (09125578) – The student began participating in activities prior to the application was completed and signed by staff, parent/guardian, and student.

M. Brunson (11421323) – Provide notes about the student's progress in the program.

D. Epps (12466257) – A Parental Permission slip to participate in the program was not in the file.

(Observations)

1. Agency needs to ensure all documents are signed and dated by the staff, parent/guardian, and student.
2. Agency needs to ensure Pre-Evaluations are completed during initial enrollment of the student.
3. Agency must never have a parent/guardian complete a field trip permission slip without a destination on the form.
4. Agency must ensure progress notes are being added into to DBA for all participants.

(Recommendation)

The agency should consider rewording and discontinue use of the document the gives Wateree permission to authorize medical treatment for students participating in the program.

Section III: Nutrition

Nutrition - Based on the FSR for the period ending May 31, 2012 the total allocation for this project was \$8,200.00. The expenditures were \$1,500.00 which represents an expenditure rate of 18%.

Identified Problem: "The Needs Assessment data showed children/youth suffer from poor nourishment to have healthy bodies. The Needs Assessment data showed that large numbers of individuals are suffering from malnutrition."

Service/Activity: "11 low-income homebound disabled individuals will receive weekly home delivered meals from the local Council on Aging during the 2012 Program Year. 100 low-income individuals will attend the National Community Action Month event and receive a nutritious meal during the 2012 Program Year."

Outcome/Indicators: "8 out of 11 or 72% of seniors will maintain independent living because of community action efforts. 9 out of 11 or 82% of disabled person will maintain independent living as a result of community action efforts. 40 out of 50 or 80% will improve their health and

physical development. 20 out 20 or 100% of individuals/families will receive information and referrals.”

At the time of this monitoring visit the agency had not served any clients under the home meal delivery portion of this project. However, under this project the agency did expend funds for the “Mayfair”. The agency provided sign-in logs, and a \$ 1,523.82 receipt of purchase for the meals given to the event attendees.

Section IV: Housing

Housing - Based on the FSR for the period ending May 31, 2012 the total allocation for this project was \$25,500.00. There were no expenditures year-to-date. An explanation is required to provide the agency’s plan to expend these funds by the close of the grant.

Identified Problem: “The Needs Assessment data shows an increase in individuals seeking to be homeowners. The housing market reflects a steady decline in the price of houses. Statistics showed that crime is still a major problem in South Carolina and the gang problem continues to grow.”

At the time of this monitoring visit the agency had not served any clients under this project.

Section V: Board Members

- ❖ The Board of Director’s roster was provided during the monitoring along with board minutes for January 31, February 23, and March 27, 2012. Board minutes include reports from the executive director, personnel, finance, nominating and planning committees.
- ❖ The agency’s board is comprised of 15 members. At the time of this monitoring visit, there were no vacancies.

C. OTHER NARRATIVE

On June 25, 2012, an entrance conference was conducted and attended by Dr. James Coleman, Ms. Laurey Carpenter, Ms. Bertie McKie, Ms. Sandra Grant, Mr. Jamaal Perry, and Mr. Larry Wilson.

On June 29, 2012, an exit conference was attended by Dr. James Coleman, Ms. Laurey Carpenter, Ms. Bertie McKie, Ms. Sandra Grant, Mr. Jamaal Perry, and Mr. Larry Wilson. The comments, observations, recommendations and areas of concern outlined in this report were discussed at that time.

D. OTHER NARRATIVE

Vehicles were inspected for the appropriate logos. Current registration and insurance cards were provided on site. Tag numbers and mileage were recorded as follows:

Tag # GRE820 - mileage 15,496.8

Tag # BU23011 - mileage 9,873.4

Tag # GRE819 - mileage 18,064

Tag # BKA185 – mileage 26,959

This monitoring is not closed pending the requested information due to OEO by August 31, 2012.



State of South Carolina

Office of the Governor

NIKKI R. HALEY
GOVERNOR

OFFICE OF EXECUTIVE
POLICY AND PROGRAMS

WEATHERIZATION ASSISTANCE PROGRAM MEMORANDUM NO. W 03-12

DATE: July 3, 2012

SUBJECT: PY 2012 WAP and LIHEAP WAP Actual Allocations

The attached reflect your agency's PY 2012 WAP actual allocation for PY 2012 WAP, PY 2012 LIHEAP WAP, and PY 2011 LIHEAP WAP carryover.

PY 2012 DOE WAP Actual	\$ 927,855.00
PY 2012 LIHEAP WAP Actual	\$ 5,440,520.00
PY 2011 LIHEAP WAP Carryover	\$ 5,589,067.87
TOTAL	\$11,957,442.87

The subgrantees' allocation for WAP PY 2012 (April 1, 2012 through March 31, 2013) appears as follows:

PY 2012 WAP and LIHEAP WAP Actual Allocations

	Admin	5% Additional Admin	3% Health & Safety	Program Operations	T&TA	Total
OEO (4%)	\$ 37,114.00	\$ 0	\$ 0	\$ 0.00	\$ 82,785.00	\$ 119,899.00
Subgrantees (6%)	\$ 55,671.00	\$ 40,398.00	\$ 27,835.00	\$ 674,052.00	\$ 10,000.00	\$ 807,956.00
PY 2012 LIHEAP WAP actual	\$ 0	\$ 0	\$ 0	\$ 5,440,520.00	\$ 0	\$ 5,440,520.00
PY 2011 LIHEAP WAP carryover				\$ 5,589,067.87	\$ 0	\$ 5,589,067.87
TOTAL	\$ 92,785.00	\$ 40,398.00	\$ 27,835.00	\$ 11,703,639.87	\$ 92,785.00	\$ 11,957,442.87

IMPORTANT INFORMATION:

1) Allocation Sheets

The attached allocation sheets reflect the actual funding for PY 2012 WAP. Please use this memorandum to develop the actual budget for submission as soon as possible, but no later than the close of business on **Tuesday, July 24, 2012.**

2) Reduction - Additional Administration 5% - Agencies receiving less than \$350,000

Per DOE, OEO had to change the method for calculating the additional 5% subgrantee administration funding which applies to agencies receiving less than \$350,000 for total DOE funding. The additional 5% subgrantee administration funding is now calculated on the total allocation to subgrantees rather than on the total federal award.

3) PY 2012 WAP, PY 2012 LIHEAP WAP, and PY 2011 LIHEAP WAP carryover

PY 2012 WAP funds must be reported as fully expended by the close of the grant period (March 31, 2013). PY 2012 WAP funds are a one year grant and must be reported as fully expended at the close of the grant. Any unexpended funds will be reported in LIHEAP WAP.

4) Financial Budgeting and Reporting

OEO Budget Form 516 and OEO FSR Form 515 are available on the OEO website (<http://www.oepp.sc.gov/oeo/forms.htm>) to accommodate financial budgeting and reporting for the WAP PY 2012 actual allocations.

Note: OEO will be manually entering the submitted actual budgets into DBA. Afterward, agencies will be required to submit budgets and FSRs on the DBA system. Training will be provided to agencies around the end of August 2012. OEO staff will coordinate training as soon as the agency's actual budget is approved.

5) Board Approval

A copy of the minutes with board approval must accompany the actual budget. In the place of board minutes, you may wish to use the Board Approval form included with the budget forms.

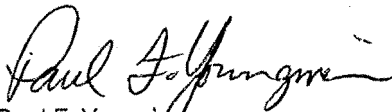
6) WAP DOE Maximum Average

The PY 2012 WAP DOE maximum average is \$6,769.

7) Salary Increases

If you plan to give salary increases in WAP PY 2012, the application and/or the actual budgets will need to include all salary increases for the program year.

If you have any questions, please contact me at (803) 734-9861 on program issues or Ann Harmon, Senior Manager for Fiscal Services, at (803) 734-9828 on fiscal issues.



Paul F. Younginer
Senior Manager for Weatherization

Attachments

DISTRIBUTION:

CAA Board Chairperson
CAA WAP Executive Directors
CAA WAP Fiscal Officers
WAP Coordinators
Ken McManus, OEO Director
OEO staff
PY 2012 WAP Control File

WEATHERIZATION BUDGET-CFDA # 81.042 GRANT # DE-FG26-07NT43110

LIHEAP - CFDA # 93.568 GRANT # G-12BISCLIEA

FUNDS AVAILABLE FOR OEO and SUBGRANTEES

WAP PROGRAM YEAR 2012 ACTUAL ALLOCATION

LIHEAP PROGRAM YEAR 2012 ACTUAL ALLOCATION

	Administration	*Additional 5% Administration Based on Subgrantee Alloc.	3% Health & Safety	2012 Program Operations	T&TA	Total
OEO(4%)	37,114.00	0.00	0.00	0.00	82,785.00	119,899.00
SUBGRANTEES(6%)	55,671.00	40,398.00	27,835.00	674,052.00	10,000.00	807,956.00
2012 LIHEAP WAP	0.00	0.00	0.00	5,440,520.00	0.00	5,440,520.00
LIHEAP WAP 2011 C/O	0.00	0.00	0.00	5,589,067.87	0.00	5,589,067.87
TOTAL	92,785.00	\$40,398.00	\$27,835.00	11,703,639.87	\$92,785.00	\$11,957,442.87

5% Additional Administration - DOE Allocations not exceeding \$350,000

WEATHERIZATION ALLOCATIONS

PY 2012 ACTUAL ALLOCATION - DOE CFDA # 81.042, GRANT AWARD #DE-FG26-07NT43110

and LIHEAP - CFDA # 93.568 GRANT # G-12B1SCLIEA

April 1, 2012 Through March 31, 2013

AGENCY/COUNTY	T&TA	DOE Admin	DOE Admin. Additional 5% on Subgrantee Base Allocation	DOE Admin. (Including Additional 5%)	DOE Health and Safety	DOE Program Operations	LIHEAP Program Operations	2011 Unexpended LIHEAP WAP Program Operations	Total LIHEAP Program Operations	Total Program Operations	TOTAL	TOTAL (including T&TA, Admin. and Health&Safety)	Total Dwellings \$6,769 DOE Max. + \$5,000 LIHEAP Max. = \$11,769 Total Per Dwelling Max.
<u>Aiken/Barnwell</u>													
Aiken		\$1,997	\$1,449	\$3,446	\$999	\$24,183	\$195,191	\$200,520.94	\$395,711.94	\$419,894.94	\$424,339.94		36
Allendale		\$291	\$211	\$502	\$146	\$3,527	\$28,467	\$29,244.18	\$57,711.18	\$61,238.18	\$61,886.18		5
Barnwell		\$406	\$295	\$701	\$203	\$4,920	\$39,709	\$40,793.15	\$80,502.15	\$85,422.15	\$86,326.15		7
Lexington		\$2,162	\$1,569	\$3,731	\$1,081	\$26,178	\$211,291	\$217,059.61	\$428,350.61	\$454,528.61	\$459,340.61		39
Richland		\$3,741	\$2,715	\$6,456	\$1,871	\$45,299	\$365,623	\$375,606.04	\$741,229.04	\$786,528.04	\$794,855.04		67
Greenville		\$4,739	\$3,439	\$8,178	\$2,369	\$57,374	\$463,086	\$475,730.22	\$938,816.22	\$996,190.22	\$1,006,737.22		84
TOTAL	\$1,000	\$13,336	\$9,678	\$23,014	\$6,669	\$161,481	\$1,303,367	\$1,338,954.14	\$2,642,321.14	\$2,803,802.14	\$2,833,485.14	\$2,834,485.14	238
<u>Carolina</u>													
Chester		\$549	\$398	\$947	\$274	\$6,642	\$53,613	\$55,076.58	\$108,689.58	\$115,331.58	\$116,552.58		10
Fairfield		\$395	\$287	\$682	\$198	\$4,787	\$38,639	\$39,694.45	\$78,333.45	\$83,120.45	\$84,000.45		7
Lancaster		\$1,121	\$814	\$1,935	\$561	\$13,577	\$109,582	\$112,573.61	\$222,155.61	\$235,732.61	\$238,228.61		20
Union		\$449	\$326	\$775	\$225	\$5,442	\$43,923	\$45,121.94	\$89,044.94	\$94,486.94	\$95,486.94		8
York		\$2,085	\$1,513	\$3,598	\$1,043	\$25,245	\$203,764	\$209,327.25	\$413,091.25	\$438,336.25	\$442,977.25		37
TOTAL	\$1,000	\$4,599	\$3,338	\$7,937	\$2,301	\$55,693	\$449,521	\$461,793.83	\$911,314.83	\$967,007.83	\$977,245.83	\$978,245.83	82
<u>Charleston</u>													
Beaufort		\$1,212	\$879	\$2,091	\$606	\$14,674	\$118,435	\$121,669.03	\$240,104.03	\$254,778.03	\$257,475.03		22
Berkeley		\$1,666	\$1,209	\$2,875	\$833	\$20,170	\$162,800	\$167,245.37	\$330,045.37	\$350,215.37	\$353,923.37		30
Charleston		\$4,308	\$3,123	\$7,431	\$2,151	\$52,116	\$420,644	\$432,128.14	\$852,772.14	\$904,888.14	\$914,470.14		76
Dorchester		\$1,107	\$803	\$1,910	\$553	\$13,403	\$108,182	\$111,136.16	\$219,318.16	\$232,721.16	\$235,184.16		20
Jasper		\$340	\$247	\$587	\$170	\$4,114	\$33,203	\$34,109.97	\$67,312.97	\$71,426.97	\$72,183.97		6
Subtotal	\$1,000	\$8,633	\$6,261	\$14,894	\$4,313	\$104,477	\$843,264	\$866,288.67	\$1,709,552.67	\$1,814,029.67	\$1,833,236.67	\$1,834,236.67	154
<u>Chesterfield-Marlboro</u>													
Chesterfield		\$727	\$528	\$1,255	\$364	\$8,807	\$71,087	\$73,027.88	\$144,114.88	\$152,921.88	\$154,540.88		13
Darlington		\$1,036	\$752	\$1,788	\$518	\$12,542	\$101,234	\$103,998.58	\$205,232.58	\$217,774.58	\$220,080.58		18
Dillon		\$751	\$545	\$1,296	\$376	\$9,098	\$73,435	\$75,440.06	\$148,875.06	\$157,973.06	\$159,645.06		13
Marlboro		\$535	\$388	\$923	\$268	\$6,479	\$52,294	\$53,721.73	\$106,015.73	\$112,494.73	\$113,685.73		10
TOTAL	\$1,000	\$3,049	\$2,213	\$5,262	\$1,526	\$36,926	\$298,050	\$306,188.25	\$604,238.25	\$641,164.25	\$647,952.25	\$648,952.25	54
<u>GLEAMNS</u>													
Abbeville		\$454	\$330	\$784	\$227	\$5,501	\$44,397	\$45,609.36	\$90,006.36	\$95,507.36	\$96,518.36		8
Anderson		\$2,245	\$1,629	\$3,874	\$1,122	\$27,179	\$219,372	\$225,362.00	\$444,734.00	\$471,913.00	\$476,909.00		40
Edgefield		\$343	\$249	\$592	\$171	\$4,152	\$33,509	\$34,423.85	\$67,932.85	\$72,084.85	\$72,847.85		6
Greenwood		\$928	\$674	\$1,602	\$464	\$11,240	\$90,724	\$93,201.40	\$183,925.40	\$195,165.40	\$197,231.40		17
Laurens		\$1,049	\$761	\$1,810	\$525	\$12,706	\$102,553	\$105,353.43	\$207,906.43	\$220,612.43	\$222,947.43		19
McCormick		\$122	\$89	\$211	\$61	\$1,481	\$11,950	\$12,275.94	\$24,225.94	\$25,706.94	\$25,978.94		2
Newberry		\$476	\$345	\$821	\$238	\$5,759	\$46,480	\$47,748.97	\$94,228.97	\$99,987.97	\$101,046.97		8
Oconee		\$931	\$675	\$1,606	\$465	\$11,270	\$90,965	\$93,449.21	\$184,414.21	\$195,684.21	\$197,755.21		17
Pickens		\$1,460	\$1,060	\$2,520	\$730	\$17,683	\$142,729	\$146,625.73	\$289,354.73	\$307,037.73	\$310,287.73		26
Saluda		\$204	\$148	\$352	\$102	\$2,472	\$19,951	\$20,495.73	\$40,446.73	\$42,918.73	\$43,372.73		4
TOTAL	\$1,000	\$8,212	\$5,960	\$14,172	\$4,105	\$99,443	\$802,630	\$824,545.62	\$1,627,175.62	\$1,726,618.62	\$1,744,895.62	\$1,745,895.62	147

WEATHERIZATION ALLOCATIONS

PY 2012 ACTUAL ALLOCATION - DOE CFDA # 81.042, GRANT AWARD #DE-FG26-07NT43110

and LIHEAP - CFDA # 93.568 GRANT # G-12B1SCLIEA

April 1, 2012 Through March 31, 2013

AGENCY/COUNTY	T&TA	DOE Admin	Admin. Additional 5% on Subgrantee Base Allocation	DOE Admin. (Including Additional 5%)	DOE Health and Safety	DOE Program Operations	LIHEAP Program Operations	2011 Unexpended LIHEAP WAP Program Operations	Total LIHEAP Program Operations	Total Program Operations	TOTAL	TOTAL (including T&TA, Admin. and Health&Safety)	\$6,769 DOE Max. + \$5,000 LIHEAP Max. = \$11,769 Total Per Dwelling Max.
Lowcountry CAA, Inc.													
Colleton		\$685	\$497	\$1,182	\$342	\$8,289	\$66,905	\$68,732.12	\$135,637.12	\$143,926.12	\$145,450.12		12
Hampton		\$326	\$236	\$562	\$163	\$3,943	\$31,828	\$32,697.33	\$64,525.33	\$68,468.33	\$69,193.33		6
Subtotal	\$1,000	\$1,011	\$733	\$1,744	\$505	\$12,232	\$98,733	\$101,429.45	\$200,162.45	\$212,394.45	\$214,643.45	\$215,643.45	18
OCAB													
Bamberg		\$385	\$279	\$664	\$192	\$4,659	\$37,602	\$38,628.79	\$76,230.79	\$80,889.79	\$81,745.79		7
Calhoun		\$173	\$126	\$299	\$86	\$2,094	\$16,903	\$17,364.79	\$34,267.79	\$36,361.79	\$36,746.79		3
Orangeburg		\$1,795	\$1,303	\$3,098	\$898	\$21,737	\$175,450	\$180,240.01	\$355,690.01	\$377,427.01	\$381,423.01		32
Subtotal	\$1,000	\$2,353	\$1,708	\$4,061	\$1,176	\$28,490	\$229,955	\$236,233.59	\$466,188.59	\$494,678.59	\$499,915.59	\$500,915.59	42
Piedmont													
Cherokee		\$809	\$587	\$1,396	\$404	\$9,792	\$79,032	\$81,189.82	\$160,221.82	\$170,013.82	\$171,813.82		14
Spartanburg		\$3,111	\$2,258	\$5,369	\$1,556	\$37,671	\$304,057	\$312,359.31	\$616,416.31	\$654,087.31	\$661,012.31		56
TOTAL	\$1,000	\$3,920	\$2,845	\$6,765	\$1,960	\$47,463	\$383,089	\$393,549.13	\$776,638.13	\$824,101.13	\$832,826.13	\$833,826.13	70
Waccamaw													
Georgetown		\$945	\$686	\$1,631	\$472	\$11,439	\$92,325	\$94,845.36	\$187,170.36	\$198,609.36	\$200,712.36		17
Horry		\$3,060	\$2,221	\$5,281	\$1,530	\$37,055	\$299,088	\$307,253.98	\$606,341.98	\$643,396.98	\$650,207.98		54
Williamsburg		\$812	\$589	\$1,401	\$406	\$9,834	\$79,378	\$81,545.00	\$160,923.00	\$170,757.00	\$172,564.00		15
TOTAL	\$1,000	\$4,817	\$3,496	\$8,313	\$2,408	\$58,328	\$470,791	\$483,644.34	\$954,435.34	\$1,012,763.34	\$1,023,484.34	\$1,024,484.34	86
Wateree													
Clarendon		\$581	\$421	\$1,002	\$290	\$7,029	\$56,733	\$58,281.85	\$115,014.85	\$122,043.85	\$123,335.85		10
Florence		\$1,775	\$1,288	\$3,063	\$888	\$21,492	\$173,471	\$178,207.76	\$351,678.76	\$373,170.76	\$377,121.76		33
Kershaw		\$698	\$507	\$1,205	\$349	\$8,457	\$68,256	\$70,119.94	\$138,375.94	\$146,832.94	\$148,386.94		12
Lee		\$437	\$317	\$754	\$219	\$5,294	\$42,733	\$43,899.33	\$86,632.33	\$91,926.33	\$92,899.33		8
Marion		\$659	\$478	\$1,137	\$330	\$7,979	\$64,404	\$66,162.88	\$130,566.88	\$138,545.88	\$140,012.88		12
Sumter		\$1,591	\$1,155	\$2,746	\$796	\$19,268	\$155,523	\$159,769.09	\$315,292.09	\$334,560.09	\$338,102.09		28
TOTAL	\$1,000	\$5,741	\$4,166	\$9,907	\$2,872	\$69,519	\$561,120	\$576,440.85	\$1,137,560.85	\$1,207,079.85	\$1,219,858.85	\$1,220,858.85	103
GRAND TOTAL	\$10,000	\$55,671	\$40,398	\$96,069	\$27,835	\$674,052	\$5,440,520	\$5,589,067.87	\$11,029,587.87	\$11,703,639.87	\$11,827,543.87	\$11,837,543.87	994

OFFICE OF THE GOVERNOR

**Office of Economic Opportunity
1205 Pendleton Street
Columbia, South Carolina 29201**

Housing Prevention & Rapid Re-housing

Program Year 2010 Monitoring Report

AGENCY NAME:	Wateree Community Action Inc.
ADDRESS:	13 S. Main Street, Sumter SC 29150
TELEPHONE NUMBER:	(803) 755-4354
SITE(S) VISITED:	4 Prevention and 3 Rapid Re-housing dwellings
GRANT PERIOD:	September 1, 2009 – July 14, 2012
AWARD AMOUNT:	\$700,000
GRANT NUMBER:	S-09-DY-45-0001-20
DATE OF VISIT:	February 8 and 9, 2011 March 8 th and 9 th , 2011
PROJECT TYPE:	Homelessness Prevention/Rapid Re-housing
EXECUTIVE DIRECTOR:	Dr. James Coleman
STAFF INTERVIEWED:	Dr. James Coleman, Executive Director, Charlene Davis, Program Director, Serdaria N. Bouknight, Program Coordinator Joseph Davis, Operation Officer
DATE OF REPORT:	June 2, 2011
OEO REVIEWER(S):	Margaret Gibson, OEO Senior Manager James Irby, Program Coordinator Shinnell Jones, Program Coordinator Tanesha Ramsey, Program Assistant

Project Summary—Description of agency HPRP project

The Wateree Community Actions, Inc. (WCAI) agency is committed to enhancing the social and economic self-sufficiency of low income people of Clarendon, Kershaw, Lee, Richland and Sumter counties. This agency coordinates, partnering relationships, and conducts a range of custom designed services and activities geared toward reducing poverty problems in the community. The agency has provided services to families living in poverty in the Midlands since July 1970.

One of the agency goals is to eliminate homelessness through a coordinated effort of services. This agency offers direct case management, for crisis intervention, substance abuse, mental health counseling, education, employment training, enrichment activities for children and other supportive services. Homeless Prevention and Rapid Re-housing are services they believe are critical to address the homelessness issues in their community.

WCAI staff members focus on helping those at risk of becoming homeless or those who become homeless, the resources to regain housing stability and add to their quality of life. Many of those who access these services are elderly, disabled, single parents with children, underemployed, or recently unemployed.

WCAI works in partnership with the following: The Total Care for the Homeless Coalition, Child and Adult Protective Services, the One-Stop Center and other non-profit organizations. The agency publicizes the availability of assistance and eligibility criteria to all five servicing counties. They post information about their services in local newspapers, on the agency website, and send notification of funding to its partner cities and non-profit and faith based organizations.

Financial Management

Budget

The agency's budget encompasses the provision of both the Homeless Prevention and Rapid Re-housing components totaling \$700,000.

The Homeless Prevention component approved budget includes the following:

Project Activities—Financial Assistance: The project includes Financial Assistance totaling \$252,265 or 36.04% of the agency's total budget. Financial Assistance includes \$150,764 for short-term rental assistance, \$16,000 for medium-term rental assistance, and \$15,000 for security/utility deposits, \$50,000 for utility payments, \$3,500 for moving cost, \$7,000 for motel/hotel vouchers, and \$10,000 for operational cost for office supplies, cabinets, etc...

Project Activities—Housing Relocation & Stabilization: Project activities for Housing Relocation and Stabilization total \$206,738 or 29.54% of the total budget. The project includes salaries for HPRP case management services and payroll processing, indirect cost, operational, space rent, utilities, telephone, internet, travel, maintenance, and equipment.

Project Activities—Outreach & Marketing: Outreach & Marketing services totaling \$9,250 or 1.33% from the total budget for the agency to network with the community.

Project Activities—Housing Search, and Placement: The project services totaling \$5,250 or .75% of the total budget for HPRP case management travel to search for housing and placement options for participants.

Project Activities—Legal and Credit Repair services were in the initial budget and after evaluating the participant needs, funds were reallocated to other project activities to meet the participant needs.

Project Activities—Data Collection & Evaluation: Data Collection & Evaluation is for agency contractual services, equipment/licensing renewal, training and travel totaling \$27,838 or 3.98% from the total agency's budget.

The Rapid Re-housing component of the agency's approved budget includes the following:

Project Activities—Financial Assistance: The project includes Financial Assistance totaling \$84,203 or 12.03% of the agency's total budget. Financial Assistance includes \$30,000 for short-term rental assistance, \$10,000 for medium-term rental assistance, \$15,702 for security/utility deposits, \$14,000 for utility payments, \$4000 for moving cost, \$7,000 for motel/hotel vouchers, and \$3,501 for operational cost to assist families to return or move into housing.

Project Activities—Housing Relocation & Stabilization: Project activities for Housing Relocation and Stabilization total \$88,119 or 12.59% of the agency's total budget. The project includes salaries for HPRP case management services, payroll processing, operational, space rent, utilities, telephone, internet etc., travel, maintenance, and equipment.

Project Activities—Outreach & Marketing: Outreach & Marketing services for the agency to provide network connectivity with the community total \$7,250 or 1.04% from the agency's total budget.

Project Activities—Housing Search and Placement: The project activities for Housing Search and Placement services includes a budget of \$5,250 or .75% of the total budget for HPRP case management travel to search for housing and placement options for participants.

Project Activities—Legal and Credit Repair services were in the initial budget and after evaluating the participant needs, funds were reallocated to other project activities to meet the participant needs.

Project Activities—Data Collection & Evaluation: The project activities for Data Collection & Evaluation is for equipment, licensing, training and traveling totaling \$13,838 or 1.98% from the total agency's budget.

Disbursements/Expenditures and Financial Status Reports (FSRs)

The current disbursement method used to disburse HPRP funds has been modified after a recent audit by HUD. A letter was sent out to the agency on April 28, 2011 in this regard. An audit performed by OEO indicated that WCAI has \$83,000.07 cash on hand and that three months of operating expenses average \$130,200.28. This does not impact the agency total allocation. OEO will disburse funds on an expense reimbursement basis. It will be very important for the agency to provide documentation regarding the agency's committed obligations such as anticipated HPRP payroll and ongoing participant assistance, so that OEO is able to distribute enough funds to keep the agency running smoothly.

OEO will continue to require the monthly financial status reports that must all be accompanied by supporting documentation of the expenses being reported. This supporting documentation is a detailed general ledger. OEO's fiscal department has issued the agency three (3) notices for request for additional

information. The most current notice was sent on May 6, 2011 which contains the following line items that are over expended to the approved budget:

- Homeless Prevention financial assistance, short term rental assistance, case management and fringe benefits.
- Rapid Re-housing case management fringe benefits.

These signify a budget amendment is necessary. The agency is advised to correct all items in a timely manner.

OEO is current working on a budget revision sent by the agency that does not alleviate the concerns OEO fiscal has noted repeatedly on request for additional information regarding the agency being overfunded in same line items.

Wateree Community Actions, Inc. will submit to the OEO an updated revised HPRP budget on September 30, 2011 for approval, which rectifies all over, expended line items.

Expenditures and Recapture Provision: Through March 2011 the agency has expended 62% of its grant through 65.84% of the grant period. The agency has expended the State's two-year benchmark for the 60% expenditure of funds before the July 14, 2011 expenditure benchmark.

Participant File Review—Evidence of HPRP Requirements

Three Eligibility Criteria

FINDING

Initial Assessment: —HPRP requires that the household must receive at least an initial consultation and eligibility assessment with a case manager or other authorized representative who can determine eligibility and the appropriate type of assistance needed. The agency files reviewed contained initial assessment documentation. The MACH-HMIS intake form, an agency HPRP application, an initial assessment document, and case notes were utilized to determine the participant's eligibility for assistance. There were inconsistent forms utilized in the agency files. A Service Point print out was also utilized to enter data into HMIS.

The assessment date of the participant file S. Singleton had two (2) different entry dates i.e. the eligibility for HPRP assistance and a letter to property manager announcing their eligibility for assistance to prevent eviction was dated 11/17/11. The case notes indicate the participant didn't have all of the paperwork on 11/17/2011 to complete the intake application. The visual assessment and entry dates in HMIS for the initial assessment were dated 11/24/11.

OEO recommends that the agency document clearly the date eligibility is determined since other HPRP requirements hinge upon the eligibility date.

Please be reminded that an eviction notice and proof of income alone are not enough to determine eligibility and appropriateness for HPRP. For households who are at-risk of losing their housing, in addition to documenting that the household meets income eligibility criteria and are at-risk of losing their current housing, grantees and subgrantees must assess and document the household would become literally homeless "but for" HPRP assistance. This includes assessing and documenting a household's support networks and financial resources and other housing options. HUD recognizes this determination requires a level of professional judgment and discretion and encourages grantees and subgrantees to

carefully think about how they assess and document these criteria. To ensure program compliance, the case file should include case notes and other documentation (as appropriate) that demonstrate the grantee or subgrantee has assessed the participant's other financial resources, support networks, and subsequent housing options.

These notes must be clearly labeled as "Initial Assessment" and contain enough detail about the household's situation for a reasonable person to come to the same conclusion that the household is indeed eligible for HPRP services, and they must provide the agency's justification for offering assistance.

For example, the participant file, E. Evans showed evidence of an eviction notice, documentation of requests for assistance from other agencies by the case manager, and contact with family that were not able to assist the participant with housing options. However, the file for K. Jenkins states that she had medical problems. There is no substantiating documentation to validate the participant's statement or how the medical problems lead to the required HPRP assistance. The file for R. Smith reported to the agency her money order to pay rent with was stolen. There was no proof of purchase for the money order and no third party verification the money order was stolen.

The participant file M. Johnson stated the need for assistance was because she got behind on bills and used loans which put her further behind financially. There was no evidence of the loans or payments in the file. The file also reported the participant received a notice from HUD to relocate into their housing program. This documentation demonstrates that other housing options were available, but not utilized.

The following files had similar reports for lack of evidence or exhaustion of resources to determine the appropriate type of assistance. These files were copied by the agency and submitted to be reviewed by OEO after the monitoring visit.

The participant S. Levine's file evidenced no record of medical illness that required the participant to lose income. The R. Davis' file had no record of agency contact with a friend the participant identified during the initial assessment that may have been able to assist with a housing option.

OEO recommends that the agency document clearly the eligibility criteria according to the HPRP requirements before providing assistance.

Area Median Income:—Documentation of a household's annual income relative to Area Median Income and indicating HPRP eligibility (50% of AMI or less) must be maintained in the participant file. After determining and documenting specific sources of income that must be included in the income calculation for each household, the agency must then calculate the household's annual income. The HPRP Eligibility Determination and Documentation Guidance provide a standard method by which income should be calculated and annualized as follows:

When calculating income based on hourly, weekly or monthly payment information, add the gross amount for each payment period that is documented and divide by the number of payment periods. This provides an average wage per payment period. Depending on pay periods used by the employer or the schedule of periodic payments, the following calculations convert the average wage into annual income:

Types of Pay Periods	Calculation Method
Hourly Wage	Multiplied by Hours Worked Per Week multiplied by 52 Weeks
Weekly Wage	Multiplied by 52 Weeks

Bi-Weekly (every other week)	Multiplied by 26 bi-weekly periods
Semi-Monthly Wage (twice a month)	Multiplied by 24 semi-monthly periods
Monthly Wage	Multiplied by 12 months

Participant files do exhibit that the agency is correctly collecting sufficient information to make a reasonable conclusion regarding the total household income to include collecting income verification for all household members eighteen years of age or older. Additionally, the agency is also utilizing HUD's income sheet which assist in the accurate calculation of annualized income.

Response to Finding: Initial Assessment

Corrective Action:

On the initial assessment, the case managers did not fully comprehend what to document in the files. They thought it was enough to write a few lines detailing the client's needs. Following the monitoring visit, on February 16, 2011, HPRP case managers have been trained and are currently being supervised to ensure they are documenting thoroughly the client's situation. The staff has been trained to address the questions; who, what, when, where, and why? The case managers have been reissued all of their client files and requested to follow up with their respective clients and ask the questions required to capture the complete story. In relation to new clients, HPRP Program Coordinator & Director will not sign approvals for assistance, unless the client file clearly demonstrates the client's case.

CONCERN

Housing Status/"But for"—other housing options, support networks, community resources: For this criteria the household must be either homeless (to receive rapid re-housing assistance) or at risk of losing its housing (to receive homelessness prevention assistance) and must meet the following circumstances:

- a. No appropriate subsequent housing options have been identified;
- b. The household lacks the financial resources to obtain immediate housing or remain in its existing housing; and
- c. The household lacks support networks needed to obtain immediate housing or remain in its existing housing.

Determining that a potential HPRP participant will become homeless but for HPRP assistance adds a bit more to the assessment process. In addition to assessing and documenting income and the current housing situation of applicant households, the agency must also assess whether the household would be homeless but for HPRP assistance. This requires the agency to work with participants to assess and document the additional three circumstances listed above. This is a required part of determining eligibility for HPRP and can be the most subjective.

Once it is determined someone meets the three criteria and is eligible for HPRP, based on the intent of the program and the regulations, it is important to then assess whether HPRP is the most appropriate program for that participant or household. For example, a household that presents for services with an eviction notice and is under the 50% AMI for the community meets the primary income eligibility criteria and risk of housing loss eligibility criteria for HPRP. But before they are provided assistance through HPRP, the grantee must determine the household has no other available options or resources that may prevent them from becoming literally homeless. This includes looking at other housing options (i.e., could they stay with a family member until they are able to move into a new unit or get their first paycheck), support networks, and other financial resources to obtain immediate housing or remain in current housing. Support networks also include other community resources such as TANF (Temporary Assistance to Needy Families/Family Independence), CSBG (Community Services Block Grant), LIHEAP (Low-Income Home Energy Assistance Program), and WIA (Workforce Investment Act) as well as other local

programs. Case notes that answer these questions can be combined with the notes from the initial assessment.

At the time of the monitoring visit, participant files did indicate that the agency is making an attempt to verify family, friend, and community resources. Participant files included notarized letters from family members regarding their inability to provide housing and/or financial assistance. The agency is advised to have such statements notarized by agency personnel in that some statements within the participant files were obviously written and signed by the same person when they were supposed to be from different family members. Having such statements notarized by an agency employee could minimize this potential fraud and misuse of the program.

Response to Finding: Housing status/ "but for"

Corrective Action:

Since the monitor's visit February 14-16, 2011, the HPRP Director and Coordinator have been diligent in conducting training updates for case managers.

- a) The HPRP case manager staff have been issued all of their client files, and they are currently updating all files to reflect due diligence in the search for missing information on each client ability or inability to utilize other housing and financial resources. The case management staff are making home visits and making phone calls to follow-up on clients.*
- b) The HPRP case managers under the direct supervision of the coordinator are following up by home visits and telephone calls with previous clients to obtain documentation that states the client did not have and currently may or may not have financial resources that address their homeless situation.*
- c) The HPRP case managers under the direct supervision of the coordinator, are following up on previously served clients' to see if there is a need to retrieve documentation as to whether or not there were any community-supported networks that were available to them during the initial assessment. The HPRP Director has collaborated with client service programs like CSBG/LIHEAP and other community agencies to identify whether or not there is funding available for rental or utility assistance that potential HPRP clients can obtain.*

CONCERN

HUD Staff Certification of Eligibility—The Staff Certification of Eligibility for HPRP Assistance form must be maintained in each HPRP participant's file and is subject to review by HUD. The agency must use the HUD-specific form (including the HUD logo), and not simply reproduce copies that incorporate HUD's prescribed language. While agency files did contain the Staff Certification and some were missing dates.

The participant file, J. Doctor, and M. Johnson certification forms were missing from the file. The participant file(s), A. Graves, S. Belton, S. Hamlin and D. Lawrence were not signed by the supervisor or blank. When all eligibility factors have not been verified adequately or notes do not exist to justify why the service is being offered without eligibility requirements being satisfied is problematic. Please be advised that the agency is attesting to two things when the Staff Certification is fully executed—(1) that all eligibility requirements have been satisfied, and (2) that no conflict of interest exists in offering the HPRP services.

The agency must review all existing files to ensure this requirement is met and document in old files why it cannot be met.

Response to Concern: HUD Staff Certification of Eligibility
Corrective Action:

HPRP Staff is currently reviewing all existing case files to insure proper documentation is located in each client file, and providing summations in old files where the requirements cannot be met. HPRP staff is optimistic that evidence of these corrections will be noticeable to the OEO staff during the Phase III monitoring visit in November, 2011.

FINDING

Recertification process—After eligibility is initially determined, the agency is required to evaluate and certify the eligibility of HPRP program participants by a re-evaluation of all three of the eligibility requirements—an assessment, 50% AMI, and housing options—as discussed above at least once every 3 months for all households receiving HPRP medium-term rental assistance or other HPRP services (e.g., case management) lasting longer than 3 months. Grantees should determine the recertification date based on the original eligibility assessment date.

For example, the file for S. Levine has an initial date for service as 10/21/10 with no documentation of a recertification and no exit date recorded. The recertification should have occurred no later than 1/21/2011. The agency must complete recertification on all participants on or before the third month after eligibility was determined to include a new assessment, a new income determination and calculation, and a new determination of homelessness “but for” HPRP to be considered eligible for assistance.

OEO requires that the agency document clearly the eligibility criteria according to the HPRP notice before providing assistance.

Response to Finding: Recertification Process
Corrective Action:

Wateree Community Actions, Inc. recently implemented a new HPRP program policy that states that clients can receive assistance once during the lifetime of the grant period, with a maximum cap of \$1,000. This policy was put in place due to our budgetary constraints, and in an attempt to assist a greater number of clients in our community. Our new policy will almost entirely eliminate the future need for recertification, due to the fact that services rendered will classify as short term assistance. This new policy was presented to OEO staff during our technical assistance visit in October, 2011.

FINDING

Short-term vs. Medium-term rent assistance, 18 month limitation, 6 month arrearage limitation—HPRP funds may be used to provide tenant-based rental assistance to allow participants to remain in their homes or to obtain and remain in rental units they select in two distinct forms through short term (may not exceed rental costs accrued over 3 months) and medium-term (may not exceed rental costs accrued from 4 to 18 months).

The participant files reviewed during the monitoring visit did not exhibit that the agency had an adequate and consistent tracking mechanism accounting for the short and medium term months of

assistance a participant receives. In fact discussion with the agency staff during the monitoring visit revealed that the agency was not properly accounting for arrearages. For example, the agency was paying arrearages in medium term rent for the first three months when the participant had more than three (3) months of arrearages. This is inappropriate and the agency must correctly assign the expense appropriately.

The agency must develop a tracking mechanism that can be contained within an individual participant's file, besides just the voucher indicating the amount of funding being paid out on the participant's behalf that provides evidence of the accounting of short-term versus medium-term assistance.

The participant file, V. Rufus shows the start date for financial assistance, but does not track the months of assistance provided.

OEO recommends that the agency institute a corrective action in the participant files to account for the tracking requirement and utilize this process in all subsequent participant services.

CONCERN

Legal leases: —Most of the participant files did contain a legal lease, a few did not. The participant file(s), S. Hamlin and R. Harrison did not include a lease or evidence of a legal lease in the file which is part of the eligibility criteria for the participant's assistance. The initial assessment notes must contain enough detail about the household's situation for a reasonable person to come to the same conclusion that the household is indeed eligible for HPRP services, and they must provide the agency's justification for offering assistance.

For example, if there is an oral lease agreement in place, court documents could serve to document the household's tenancy. Similarly, a case manager could review a landlord's rent ledger to confirm the amount of rent and terms of the oral lease agreement and make a note in the case file as documentation of tenancy. When leases are available, the agency should verify that the client is the one listed on the lease as responsible for paying the rent. Please refer to the participant file for K. Sumter/Washington.

Please notify OEO within 30 days of the date of this correspondence a copy of the lease for the participants identified.

Response to Concern: Legal Leases

Corrective Action:

Since February 16, 2011 the Director of HPRP program services, have instructed HPRP staff not accept hand written or typed leases, especially the typed ones that are not notarized. From that day forward, we will only accept legal leases signed and dated by certified property managers, real estate agents, or property owners. This process will ensure inclusive information on the HPRP client and family members who are occupants in the clients' household, and eliminate fraud. Copies of the leases or landlord's rent ledgers in the participants identified above will be provided to the OEO no later than Friday, October 7, 2011.

FINDING

Rent reasonableness:—The HPRP Notice provides that, "the rental assistance paid cannot exceed the actual rental cost, which must be in compliance with HUD's standard of "rent reasonableness." "Rent reasonableness" means that the total rent charged for a unit must be reasonable in relation to the rents

being charged during the same time period for comparable units in the private unassisted market and must not be in excess of rents being charged by the owner during the same time period for comparable non-luxury unassisted units.

While most participant files did contain a completed rent reasonable form, the completed forms evidenced that the agency did not complete the forms utilizing true comparables. The type of home, size, location, and age, and condition varied greatly on the same form indicating a lack of understanding for the concept of rent reasonableness as required. The participant file, A. Graves had a rent reasonable form in the file, however the form was blank. Additionally, there needs to be a statement where the agency came to a conclusion when all comparables do not exhibit similar properties to meet the standards of rent reasonableness. The participant file, S. Singleton was the only file reviewed that produced such a statement.

Please notify OEO within 30 days of the date of this correspondence of a corrective action on the all blank rent reasonable forms within the participant files.

Response to Finding: Rent Reasonableness
Corrective Action:

Under the direct supervision of the HPRP coordinator, HPRP case managers have been issued all of their client files and they are making sure they have documented all information needed to complete the rent reasonableness forms, and since February 16, 2011, they have received updated training on how to complete the form. Case managers are now trained on the correct

wording that is needed on the rent reasonableness form that shows they have explained why they determine the property to meet the rent reasonableness standard. Case Management staff was encouraged to pay special attention to their research in finding housing that matches the clients existing home. In other words if the client lives in a mobile home then compare reasonable rent with mobile homes.

Included in the training was reminders that when searching for motel/hotels for clients to stay in there have to be rate comparisons for that as well. The staff now understands they must compare reasonable rates for hotel or motels and indicate on the completed form why they determine that motel/hotel to be reasonable.

Hotel/motel vouchers: —The HPRP Notice provides that, "HPRP funds may be used for reasonable and appropriate motel and hotel vouchers for up to 30 days if no appropriate shelter beds are available and subsequent rental housing has been identified but is not immediately available for move-in by the program participants.

Most of the participant files and discussion with agency personnel do indicate that the agency understands and abides by the restrictions of this service.

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Response to Concern: Hotel/Motel Vouchers
Corrective Action:

The HPRP Coordinator reissued to the case managers all of their client files so that they can search participants that have received hotel/motel assistance, and document in the files the hotel/motel was habitable, safe and affordable. For future reference, the case managers have received training to perform hotel/motel reasonableness assessments before placing clients in hotels/motels, and they are to make sure during the visual assessment of the hotel/motel that they verify that the establishment and the room is clean, safe, and habitable.

CONCERN

*Utility assistance—18 month limitation, 6 month arrearage limitation, file justification for providing, lease to verify client responsibility to pay or code enforcement—*HPRP funds may be used for up to 18 months of utility payments, including up to 6 months of utility payments in arrears, provided that the program participant or a member of his/her household has an account in his/her name with a utility company or proof of responsibility to make utility payments (such as canceled checks or receipts from the utility company in his/her name). Utilities eligible for assistance include heat, electricity, water, sewer, and garbage collection. Telephone and cable services are not eligible.

Utility arrears may be paid for any 6 months, as long as the program participant meets all eligibility criteria, and as long as the payment of the arrears allows the program participant to either remain in the housing or obtain new housing. The maximum amount that can be paid is the total arrears accrued during the 6 month period.

The concern that OEO has in this area, like with rental assistance, is in the agency accurately tracking the months of assistance exhibit that the agency had an adequate and consistent tracking mechanism accounting for the 18 months total of utility assistance and only 6 months of assistance with arrearages.

At the time of the monitoring visit, the participant months of assistance were being accounted for but not in a consistent manner. For example in the case of utilities bills that have past due balances and final notices. The agency must find out from the vendor how many months are accounted for within the past due or final balances and account for these months of assistance as well.

Response to Concern: Utility Assistance
Corrective Action:

In light of the recent sizable disbursement of LIHEAP funds, HPRP clients will most likely be covered through HPRP referral to Wateree's LIHEAP division for utility payments. Also, our new HPRP policy will limit the likelihood of long term utility assistance.

FINDING

*Same cost type/same time period—*The HPRP Notice provides that, "rental assistance payments cannot be made on behalf of eligible individuals or families for the same period of time and for the same cost types that are being provided through another federal, state or local housing subsidy program."

On March 8, 2011 during the housing unit visit with K. Thomas participant, OEO learned the participant may have been eligible for services with a local housing subsidy program. OEO contacted WCAI and HUD regarding the matter. Discussion was held regarding the steps that should be taken to resolve the issue. It was determined the landlord needed to cooperate with WCAI agency and refund the total amount of for rent arrears assistance (\$1,899) the participant requested from the agency during the timeframe in question when the participant may have been eligible for the local housing subsidy program.

Please provide OEO within 30 days of the date of this correspondence evidence to show the funds (\$1,899) have been added back to its HPRP account from a non-federal, non state source.

Response to Finding: Same cost type/same time period

Corrective Action:

A review of K. Thomas' file indicates that correspondence was sent to her landlord by Mrs. Serdaria Bouknight. Wateree's HPRP Director will follow up on this matter and contact the OEO HPRP staff with an update no later than Friday, October 7, 2011.

FINDING

Building and Habitability Standards—As a requirement to the grant, any residence for which the Homelessness Prevention and Rapid Re-housing program funds are used to newly establish permanent housing for a program participant must comply with the local government safety and sanitation standards, the uniform Federal Accessibility Standards Act 24 CFR Part 40, Appendix A, and the Americans with Disabilities Act. The US Department of Housing and Urban Development and the State of South Carolina require all subgrantees to exercise every reasonable effort to ensure the safety of the program participant.

As a result, the OEO requires that an inspection be performed by the subgrantee to ensure that it meets HUD's basic habitability standards and the adequacy of HPRP assisted residences according to the above criteria should be evaluated by the agency HPRP personnel.

OEO conducted actual home inspections on March 8th and 9th, 2011 for dwellings that triggered either lead or habitability inspections in Richland and Sumter counties. There were a few areas of concern and findings during inspections.

The participant, A. Prince unit had no issues during the inspection.

The participant, T. Adamson unit had several areas of concern. There were several light bulb fixtures that needed repair outside the residence and in the kitchen area. An area of the floor in the living room was sinking and in need of repair. The participant's habitability form was also missing from the case file.

The agency is advised that habitability must be cleared according to the HPRP Notice on any residence that is newly established whether it be through the Prevention component or the Rapid Re-Housing component.

During the home inspection of participant K. Thomas' unit, OEO observed the front door needed improvement for security, and there was a report of a draft under the door (according to case manager notes in the participant file on 3/8/11) which caused a high utility expense. There were

several blank spaces in the circuit breaker box and also a safety concern about the windows being stuck and could not be opened.

In the participant R. Braxton's unit, there was cracked and peeling paint from the bathroom ceiling, and above the sink. A child's bedroom window had paint peeling and may need to be tested for lead. The circuit breaker box had 3 (three) blank spaces that need to be covered.

The participant R. Roberts' unit needed the front step, front light and smoke detector repaired. There was also a socket behind the refrigerator that needed to be secured.

The participant, V. McCleary's unit needed a new circuit breaker box, and dining room socket covers. There was no smoke detector and no stove or refrigerator. The flooring in the bathroom and kitchen were in need of a great deal of repair.

The participant, C. Williams' unit needed a light fixture for the master bedroom, a cover for the hallway fixture, there was no smoke detector, an old smoke detector had wires exposed, and the back bedroom needed a light switch and electric socket covers.

Some of the items listed for repair during the home inspections are serious violations of the habitability standards and the participants should not have been moved into the units under those conditions.

Please notify OEO within 30 days of this correspondence with corrective action of these concerns.

Response to Finding: Building and Habitability Standards
Corrective Action:

The HPRP Program Coordinator will revisit the dwellings listed above, and the OEO staff will be contacted no later than Friday, October 14, 2011 with the results.

FINDING

Lead-Based Paint Requirements:—HPRP is subject to the Lead Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.), as amended by the Residential Lead Based Paint Hazard Reduction Act of 1992 (42 U.S.C. 4851 et seq.) and implementing regulations at 24 CFR parts 35, subparts A, B, M, and R shall apply to housing occupied by families receiving assistance through HPRP.

The participant, K. Thomas' unit was inspected as per Lead Based Paint Requirements and it was found to be in compliance with the requirements set forth. However, the participant file(s), T. Adamson and N. Crum indicated children less than six years of age in the home or did not contain evidence that the lead-based paint requirements had been cleared.

Agency files must contain clear documentation of the age of the dwelling and whether the household includes children under six or a pregnant female or not. Additionally, if the household meets these conditions, the participant file must contain evidence of the inspection and any subsequent corrective actions. HUD has provided several tools to assist fulfilling the documentation requirements for lead-based paint including the HPRP Lead-Based Paint Document Checklist, HPRP Lead Screening Worksheet, and several instructional papers that were all previously provided to the agency in a mailing dated March 12, 2010.

The agency is advised that participant files must contain at least the HPRP Lead Screening Worksheet for all housing placements where the dwelling was constructed before 1978 and children under six or a pregnant female will reside. With this requirement the participant file must contain clear documentation from a source other than the landlord that verifies the year the dwelling was constructed.

Please notify OEO within 30 days of the date of this correspondence a corrective action regarding the lead-based status for the participant(s).

Response to Finding: Lead Based Paint
Corrective Action:

The HPRP Coordinator gave HPRP case managers their client files so that they can go over all files that have lead base paint forms, verify if there were any triggers. The case managers have been advised to complete their lead based paint forms if the triggers are present like children in the home under the age of six (6), Housing structure built before 1978, and pregnancy, and make sure they certify no evidence of lead based paint and place their signature as the person who did the inspection.

Treatment of Assets Policy

The SC Governor's Office of Economic Opportunity has maintained that in collecting income and asset information to determine participant eligibility for the Homelessness Prevention and Rapid Re-Housing Program (HPRP), it is a subgrantee's decision as to how to treat any assets that a participant may have. A subgrantee may choose to have participant expend all, part, or none of their assets prior to receiving HPRP assistance. US Housing and Urban Development (HUD) staff has advised OEO that while this policy is acceptable, since it is so general, OEO must have on hand each subgrantee's policy stipulating how assets are to be treated. Please remember the following concerns from HUD's HPRP Documentation and Eligibility Guidance in developing a formal policy on the treatment of assets:

Assets are cash or material items that can be converted to cash quickly. They include real and/or personal property and investments that a household may possess, including assets that are owned by more than one person, but allow unrestricted access to the applicant. Assets include:

1. Amounts in checking and saving bank accounts.
2. Stocks, bonds, savings certificates, money market funds, and other investment accounts.
3. The cash value of trusts that may be withdrawn by the household.
4. IRA, Keogh and similar retirement savings accounts, even when early withdrawal will result in a penalty.
5. Lump sum receipts of cash received and accessible by household, such as inheritances, capital gains, lottery winnings, insurance settlements, and other claims.

The policy that the agency formulates must detail whether an applicant household must spend down its assets and, if so, by how much, for the purpose of determining eligibility and the type and level of HPRP assistance.

Wateree Community Action Inc has adopted the following policy for treatment of assets for individuals/families seeking assistance from the Homeless Prevention/Rapid Re-housing Program (HPRP):

- Individuals/families that have cumulative cash value (balances in checking and /saving accounts) cannot exceed \$1000.00.
- Individuals/families will be required to disclose the cash value of whole life insurance policies that provide a cash surrender. Individuals/families with case surrender values that are \$1000.00 or more will be requested to seek these funds to address their emergency prior to consideration for use of HPRP funds.
- All HPRP customers will be required to sign a disclosure form that indicates the value of their assets on hand. This document will be attached to the application submitted for financial assistance approval.

Termination of Assistance Policy

The HPRP Notice provides that a subgrantee may terminate assistance to a program participant who violates program requirements. Subgrantees may resume assistance to a program participant whose assistance was previously terminated.

In terminating assistance to a program participant, the subgrantee must provide a formal process that recognizes the rights of individuals receiving assistance to due process of law. Rather than OEO, the grantee, setting forth a policy for all subgrantees to follow, each subgrantee was allowed to develop its own policy for submission to OEO.

The Wateree Community Action Inc. termination policy states that assistance is terminated when participants:

- refuse to follow the rules, regulations and guidelines established by the HPRP Programs.
- do not comply with case management and /or planned activities.
- provide falsified documents and /or false statements.
- become violent, belligerent, and /or use vulgar language toward staff.
- have made no effort to seek employment or other sources of sustainability.
- are no longer eligible for services due to income increase above HPRP guidelines.

The HPRP coordinator or case worker will advise the participant who has been terminated from the assistance of these rights and discuss with them the reason for the termination.

All participants will be given the right to an appeal. They will have the right to file a complaint and appeal if they are not satisfied with any action, staff decision, or if they believe they have experienced discrimination or abuse. The participant must contact the HPRP Program Director within twenty-four (24) hours after services have been denied in order to appeal the decision.

The participant will receive notification from WCAI within five (5) days after receipt of the request notifying the participant of the appeals hearing. A hearing will be held upon request no later than ten (10) days after receipt of the request. The participant is allowed to submit written or oral evidence to

support their case. The results of the hearing will be sent to the participant in writing or someone from the agency will contact them by telephone within five (5) days after the hearing.

HMIS & Confidentiality

The Recovery Act requires HPRP subgrantees to report client level data, such as the number of persons served and their demographic information, in a Homeless Management Information System (HMIS) or a comparable database. HMIS is an electronic data collection system that facilitates the collection of information on persons who are homeless or at risk of becoming homeless that is managed and operated locally. HPRP subgrantees providing financial assistance and services directly will use the HMIS in the applicable Continuum of Care (CoC) to collect data and report on outputs and outcomes as required by HUD.

Wateree Community Action Inc. is part of the Homeless Management Information System (HMIS). The agency is utilizing the system's intake application to form the basis of the initial assessment and this printout is evident in all participant files.

The participant files reviewed included documents relating to the utilization of the HMIS including a signed and dated copy of the confidentiality agreement and release of information form.

CONCERN

During the monitoring visit OEO discovered that a few files did not have exit or closure dates entered. Please refer to *Recertification process*, S. Levine file comment. The agency must not allow participant files to remain open indefinitely. The files should only remain open in the event the participant's household is going to receive ongoing assistance in the form of financial assistance or housing relocation and stabilization. The participant file should be closed in the HMIS when an assistance payment is determined to be appropriate, approved and the case plan does not indicate that ongoing assistance is needed. This should allow for the participants' exit statuses to show up on the exit interview in the file, the QPR, and APR.

OEO is encouraging the agency to go through its participant files and close all appropriate cases. The agency should contact the HMIS administrator for its area if further explanation or instruction in how to complete this necessary task.

During the review of files that were copied by the agency and submitted to be reviewed by OEO after the monitoring visit. It was evidenced the participant file T. Adamson case manager notes included case notes for V. McCleary. OEO encourages the agency to be sure that participant files are kept separate.

Please notify OEO within 30 days of the date of this correspondence a corrective action to address the HMIS and confidentiality concern.

Response to Concern: Closure of appropriate client cases

Corrective Action:

The HPRP Director is currently working with our Data Entry Specialist to exit all appropriate client cases since the beginning of the HPRP grant. All open clients' files in HMIS have been identified, and the OEO Staff will receive a report from WCAI, detailing exited status information, no later than Friday, October 21, 2011.

Programmatic Reporting

CONCERN

The Recovery Act requires subgrantees to submit both quarterly and annual reports called the Quarterly Performance Report (QPR) and the Annual Performance Report (APR). It also requires subgrantees to have systems and internal controls in place that allows them to separately track and report on Recovery Act funds called the 1512 Report. Additionally, the SC HPRP Grant Agreement/Guide requires HPRP subgrantees to submit monthly data quality reports from the HMIS to OEO by the first Friday following the end of the month.

Please note that while the agency has submitted reports in the past, OEO has not always received these reports in a timely fashion. Also note that the reports have not clearly been generated by the HMIS. In the future, and has is required for the upcoming APR submission, please send in the HMIS-generated report. As for the data quality reports, OEO has no issues to report for the agency for this portion of the HPRP grant period.

The next QPR for the quarter ending June 30, 2011 is due no later than July 1, 2011.

Response to Concern: APR & QPR Reports

Corrective Action:

Substantial improvements have been made by WCAI HPRP since June, 2011 in regards to the timely submission of APR & QPR Reports, as well as the accuracy of the information on the reports. OEO HPRP Staff member Tanesha Ramsey recently complimented our staff on the recent improvements in reporting. Mr. Terrence Brisbon, Wateree's HPRP Data Specialist, is now the sole input source for HMIS data entry, and thus data quality errors have decreased.

Other Concerns/Observations

OEO has also discovered WCAI paid for two (2) staff to attend an HPRP training presented by OEO. This is a disallowable cost and the agency must replace this funding (approximately \$550) from non-federal, non-state funding.

Please notify OEO within 30 days of the date of this correspondence in response to the corrective actions taken for this violation.

Wateree's HPRP Director will confer with our Chief Financial Officer to issue a refund, from non-federal/non-state funding, of the disallowable costs related to the training referenced above. Payment will be issued no later than Friday, October 28, 2011.



State of South Carolina

Office of the Governor

NIKKI R. HALEY
GOVERNOR

OFFICE OF EXECUTIVE
POLICY AND PROGRAMS

May 25, 2011

Dr. James L. Coleman, Executive Director
Wateree Community Actions, Inc.
13 South Main Street
P. O. Box 1838
Sumter, SC 29151

Dear Dr. Coleman:

Wateree Community Actions, Inc. (the Agency) as a subrecipient of several federal grants awarded by the Office of Economic Opportunity (OEO) is required per OEO Fiscal Guidance Manual Section V to have periodic field monitoring / audit by the OEO's Audit Division.

As you know, we performed an audit on March 14-18, 2011 during which we reviewed fiscal activities of the Agency for the fiscal year ending December 31, 2009 and December 31, 2010. This letter is to advise the Agency of the issuance of our preliminary audit report for this visit.

As required by the OEO Fiscal Guidance Manual, Section V, we have performed our audit. The audit included, but was not limited to the following:

1. Reviewed cash management to ensure revenue is received, deposited, and properly recorded in a timely manner and payments were properly supported.
2. Ensured assets were properly supported, recorded, maintained and safeguarded.
3. Inventory, where appropriate, was properly accounted for and valued.
4. Accruals were properly supported or used reasonable estimations.
5. Payroll was properly supported by time sheets, payroll reports and cancelled checks, and human resource policies and procedures were followed, i.e. pay and authorized deductions were documented in employee files.
6. Client eligibility and assistance were properly documented.
7. Other expenditures complied with program objectives and were adequately supported by proper documents.

8. Balance sheet and income statement accounts were used in a consistent manner to ensure comparability.
9. Proper procurement and disposition procedures were followed.

The field visit revealed several discrepancies in the fiscal administration of the programs awarded to the Agency. Our discussion of these findings and areas of concern is in our audit report enclosed. Due to the findings and areas of concern that were noted, a management letter / corrective action plan is required to be submitted to the OEO by the Agency in response to the noted findings. We request that you prepare a written response that includes the following elements:

- Have the letter addressed to Diana Graham, Senior Audit Manager.
- Finding Number (F 01-10 through F 05-10).
- Area of Concern (F 06-10 through F 14-10)
- Acknowledgement of the findings/areas of concern and corrective action that will be taken.
- Signature of the Agency Executive Director.

Your response will be included as part of the final draft and included as part of our files. To ensure the timely disbursement of the final report, we ask that OEO receive your response within thirty (30) days from the date of this letter. If you do not respond, we will conclude that the Agency agrees with our findings/areas of concern and that corrective action will be taken to address the noted deficiencies. Further, if no response is received, we will proceed with submitting a letter to the Board Chairperson informing the Board that no response was received.

If you need additional information or have any questions, please call me at (803) 734-0521 or email me at dgraham@oepp.sc.gov.

Sincerely,



Diana Graham
Senior Audit Manager

Enclosure

cc: Eric Morris, Fiscal Officer
Ken McManus, OEO Director
OEO files

**OFFICE OF ECONOMIC OPPORTUNITY
WATEREE COMMUNITY ACTIONS, INC.**

**PRELIMINARYH FIELD AUDIT REPORT
FISCAL YEARS ENDING DECEMBER 31, 2009 and 2010**

AGENCY: Wateree Community Actions, Inc.
13 South Main Street, PO Box 1838
Sumter, SC 29151

EXECUTIVE DIRECTOR: Dr. James L. Coleman

FISCAL OFFICER: Eric Morris

PROGRAM DIRECTOR: Frederica Brailsford, CSBG and LIHEAP
Kenny Barnes, WAP
Ken Buxton, HPRP

FIELD AUDIT DATE: March 14 – 18, 2011

REPORT DATE: May 26, 2011

AUDIT STAFF: Diana Graham, Senior Audit Manager
Keisha Dyer, Auditor-In-Charge
Myranda Butler, Auditor
Niya Rhinehart, Auditor

DISTRIBUTION: Eric Morris, Fiscal Director
Kenneth McManus, OEO Director
OEO Audit Files

PRELIMINARY FIELD AUDIT REPORT
FISCAL YEARS ENDING DECEMBER 31, 2009 and 2010

GENERAL SUMMARY:

PROGRAM SPECIFIC SUMMARY:

2 of 17

**OFFICE OF ECONOMIC OPPORTUNITY
WATEREE COMMUNITY ACTIONS, INC.**

**PRELIMINARY FIELD AUDIT REPORT
FISCAL YEARS ENDING DECEMBER 31, 2009 and 2010**

COMMUNITY SERVICES BLOCK GRANT (ARRA)

PROGRAM YEAR: July 1, 2009 – September 31, 2010
Effective Period: July 1, 2009 – December 31, 2009
and
January 1, 2010 – September 31, 2010

Auditor Comments: Our review of the Agency for the fiscal years noted several findings related to the program and internal controls of the program. See the Findings and Area of Concern Section for further information.

LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM

PROGRAM YEAR: January 1, 2009 – December 31, 2009
Effective Period: January 1, 2009 – December 31, 2009

PROGRAM YEAR: January 1, 2010 – December 31, 2010
Effective Period: January 1, 2010 – December 31, 2010

Auditor Comments: Our review of the Agency for the fiscal years noted several findings related to the program and internal controls of the program. See the Findings and Area of Concern Section for further information.

WEATHERIZATION ASSISTANCE PROGRAM

PROGRAM YEAR: April 1, 2008 – March 31, 2009
Effective Period: January 1, 2009 – March 31, 2009

PROGRAM YEAR: April 1, 2009 – March 31, 2010
Effective Period: April 1, 2009 – December 31, 2009
and
January 1, 2010 – March 31, 2010

PROGRAM YEAR: April 1, 2010 – March 31, 2011
Effective Period: April 1, 2010 – December 31, 2010

**OFFICE OF ECONOMIC OPPORTUNITY
WATEREE COMMUNITY ACTIONS, INC.**

**PRELIMINARY FIELD AUDIT REPORT
FISCAL YEARS ENDING DECEMBER 31, 2009 and 2010**

Auditor Comments: Our review of the Agency for the fiscal years noted several findings related to the program and internal controls of the program. See the Findings and Area of Concern Section for further information.

WEATHERIZATION ASSISTANCE PROGRAM (ARRA)

PROGRAM YEAR: June 1, 2009 – May 31, 2012
Effective Period: June 1, 2009 – December 31, 2009
and
January 1, 2010 – December 31, 2010

Auditor Comments: Our review of the Agency for the fiscal years noted several findings related to the program and internal controls of the program. See the Findings and Area of Concern Section for further information.

HOMELESS PREVENTION AND RAPID REHOUSING PROGRAM

PROGRAM YEAR: September 1, 2009 – August 31, 2012
Effective Period: September 1, 2009 – December 31, 2009
and
January 1, 2010 – December 31, 2010

Auditor Comments: Our review of the Agency for the fiscal years noted several findings related to the program and internal controls of the program. See the Findings and Area of Concern Section for further information.

EMERGENCY SHELTER GRANT

PROGRAM YEAR: July 1, 2008 – June 15, 2009
Effective Period: January 1, 2009 – June 30, 2009

PROGRAM YEAR: July 1, 2009 – June 30, 2010
Effective Period: July 1, 2009 – December 31, 2009

**OFFICE OF ECONOMIC OPPORTUNITY
WATEREE COMMUNITY ACTIONS, INC.**

**PRELIMINARY FIELD AUDIT REPORT
FISCAL YEARS ENDING DECEMBER 31, 2009 and 2010**

PROGRAM YEAR: July 1, 2009 – June 30, 2010
Effective Period: January 1, 2010 – June 30, 2010

Auditor Comments: Our review of the Agency for the fiscal years noted several findings related to the program and internal controls of the program. See the Findings and Area of Concern Section for further information.

**PROJECT SHARE
(Regular)**

PROGRAM YEAR: July 1, 2008 – June 30, 2009
Effective Period: January 1, 2009 – June 30, 2009

PROGRAM YEAR: July 1, 2009 – June 30, 2010
Effective Period: July 1, 2009 – December 31, 2009
and
January 1, 2010 – June 30, 2010

PROGRAM YEAR: July 1, 2010 – June 30, 2011
Effective Period: July 1, 2010 – December 31, 2010

Auditor Comments: Our review of the Agency for the fiscal years noted several findings related to the program and internal controls of the program. See the Findings and Area of Concern Section for further information.

**PROJECT SHARE
(Special Allocations)**

PROGRAM YEAR: November 1, 2008 – March 31, 2009
Effective Period: January 1, 2009 – March 31, 2009

Auditor Comments: Our review of the Agency for the fiscal year noted several findings related to the program and internal controls of the program. See the Findings and Area of Concern Section for further information.

**OFFICE OF ECONOMIC OPPORTUNITY
WATEREE COMMUNITY ACTIONS, INC.**

**PRELIMINARY FIELD AUDIT REPORT
FISCAL YEARS ENDING DECEMBER 31, 2009 and 2010**

FINDINGS, AREAS OF CONCERN, AND RECOMMENDATIONS

FINDINGS

Finding Number: F 01-10

Finding Title: Documentation of Preparer and Approver Signatures and Dates

Programs Impacted: All OEO Programs

Condition: A review of 12 bank reconciliations was performed to verify timely preparation and approval. Each of the bank reconciliations reviewed did not contain dates verifying when the reconciliations were approved and three did not contain dates or signatures verifying when reconciliations were prepared.

Cause: Unknown.

Effect: To ensure accountability of the Agency's funds and actual operational cash, reconciliations should be prepared in a timely manner. Verification of reconciliations timely completion would include the preparer's signature and date. Upon review of the completed reconciliations the authorized person reviewing the reconciliations should sign and date the reconciliation verifying approval of completion and timely completion. Reconciliations that are not prepared in a timely manner may result in inadequate reporting of operational cash and internal controls.

Criteria: OMB Circular A-110, Section .21(b) Standards for Financial Management Systems states "Recipients' financial management systems shall provide for effective control over and accountability for all funds".

Recommendation: All reconciliations upon completion should contain the date of completion by the preparer and date reviewed by the reviewer as well as signatures of the preparer and reviewer. This procedure will provide verification of timely preparation and assurance of actual operational cash.

Finding Number: F 02-10

Finding Title: Timeliness of Report Preparation

Programs Impacted: All OEO Programs

**OFFICE OF ECONOMIC OPPORTUNITY
WATEREE COMMUNITY ACTIONS, INC.**

**PRELIMINARY FIELD AUDIT REPORT
FISCAL YEARS ENDING DECEMBER 31, 2009 and 2010**

Condition: A review of 12 bank reconciliations was performed to verify timely preparation. During our review we noted that October, November, and December 2010 reconciliations were not prepared. Reconciliations should be prepared no later than 45 days after receipt of the Agency's bank statements. In addition, June and July reconciliations had no preparer or approver dates; therefore, we could not determine whether or not the reconciliation was prepared in a timely manner.

Cause: Unknown.

Effect: To ensure accountability of the Agency's funds and actual operational cash, reconciliations should be prepared in a timely manner. Verification of reconciliations timely completion would include the preparer's signature and date. Upon review of the completed reconciliations the authorized person reviewing the reconciliations should sign and date the reconciliation verifying approval of completion and timely completion. Reconciliations that are not prepared in a timely manner may result in inadequate reporting of operational cash.

Criteria: OMB Circular A-110, Section .21(b) Standards for Financial Management Systems states "Recipients' financial management systems shall provide for effective control over and accountability for all funds".

Recommendation: All reconciliations should be prepared and approved within 45 days. This procedure will provide verification of timely preparation and assurance of actual operational cash.

Finding Number: F 03-10

Finding Title: Checks Not Included in Transaction Register

Programs Impacted: All OEO Programs

Condition: During a review of the March 2010 bank reconciliation, we noted that check numbers 15076-15099 and check numbers 15131-15133 were not found on the transaction register. According to documentation, the preparer questioned the number sequence; however, the response noted on the documentation was the checks were voided. None of these checks were on the voided check register. There was no documentation submitted to verify that these checks were actually voided.

Cause: Unknown

**OFFICE OF ECONOMIC OPPORTUNITY
WATEREE COMMUNITY ACTIONS, INC.**

**PRELIMINARY FIELD AUDIT REPORT
FISCAL YEARS ENDING DECEMBER 31, 2009 and 2010**

Effect: To ensure accountability of the Agency's funds and actual operational cash, voided check registers should be used and updated monthly to ensure an accurate account of all checks and Agency funds. The register is used as supporting documentation to verify that voided checks are accounted for on the Agency's general ledger. Voided checks which are not listed on a voided check register may result in inadequate reporting of operational cash.

Criteria: OMB Circular A-110, Section .21(b) Standards for Financial Management Systems states "Recipients' financial management systems shall provide for effective control over and accountability for all funds".

Recommendation: All voided checks should be listed on a Voided Transaction (check) Register on a monthly basis. This procedure will provide verification of checks that were not disbursed or recorded on the check register and assurance of actual operational cash.

Finding Number: F 04-10

Finding Title: Double Compensation

Programs Impacted: All OEO Programs

Condition: During our review of payroll, we noted that for payroll date 3/26/10, period ending 3/19/10, 7 employees (Joanne Richardson, Letisa Sherrill, Janice Prince, Jacqueline Smith, Virginia Ragins, Sarah Pearson, and Dylena Wells) were all given double compensation on the payroll register. When the payroll clerk noticed the error had been made, ADP was contacted and confirmation was received that the situation would be rectified; however, ADP also stated it may not be before the pay date. The Agency thought ADP had stopped payment for the 7 employees so the Agency processed manual checks for the employees. It was found later that several employees received not only a manual check from the Agency, but also a check from ADP for the same pay period/ date.

Cause: Improper oversight over payroll records/ documentation.

Effect: The Agency doubly compensated employees for time worked due to lack of financial oversight. In addition, the Agency's bank accounts may not reflect actual amounts.

Criteria: OMB Circular A-110, Section .21(b) Standards for Financial Management Systems states "Recipients' financial management systems shall provide for effective control over and accountability for all funds".

**OFFICE OF ECONOMIC OPPORTUNITY
WATEREE COMMUNITY ACTIONS, INC.**

**PRELIMINARY FIELD AUDIT REPORT
FISCAL YEARS ENDING DECEMBER 31, 2009 and 2010**

Recommendation: Additional internal controls and oversight should be implemented to ensure that employees are paid correctly. Written documentation of procedures taken to rectify the double compensation of the employees listed and verification of replacement of funds into the appropriate grant programs is to be submitted to the OEO.

Finding Number: F 05-10

Finding Title: Program Income

Programs Impacted: Weatherization Assistance Program (WAP)

Condition: A review of the weatherization documentation submitted for WAP Program Year 2009 revealed that there was no documentation of program income from contractors that used the Agency's equipment purchased with OEO funds to complete the weatherization of clients homes. However, program income was reported for WAP Program Year 2010.

Cause: Unknown

Effect: Program income that could be generated from the use of the Agency's equipment could significantly decrease the availability of funds that could be used to offset maintenance cost that the Agency can incur for contractors use of the equipment.

Criteria: OMB Circular A-110, Section .34 states "User charges shall be treated as program income".

Recommendation: We recommend that the Agency continue the process of requiring contractors to pay rental fees for usage of the Agency's equipment. OEO will perform a follow up review to ensure this procedure is continued to be implemented and appropriately reported on the Agency's records during the next field audit.

AREAS OF CONCERN

Area of Concern Number: AOC 06-10

Finding Title: Outstanding Checks

Programs Impacted: All OEO Programs