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CEO-WAP-101 Funding Allocation

Approved: July 1, 2015

1. Abstract

The Colorado Energy Office Weatherization Assistance Program (CEO WAP) uses an allocation to distribute program funds amongst subgrantees.

1.1. Keywords: allocation, funding, production, service area, Heating Degree Day

2. Allocation Formula

The following allocation formula has been developed by the CEO WAP to equitably distribute program funding across the State of Colorado.

2.1. Single-Family Allocation: Ninety percent (90%) of single family funds will be allocated according to the product of a region's Heating Degree Days (HDDs), the estimated number of households that are eligible for weatherization according to the income guidelines (at or below 200% of the federal poverty level) and the region's Housing Factor. Ten percent (10%) of the single family funds will be allocated based on the number of miles of land in each region/ the number of miles of land in the State of Colorado. The sum of the amounts for each region in a subgrantees service area represents the subgrantees total allocation.

2.2. Multifamily Allocation: Funds not allocated for use in single family projects will be allocated directly to a state-wide sub-grantee for weatherization of centrally heated multi-family buildings containing five (5) or more units. Multifamily projects throughout the state will be selected through a prioritization scheme that meets the federal requirements and takes into account geographic equity considerations. All other subgrantees shall retain their ability to weatherize individually heated multi-family units.

3. Funding Modifications

3.1. Funding type: The CEO WAP reserves the right to modify the subgrantee allocation based on the funding received (Federal and Non-Federal) on a case-by-case basis.

3.2. Performance Indicators: The CEO WAP reserves the right to modify the funding level of any subgrantee if either the CEO WAP or the subgrantee determines that the subgrantee will be unable to meet the contracted unit production goal or is unable to spend at least 95% of awarded funds. The CEO WAP may re-allocate funds to other subgrantees so as to most effectively direct available resources for the greatest overall benefit. Subgrantees with a history of being unable to meet production targets or spend 95% of their annual budget may have future allocations modified by the CEO WAP to distribute funds to other subgrantees, including the multifamily subgrantee, who have the capability of spending these funds in accordance with CEO WAP standards. When any

Supporting References:	CEO-WAP-603, 10 CFR 440.10
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subgrantee is incapable of spending out at least 95% of its awarded budget, it may impact the subgrantees standing.

4. Supplemental Funding

As program funds become available at the State level for allocation during the program year (i.e., after the original allocation process has been completed), funds will be allocated to the eligible subgrantees based on the standard allocation formula. A subgrantee will be determined by the CEO WAP office as eligible or ineligible for the supplemental funding based on the following criteria:

- 4.1. Subgrantee Standing:** Subgrantees must not be under special conditions or classified as “high risk” (see CEO-WAP-603).
- 4.2. Current Program Production:** Production cannot be less than ten percent (10%) of plan after at least two months of production.
- 4.3.** Unit goals previously approved must be increased when supplemental funds are received. Follow CEO-WAP- 202 for plan revisions.
- 4.4.** In the event that either the CEO WAP or a subgrantee determine additional funding would constitute an undue hardship or burden to that subgrantee, supplemental funds may be reallocated to a subgrantee with the capacity to utilize the additional funds. Subgrantees are not required to accept additional funding.

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1. Abstract

This policy describes the contract requirements and the contracting process between the Colorado Energy Office Weatherization Assistance Program (CEO WAP) and Weatherization subgrantees. Also included in this policy is information on the Request For Application (RFA) process, competitive RFA schedule, and contract termination procedures.

1.1. Keywords: contract, PUA, production, RFA, termination

2. Contract Overview

CEO WAP contracts with its subgrantees on an annual (“program year”) basis. Each program year runs from July 1 through June 30; this timeframe is called the contract’s “performance period”. All work described and funded by a contract must be performed during the performance period; no materials nor contractor expenses may be incurred for any units completed outside of the current program year. Note that there are additional contract terms that are not related to policies in the CEO WAP Program.

2.1. Contracted Goals: Each contract contains two goals. Failure or anticipated failure to meet contracted goals will result in appropriate corrective action taken by the CEO WAP Program Manager.

2.1.1. Budget: Each subgrantee receives a certain budget which cannot be exceeded and is expected to spent in full during each program year. The amount of this budget for each subgrantee is based on total funding levels and the allocation formula.

2.1.1.1. A subgrantee’s failure to expend greater than 94.99 percent of its total budget will result in administrative corrective actions.

2.1.2. Production: Each subgrantee is required to produce a certain number of units during a program year. For each subgrantee, this production level is determined by dividing its budget by its Per Unit Average (PUA). Production goals are further separated into county-level goals for each subgrantee based on WAP-eligible households in each county.

2.1.2.1. A subgrantee’s failure to exceed 89.99 percent of production will, at minimum, result in the subgrantee’s returning of funds to the CEO WAP grant. Funds will be returned to CEO WAP at the rate of the production shortfall multiplied by the subgrantee’s contracted PUA. In addition to return of funds, other administrative corrective actions will likely be taken.

2.2. Contracting Components: The contract process involves the following components:

Supporting References:	10 CFR 440.15, CEO-WAP-603, CEO-WAP-101
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- 2.2.1. RFA Process (Section 3).
- 2.2.2. Contract negotiation between subgrantee representatives and the CEO WAP.
- 2.2.3. Supplementary documents submitted to CEO WAP. Documents may include, but are not limited to, the Budget Support Sheet, Starting Budget Breakout, Advance Form.
- 2.2.4. Contract execution on July 1.

3. Request For Application (RFA)

The CEO WAP initiates a RFA for each CEO WAP region on an annual basis. One of two types of RFA's will be initiated – noncompetitive RFA or competitive RFA. Competitive RFA's will be issued at regularly scheduled four year intervals for each region (Section 3.3). Additionally, competitive RFA's can be issued for a region in which the incumbent subgrantee is currently or has been determined to be high risk within the 12 preceding months of the RFA release date. However, should all requirements meet the satisfaction of the CEO WAP staff prior to initiation of procurement, a good standing statement may be issued.

3.1. Noncompetitive RFA: A request restricted to the current incumbent subgrantee.

3.2. Competitive RFA: A request open to all public or private nonprofit entities, including local units of government and councils of government, qualified to serve the low income clients in the service area as described in the RFA. In the event of a competitive RFA, preference will be given to current incumbent subgrantees in good standing as determined in CEO-WAP-603.

- 3.2.1. The CEO WAP defines the proposal submitted as the proposer's application for funding. The maximum allocation is predetermined by the CEO WAP and is not open to negotiation (see CEO-WAP-101). After approval by the CEO WAP, the proposal is recognized as part of the Cooperative Agreement between the State and the proposer.
- 3.2.2. The RFA will be conducted in accordance with the requirements set forth in 10 CFR 440.15, "Subgrantees".

3.3. Schedule for Competitive RFA's:

PY 2018-2019	PY 2019-2020
Region 6	Region 4
Region 8	Region 7

Supporting References: 10 CFR 440.15, CEO-WAP-603, CEO-WAP-101

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Region 11 Centrally-Heated Multifamily	
PY 2020-2021	PY 2021-2022
Region 1	Region 2
	Region 5
PY 2022-2023	PY 2023-2024
Region 6	Region 4
Region 8	Region 7
Region 11 Centrally-Heated Multifamily	
FY 2024	FY2025
Region 1	Region 2
	Region 5

3.3.1. Additional Years: Schedule will repeat on a four (4) year rotation basis. The CEO WAP retains the right to amend the schedule for competitive RFA's at its discretion.

3.4. **Subgrantee Standing Determination:** A current subgrantee is in good standing with the CEO WAP when the subgrantee is not considered high risk. The standing determination discussed in CEO-WAP-603: Subgrantee Standing Determination will have bearing in the event of a competitive RFA. A subgrantee in good standing will receive preference in the event of scoring ties in the evaluation of their response to an RFA. Determination of standing will be evaluated at the time a competitive solicitation is initiated. This determination will be communicated to the subgrantee in writing.

3.5. **Exceptions:** There may be extenuating circumstances that would require suspension of competitive RFA's. In such cases, permission for suspension of competitive RFA's will be requested from the Office of the Governor and the Executive Director of the CEO. Upon approval, a Weatherization Program Notice will be issued to all subgrantees stating the decision.

Supporting References: 10 CFR 440.15, CEO-WAP-603, CEO-WAP-101

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3.6. Budget Support Sheet (BSS):

The BSS is a spreadsheet tool used to estimate budget expenditures and determine production. Each subgrantee is required to submit a BSS with its application. The BSS has eight tabs.

- 3.6.1. Info: Table of information pertinent to the subgrantee applying for CEO WAP grant funding along with the actual contracted budget, PUA, and production.
- 3.6.2. Labor Costs: Table of subgrantee costs attributable to labor; costs are separated by employee and funding category.
- 3.6.3. Non-labor Costs: Table of subgrantee costs not attributable to labor; costs are separated by funding category and description of cost.
- 3.6.4. Summary: Table of total budget broken out by funding category; this table uses inputs from the Labor Costs and Non-labor Costs tabs.
- 3.6.5. Allocation: Table of counties and production goals by counties for each subgrantee. Total production and county production for each subgrantee is determined by providing a target PUA and target budget. Subgrantees are expected to close within plus/minus five percent of the total production goal for each county.
- 3.6.6. Production: Table of production goals by production source, structure type, and monthly audit/production schedule; each subgrantee is expected to accurately estimate each month's production amount and adhere to the monthly production schedule.
- 3.6.7. CAPEQ: Table of capital equipment currently owned by the CEO WAP grant.
- 3.6.8. Counties: Table of counties by region along with their number of eligible households.

4. Contract Termination

Should termination of a subgrantee contract be determined, the following process will occur:

- 4.1. Notification in writing and effective date of termination to the subgrantee.
- 4.2. Complete inventory of all tools, materials, equipment and capital equipment will be conducted.
- 4.3. All grant purchased items (capital equipment, computers, tools, inventory, etc.) will be removed from the premises.
- 4.4. Closeout procedures will begin.

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- 4.5.** All other actions will be determined by the Director of Low-Income Energy Services.

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1. Abstract

The Colorado Energy Office Weatherization Assistance Program (CEO WAP) contracts with its subgrantees on an annual (“program year”) basis. Each program year runs from July 1 through June 30. At the end of the program year, subgrantees must closeout according to the requirements in this policy..

1.1. Keywords: closeout, reporting, inventory, production

2. Closeout Requirements

It is the policy of the CEO WAP that a grant with subgrantee is not formally considered "closed out" until all of the following items have been achieved:

- 2.1.** Resolution of all outstanding CEO WAP Field QA findings during the program year or as agreed upon by the CEO WAP Program Manager;
- 2.2.** All necessary final reports have been submitted to the CEO WAP;
- 2.3.** Final program and fiscal reports have been reviewed by the CEO WAP for accuracy and as a preliminary basis for assessing validity of expenditures;
- 2.4.** Any and all weatherization funds in the possession of the subgrantee which have not been earned are returned to the CEO WAP;
- 2.5.** Documentation of remaining inventory, by type, quantity and value, is submitted to the CEO WAP (include documentation of inventory waste);
- 2.6.** A fiscal and compliance audit covering the entire grant period is submitted to the CEO WAP, reviewed by the CEO WAP, and any questions/issues raised are resolved;
- 2.7.** A summary of Call Back and Go Back work conducted using funds from the grant being closed out is submitted (see CEO-WAP-702). Note: This should reconcile with the CEO WAP Database;
- 2.8.** Only those units final inspected on or before June 30th are to be reported as completed production. A final inspected unit is defined as ALL measures installed and completed.
- 2.9.** Only those units final inspected on or before June 30th are to be reported as completed production. A final inspected unit is defined as ALL measures installed and completed.

Attachment 1: BWR v. Fiscal Close Out Reconciliation Form

Supporting References: CEO-WAP-702, 2 CFR 200.343

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1. Abstract

Regulations establishing the general parameters of allowable expenditures are set forth in 10 CFR 440.18. These regulations are further clarified in the contract between the State and the subgrantee in the annual DOE and LEAP State Plans prepared by the Colorado Energy Office Weatherization Assistance Program (CEO WAP) and the appropriate OMB Circulars identified in the references. All expenditures, in order to be allowable, must be reasonable, allocable and appropriate, in conformance with the principles and definitions set forth in 10 CFR 440.18 and the OMB Circulars.

1.1. Keywords:

1.2. Allowable Expenditures: Subgrantees must operate a financial management system which meets or exceeds the minimum requirements set forth in 2 CFR 200.301-.309, or OMB Circular A-110.21, as applicable to the specific subgrantee. The CEO WAP reserves the right to establish additional requirements, in line with federal and state regulations, when specific situations merit such requirements. The financial system must be capable of determining and documenting reasonableness, allowability and appropriateness. Expenditures must also be based upon acceptable procurement procedures and demonstrate a cost-effective approach in order to be classified as allowable. Expenditures not meeting these criteria are subject to disallowance. Allowable expenditures are also contingent upon the subgrantee achieving production and expenditure goals as set forth in the contract; non-attainment of these goals may result in the defining of some expenditures incurred by the LAA as disallowed. Interpretive guidance will be provided as necessary regarding definitions of allowable expenditures, and incorporated as part of this section. All applicants for funding must verify compliance with these standards. Verification of compliance is a prerequisite to the State's entering into a contract with the LAA. The CEO WAP will monitor the subgrantee's financial management systems.

1.3. Budget Categories: Allowable expenditures of CEO WAP funds must correspond to an approved budget and conform to the definitions of allowable expenditures for each budget category. The following information provides guidance on the types of expenditures allowable under each budget category.

2. Direct Costs

The following discussion pertains to allocating direct charges. Indirect charges are determined by the cognizant subgrantee and are charged to the Administration category (see Section 3.0 for more information). Charges to grants for wages and salaries are to

Supporting References:

10 CFR 440.18 & 23, OMB Circular A-87, Attachment B-11, Circular A-122, Attachment B-6, OMB Circular A-133

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be supported by "... after-the-fact" time and effort reporting. The specific wording of the regulations varies somewhat between nonprofits and governments. Please see OMB Circular A-87 Attachment B-11 (2 CFR Part 225 Appendix B Section 8), or Circular A-122, Attachment B-6 (2 CFR Part 230 Appendix B Section 8). In most cases, such records will show the dates, number of hours worked and the allocation of the time to each grant and budget categories. This assumes that the employee completing the timesheet understands the definitions for the grants and allocations. Pursuant to the federal regulations, cited above, one key principle to keep in mind when developing a procedure for documenting salary and wage changes is "reasonableness". In this context, reasonableness means whether the procedure yields a reasonable representation of the actual work performed by each employee and whether the fund amounts involved merit the amount of time required to perform the procedure.

- 2.1.** Staff whose salary is covered by multiple funding sources must indicate hours worked to each funding source. In such cases, all CEO WAP funding sources should be billed only for labor hours performed for the CEO WAP. If a subgrantee employee is budgeted as a 100% Full Time Employee in the CEO WAP contract, they should not perform any work for another program.
- 2.2.** When multiple funding sources and categories are involved, it may be more efficient and still accurate to devise an allocation method using sampling methods (see OMB Circular A-87 Attachment B-11 (2 CFR Part 225 Appendix B Section 8), or Circular A-122, Attachment B-6 (2 CFR Part 230 Appendix B Section 8) for allowable sampling method). Complete documentation for such use of a specific allocation method must be included in the subgrantee's written policies and procedures.
- 2.3.** Budget estimates and funds available may not be used to allocate costs to budget categories, except in unusual circumstances (which will have been specifically approved in advance by the State or Federal awarding agencies). The allocations are to be made on the basis of definitions contained in State and Federal regulations.

3. Administration Costs

Administration Costs are defined as carrying functions concerning the General Organizational Processes and Operations of the subgrantee.

3.1. Administration Salaries:

- 3.1.1.** Salary and fringe benefits of the Program Manager, Program Coordinator and the Subgrantee Director, when carrying out the functions concerning

Supporting References:

10 CFR 440.18 & 23, OMB Circular A-87, Attachment B-11, Circular A-122, Attachment B-6, OMB Circular A-133

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General Organizational Processes. This staff may also bill hours to operating costs if they are performing tasks specific to the WAP Program i.e. production, rebate, fiscal reporting or assisting with client concerns.

3.1.2. Salaries and fringe benefits of clerks/secretaries, bookkeepers, accountants, fiscal and other administrative staff associated with the General Organizational Processes. Not included are those activities specifically defined under Operations Costs.

3.2. Client Outreach: Outreach activities directed at notifying the general public of the services available. Costs incurred to direct attention to the subgrantee itself are allowable only as Administration Costs. CEO WAP Outreach personnel will work with subgrantees to coordinate efforts to avoid overlap of activities.

3.3. General Organizational Processes: Activities associated with maintaining and sustaining the organization within which the Weatherization program is located. Examples include:

- 3.3.1. Internal organizational planning and development.
- 3.3.2. Board/governance-related activities.
- 3.3.3. Accounting, payroll and other financial management activities.
- 3.3.4. Developing and implementing internal Policies and Procedures.

3.4. Other Administration Costs:

- 3.4.1. Telephone costs, including long distance charges, incurred by the CEO WAP when not directly attributable to allowable functions under Operations or Field Costs.
- 3.4.2. Cost for office materials and supplies not directly related to allowable functions under Operations or Field Costs.
- 3.4.3. Those costs directly associated with the CEO WAP that are not covered under defined categories.

3.5. Maximum Administration Funds:

- 3.5.1. With the exception of LEAP funds, each subgrantee may use a maximum of 5% of each funding source for administration expenses. LEAP administrative amounts are determined each program year and communicated by CEO WAP Managers to subgrantees.
- 3.5.2. For utility funds, the 5% administration allocation is calculated based on the amount of rebate funds expended. For example, if a subgrantee receives \$50,000 in rebates from a utility, they will receive \$2,500 in admin fees for a total of \$52,500 in utility funds.

Supporting References:

10 CFR 440.18 & 23, OMB Circular A-87, Attachment B-11, Circular A-122, Attachment B-6, OMB Circular A-133

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3.6. See section 7.0 Exceptions listed below.

4. Operations Cost

Operations Costs are defined as Functions in direct support of the delivery of services to clients' homes.

4.1. Operations Salaries:

4.1.1. Salaries and fringe benefits of off-site personnel who are involved in client outreach, client intake, client file maintenance, or other CEO WAP activities that directly support the delivery of services to clients.

4.1.2. Salary and fringe benefits of the weatherization Program Manager or the Program Coordinator when carrying out the functions not related to general organizational processes.

4.2. Client Services: Activities directed at locating and assisting clients to apply for weatherization services, including the compilation of necessary supporting documentation, and the costs related to the direct provision of services is allowable as an Operations Cost.

4.3. Rent for Office Space: Rent for office space used in operating the CEO WAP.

4.4. Other Allowable Operations Costs (when associated with supporting the delivery of services to clients):

4.4.1. Utilities.

4.4.2. Telephones.

4.4.3. Cell phones/PDA/Internet charges.

4.4.4. Postage.

4.4.5. Dues/Membership.

4.4.6. Printing/Reproduction.

4.4.7. Advertising/Publicity (when prior approval has been obtained by the CEO WAP Communications Staff, see policy CEO-WAP-607).

4.4.8. Supplies.

4.4.9. Reference Books and Subscriptions.

4.4.10. Vehicles used to transport office personnel.

4.4.11. Office equipment maintenance.

4.4.12. All other costs directly related to CEO WAP functions carried out at the organization's office.

4.5. Energy Conservation Materials: Materials associated with allowable weatherization activities and related repairs for reducing fuel consumption in

Supporting References:

10 CFR 440.18 & 23, OMB Circular A-87, Attachment B-11, Circular A-122, Attachment B-6, OMB Circular A-133

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eligible homes. See Appendix A of 10 CFR 440 and the CEO WAP Field Policies.

Materials Costs may include:

4.5.1. Costs to purchase and deliver materials to the subgrantee storage site.

4.5.2. Labor involved in the manufacturing materials.

4.6. Liability Insurance:

4.6.1. Personal injury, property damage, and pollution occurrence insurance for weatherization and furnace work.

4.6.2. This insurance will cover any damage/injury to a unit or an individual in that unit caused by an employee of the subgrantee while that employee is performing intake functions, auditing, inspecting or installing materials.

4.6.3. This insurance must cover all possible corrective costs resulting from improper installation of materials or use of improper materials.

4.6.4. There must be liability insurance for the Officers' and Program Manager's liability.

NOTE: The State of Colorado needs to be named as "Additional Insured" in the endorsement section of the certificate to include General Liability (e.g. Colorado Energy Office is named as additional insured for general liability).

4.7. Labor:

4.7.1. **Field Crews:** Salaries and fringe benefits of field workers who install materials in clients' homes.

4.7.2. **Subcontractor Labor:** Payments to engage contractors to install Energy Conservation or Health and Safety materials or perform energy conservation services.

4.7.3. **Supervision of Field Staff:** Salaries and fringe benefits of managers and crew leaders spent supervising Field Staff on-site.

4.8. Field Overhead:

4.8.1. **Field Support Salaries:** Salaries and fringe for auditors, inspectors, production managers/coordinators and inventory clerks.

4.8.2. **Rent for Field Operations Space:** Rent for warehouse space, inventory storage space and vehicle parking.

4.8.3. **Tools, Equipment and Miscellaneous Field Related Expenses:** Purchase and maintenance of tools and equipment; lease of tools, equipment and vehicles used for Field activities, protective clothing and equipment for worker health and safety, and building permits.

Supporting References:

10 CFR 440.18 & 23, OMB Circular A-87, Attachment B-11, Circular A-122, Attachment B-6, OMB Circular A-133

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- 4.8.4. **Travel Expenses:** Expenses for lodging, per diem, or other allowable costs associated with travel on the job that are not covered under other defined categories.
- 4.8.5. **Vehicle Cost:** Maintenance, operation, and insurance for vehicles used to transport field crews, supervisors, energy auditors and inspectors to the job site, and for vehicles used to transport materials.
- 4.9. **Financial Audit:** Annual financial and compliance audit as required by OMB Circular A-133. The amount budgeted is to be the proportionate share of the subgrantee’s overall audit which is applicable to the weatherization activities. LAA shall be responsible for arranging an independent audit that complies with the federal General Accounting Office Standards for Audit of Governmental Organizations, Programs, Activities, and Functions, and OMB Circular A-133, Audits of States, Local Governments, and Nonprofit Organizations. Audits shall be conducted annually by all subgrantee’s, unless the exceptions of A-133 apply. Audits are to be either single audit or program specific in scope. The CEO WAP will not accept any audit not complying with any aspect of the federal regulations and the cost of that audit will be disallowed. Two copies of the audit and one copy of an audit reconciliation are to be sent to the CEO WAP within 180 days of the end of the subgrantee’s fiscal year.
- 4.10. **Capital Equipment** is defined as an article of tangible, non-expendable, personal property that has a useful life of more than one year and an acquisition cost of \$5,000 or more. When purchasing individual items which represent components of a larger article, the acquisition cost criteria are to be applied to the sum of the individual items.
- 4.11. **Training and Technical Assistance:** Allowable expenditures include:
 - 4.11.1. Labor costs associated with providing Training and Technical Assistance to subgrantee personnel, subcontractors, and/or board members for the improved efficiency and quality of the weatherization program.
 - 4.11.2. Providing information concerning energy conservation practices to weatherization clients, refer to CEO-WAP-304.
 - 4.11.3. Planning of innovative pilot projects, refer to CEO-WAP-503.
 - 4.11.4. Advanced technology intended to improve efficiency and/or effectiveness of the weatherization.
 - 4.11.5. Educational materials and industry publications for the purpose of performing the functions described in 5.10.a and 5.10.b of this section.

Supporting References:	10 CFR 440.18 & 23, OMB Circular A-87, Attachment B-11, Circular A-122, Attachment B-6, OMB Circular A-133	
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- 4.11.6. Registration, travel and per diem costs of subgrantee personnel participation in conferences related to weatherization.
- 4.11.7. Labor costs associated with time that a designated subgrantee trainer spends receiving training.
- 4.11.8. Tuition costs of subcontractors provided the criteria outlined in CEO-WAP-802 is met.

NOTE: Some items or equipment that are allowable T&TA expenses may also be allowable overhead expenses, such as computers, software and related office equipment.

5. Health and Safety

5.1. Health and Safety Materials:

- 5.1.1. Materials associated with resolving health and safety issues encountered during the course of weatherization, in accordance with the CEO WAP Health and Safety plan and guidance found in the CEO WAP Field Guide.
- 5.1.2. The CEO WAP Field Guide limit the types of activities which can be performed as health and safety, not the types of materials to be used. This is left up to the judgment of the subgrantee.
- 5.1.3. Health and Safety Labor may be tracked and reported via the CEO WAP Database, on a unit by unit basis, or an average estimated amount will be assumed by the CEO WAP staff. Subgrantees may choose to track and report Health and Safety Labor on every unit, or use the estimated amount, but may not do both.

5.2. Health and Safety Labor:

- 5.2.1. Labor associated with resolving health and safety issues encountered during the course of weatherization, in accordance with the CEO WAP Health and Safety plan and guidance found in the CEO WAP Field Guide.
- 5.2.2. The CEO WAP Field Guide both requires and limits the types of activities which can be performed as health and safety.

6. Leveraging

Leveraging is the use of DOE funding to develop partnerships with utility companies and other entities to generate non-Federal resources. DOE suggests that the goal be to produce more than one dollar leveraged for each dollar spent on leveraging (see 10 CFR 440.14(c)(6)(xiv) and 440.18(d)(14).

6.1. Allowable expenditures include:

Supporting References:	10 CFR 440.18 & 23, OMB Circular A-87, Attachment B-11, Circular A-122, Attachment B-6, OMB Circular A-133	
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CEO-WAP-201
Allowable Expenditures

Approved: July 1, 2015

- 6.1.1. Salary and fringe benefits costs associated with staff who will be pursuing additional funding.
- 6.1.2. Consulting services to pursue leveraging.
- 6.1.3. Holding leveraging meetings.
- 6.1.4. Preparing technical materials.
- 6.1.5. Facilitating voluntary match funds from non-Federal sources.
- 6.2. Any subgrantee wishing to use leveraging funds must submit a detailed written plan at the time of the request for funds, or as part of the annual RFA grant process.
- 6.3. See section 7.0 Exceptions listed below.

7. Exceptions

There are exceptions to the allowable expenditures listed above for certain funding sources. It is the responsibility of the subgrantee to ensure only allowable expenditures are submitted on the fiscal for each funding source

7.1. Exceptions by Funding Source:

- 7.1.1. DOE Exceptions (costs are NOT allowable by this funding source):
 - 7.1.1.1. Call Backs and Go Backs
 - 7.1.1.2. Individual units in a multi-family building
 - 7.1.1.3. Leveraging expenses
- 7.1.2. LEAP Exceptions (costs are NOT allowable by this funding source):
 - 7.1.2.1. Leveraging expenses

Supporting References:

10 CFR 440.18 & 23, OMB Circular A-87, Attachment B-11, Circular A-122, Attachment B-6, OMB Circular A-133

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Approved by: CEO WAP Staff

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1. Abstract

Subgrantees are required to submit a State approved budget tool identifying projected costs for each funding source, by sub-category, to the Colorado Energy Office Weatherization Assistance Program (CEO WAP) CEO prior to the beginning of a new program year.

1.1. Keywords: budget, tool, revision, adjustment, contract

2. Budget Revisions

As subgrantees accrue costs within a program year, subgrantees are allowed to modify their budget tools to reflect actual expenditures provided the following conditions are met:

- 2.1. Subgrantees do not increase the funding levels in the Administrative, Technical and Training Assistance (TTA), or Leveraging categories in excess of the amounts identified in the original CEO WAP approved budget tool.
- 2.2. Funding levels in the Administrative, TTA, and Leveraging categories may be decreased as needed to cover actual expenditures in other budgetary categories.
- 2.3. All applicable budgetary regulations and budgetary principles regarding category caps and shifts as defined by individual funding sources are not exceeded.
- 2.4. Budgetary adjustments are not made between funding sources.
- 2.5. Individual funding sources budget totals, and the contract total, are not exceeded.
- 2.6. Individual funding source shifts do not exceed 9.99% of the total funding source budget on a quarterly basis.
- 2.7. Individual funding source shifts exceeding 9.99% of the total funding source budget must be approved by the CEO WAP Program Manager responsible for the subgrantee prior to making the shift. Subgrantees must submit a written request that details:
 - 2.7.1. The total amount needing to be shifted
 - 2.7.2. The percentage of funds needing to be shifted per funding source
 - 2.7.3. The categories that will be impacted
 - 2.7.4. Brief justifications regarding why the shifts are necessary

3. Contract Amendment

Subgrantees are permitted to modify cost allocations for each sub-category during the amendment process, provided the following conditions are met:

- 3.1. Subgrantees must submit a modified budget tool to CEO WAP staff based on the new or modified budget totals for each funding source.

Supporting References: 2 CFR 200.308

Supersedes: July 1, 2009

Approved by: CEO WAP Staff

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**CEO-WAP-202
Budget Revisions**

Approved: July 1, 2015

- 3.2.** In the event that a sub-grantee has fully spent the budgeted amount in a specific funding source, the sub-grantee is permitted to modify and/or change cost allocations to meet actual expenditures
- 3.3.** Modifications within the Administrative, TTA, and Leveraging categories are allowed, provided these modifications do not violate the budgetary caps or rules applicable to each funding source.
- 3.4.** Expenditures which deviate from the amounts set forth in the adjusted budget associated with the contract, without prior approval from the CEO WAP, may be classified as disallowable costs and will be addressed as such.

Supporting References: 2 CFR 200.308

Supersedes: July 1, 2009

Approved by: CEO WAP Staff

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1. Abstract

Subgrantees of the Colorado Energy Office Weatherization Assistance Program (CEO WAP) are reimbursed monthly, based on the submission of a monthly invoice.

1.1. Keywords: invoice, reporting, fiscal, PUA

2. Invoice Submission

The invoice is to be signed by the subgrantee and submitted to the CEO WAP Program Manager on a monthly basis. The weatherization assistance program is a "cost reimbursement" program, and only jobs completed in accordance with CEO-WAP-701 should be invoiced to the CEO WAP. The CEO WAP reserves the right to withhold payment until discrepancies are resolved.

2.1. Invoice Due Date: The monthly invoice shall be submitted to the CEO WAP on or before the 18th day of each month during the term of this contract. Should the 18th fall on a weekend or holiday, the invoices will be due on the following business day.

2.2. Valid Invoices: Invoices are not deemed valid until they have been approved by the CEO WAP Program Manager via email. The CEO WAP Program Manager will approve all invoices on or before the Accounting Submission Date. The Accounting Submission Date is the 25th day of each month during the term of this contract. Should the 25th fall on a weekend or holiday, the invoices will be submitted on the following business day.

2.3. Late Invoices: Invoices submitted after the Invoice Due Date or not approved by the Accounting Submission Date will be considered late. Late invoices will be processed at the discretion of the CEO WAP Program Manager.

3. Invoice Cost Categories

The invoice contains the following 14 cost categories in the invoice workbook:

1. Administration Labor (AD-Labor)
2. Administration Other (AD-Other)
3. Operations Contractor (OP-Contractor)
4. Operations Labor (OP-Labor)
5. Operations Materials (OP-Materials)
6. Operations Other (OP-Other)
7. Health and Safety Contractor (HS-Contractor)
8. Health and Safety Labor (HS-Labor)
9. Health and Safety Materials (HS-Materials)
10. Liability (Liability)

Supporting References:	2 CFR 200.305, CEO-WAP-701
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- 11. Audit (Audit)
- 12. Capital Equipment (CAPEQ)
- 13. Leveraging (Leveraging)
- 14. Training and Technical Assistance (TTA)
- 3.1.** Invoices should not contain negative amounts in any funding category total. Exceptions will be handled on a case by case basis.
- 3.2.** Invoice amounts must fall within the available line item budgets. Budget adjustments can be made on a quarterly basis using the quarterly budget adjustment located within the invoice workbook. See CEO-WAP-202.

Supporting References: 2 CFR 200.305, CEO-WAP-701

Supersedes: July 1, 2015

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1. Abstract

It is understood that some subgrantees require an advance of funds. The Colorado Energy Office Weatherization Assistance Program (CEO WAP) will attempt to provide an advance when possible. This policy describes the process and requirements for subgrantee advances.

1.1. Keywords: advance, funding, contract, high risk

2. Advance Process

Subgrantees that request an advance must submit the CEO WAP Advance Request Form for approval to the CEO WAP staff prior to the execution of a contract or contract amendment. If approved, the CEO WAP will issue an advance representing 20% of the contract total on July 1st annually. The CEO WAP will recoup 20% of the advance amount on the eighteenth (18th) day of each month beginning in August and ending in December. Subgrantees may also request a 20% advance of the amended contract total as part of the annual Amendment #1 process. If a subgrantee request for this advance is approved, the CEO WAP will advance 20% of the amended contract total to the subgrantee on January 1st. The CEO WAP will recoup 20% of this advance amount on the eighteenth (18th) day monthly from February through June.

3. Discrepancies

Discrepancies between the advance and actual expenditures will be reconciled within 45 days.

4. Revoking Advance Approval

The CEO WAP reserves the right to revoke monthly advance approval if a subgrantee is on special conditions, is deemed "high risk" or if other reasons warrant repeal.

5. Interest

Subgrantees are expected to maintain advances in interest bearing accounts unless the most reasonable interest bearing account would not be expected to earn interest in excess of \$100 per year, or the depository requires an average or minimum balance so high that it would not be feasible within the State cash resources. Interest earned up to \$100 per year may be retained by the subgrantee for administrative expenses. Interest earned on advances in excess of \$100 per year is to be returned to the State of Colorado via money order or check at the end of the program year. The money order or check should be mailed to the CEO and made payable to the State of Colorado-Colorado Energy Office.

Attachment 1: Advance Request Form

Supporting References:	2 CFR 200.305 (Also applicable to LEAP funds by inclusion in this section.)	
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1. Abstract

This policy describes the rules and regulations regarding subgrantee leveraging. Subgrantees that wish to use leveraged funds must receive approval from the Colorado Energy Office Weatherization Assistance Program (CEO WAP).

1.1. Keywords: leveraging, income, reporting, funds

2. DOE Regulations

The DOE defines leveraging as paying for subgrantee staff or hiring consultant staff to explore and develop partnerships with utility companies and other entities that will generate non-Federal resources for Weatherization. Using DOE or CEO Wx Fund EE leveraging funds to generate Federal resources for Weatherization is prohibited. Under DOE rules, Weatherization program funds used for leveraging should result in receiving non-Federal resources that will be used to “expand energy efficiency services and/or increase the number of DOE-eligible dwelling units weatherized... efforts will not always be successful but Grantees [and Subgrantees] should strive to produce more than one dollar for each DOE [or CEO Wx Fund EE] dollar expended” (DOE WPN 12-1).

3. Leveraged Income

When DOE or CEO Wx Fund EE funds are used for leveraging, the leveraged income gained must be spent in accordance with all CEO WAP policies. However, the leveraged income should be accounted for separately from any contracted funds. Work performed with leveraged income must use the CEO WAP approved energy audit software and complete the resulting cost effective measures. There is no requirement as to whether leveraged income is to be spent before, after, or in parallel with other contracted funding sources.

4. Leveraging Activities

There are four leveraging activities allowable as reimbursable expenditures:

- 4.1. Facilitating voluntary match funds from non-Federal sources.
- 4.2. Holding leveraging meetings.
- 4.3. Preparing technical materials/briefs.
- 4.4. Consulting services.

5. Subgrantee Leveraging Plan

Subgrantees that wish to use CEO Wx Fund EE funds for leveraging are required to submit a leveraging plan to the CEO WAP and receive approval from the CEO WAP prior to entering into agreements, contracts or other planned activity. The leveraging plan should include the following information:

5.1. Personnel, salary, percentage of FTE, and leveraging duties and/or activities.

Supporting References:

10 CFR 440.14, 10 CFR 440.18, 2 CFR 200.307, 2 CFR 225, 2 CFR 230, DOE WPN 12-1

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- 5.2. Administrative, outreach, and contracting costs.
- 5.3. Leveraged income goal.
- 5.4. A list of potential leveraging partners (utility, foundation, etc.).
- 5.5. A strategy for achieving stated goals with timeline.
- 5.6. Timeline for contacting partners, putting contracts in place, and completion of spending leveraged income.
- 5.7. Fiscal management plan, separate accounts, and clear cost allocation and reporting.
- 5.8. Assurance of adherence to all DOE regulations and CEO WAP policies.
- 6. Reporting Requirements**
 - 6.1. Subgrantees will be required to submit a Quarterly Leveraging Report (see Attachment 1) which includes an overview of leveraging activities, leveraging expenditures, and leveraged income generated. The report should also include an update on whether the subgrantee is behind, on track, or ahead of its stated timeline. If it is behind the stated timeline, the subgrantee should provide a rationale for failure to adhere to the timeline with a plan to regain the stated timeline and goals.
 - 6.2. Leveraging funds will be noted in the budget process as well as the DOE Weatherization State Plan, if applicable.
 - 6.3. All leveraged income generated must go directly into the Weatherization program. If a person works half-time on Weatherization leveraging activities and half-time fundraising for another program, their time must be clearly tracked and delineated.
 - 6.4. Landlord contributions are not considered leveraged income.
- 7. Applicable Rules and Regulations**

Leveraging activities must follow all CEO WAP policies, DOE, and Federal OMB regulations regarding these activities including but not limited to: OMB circulars 10 CFR 440.14(c)(6)(xiv) and 440.18(d)(14) and 10 CFR 600.124 and 2 CFR 225 (b)(17) and 2 CFR 230 (B)(17) fundraising and Weatherization Program Notice 12-1 (1.6-7).

 - 7.1. The CEO WAP reserves the right to rescind subgrantee leveraging funds within the program year if justifiable cause is warranted.
 - 7.2. Leveraging funds will be reevaluated by the CEO WAP during the annual RFA process.

Policy Appendices

Supporting References:	10 CFR 440.14, 10 CFR 440.18, 2 CFR 200.307, 2 CFR 225, 2 CFR 230, DOE WPN 12-1	
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205 A01 Leveraging Report Template

Supporting References:

10 CFR 440.14, 10 CFR 440.18, 2 CFR 200.307, 2 CFR 225, 2 CFR 230, DOE WPN 12-1

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1. Abstract

This policy describes the procurement procedures and requirements for subgrantees of the Colorado Energy Office Weatherization Assistance Program (CEO WAP).

1.1. Keywords: procurement, contract, documentation, administrative monitoring

2. Procurement Policy

Subgrantees of the CEO WAP are required to have current written procurement procedures on file prior to executing a contract for weatherization services. This document must explain the procedures for purchasing all goods and services, and express how compliance with 2 CFR 200.317 – 200.326 (Procurement Standards) and 10 CFR 440.21 / Appendix A – Standards for Weatherization Materials is achieved.

3. Procurement Guidance

The CEO WAP and all subgrantees of the CEO WAP are required to follow procurement procedures that are in compliance with the following federal regulations:

3.1. 2 CFR 200.318 – 200.326 (Procurement Standards): Subgrantees are required to follow all guidance in 2 CFR 200.318 – 200.326 in their internal procurement policies.

3.2. 10 CFR 440.21 / Appendix A – Standards for Weatherization Materials: Only weatherization materials which are listed in appendix A to this part and which meet or exceed standards prescribed in appendix A to this part may be purchased, with the exception of materials that are covered by a CEO WAP waiver, such as solar PV systems. Refer to CEO-WAP-506 for information on solar PV materials.

3.3. 10 CFR 247 (Recycled Materials): Effective July 1, 1997, 10 CFR 247 requires the use of recycled materials to the maximum extent possible. The subgrantee is the "procuring agency" for purposes of this regulation. The threshold for the regulation is \$10,000 of purchases of one of the items or functionally equivalent items in a year. When this threshold applies, the policy of CEO WAP is to allow a price differential of 0% to 15% for the purchase of the recovered items.

3.4. Appendix II to Part 200: Contracts must contain provisions in Appendix II to Part 200 (Contract Provisions for Non-Federal Entity Contracts Under Federal Awards).

3.5. State of Colorado: When procuring property and services under a Federal award, the CEO WAP must follow the same policies and procedures it uses for procurements from its non-Federal funds.

4. Procurement Methods

Supporting References: 2 CFR 200.317 – 200.326, 10 CFR 440.21 / Appendix A, 10 CFR 247

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- 4.1. Purchases Under \$3,000:** Purchases under \$3,000, or “micro-purchases” are a purchase of supplies or services without soliciting competitive quotations.
- 4.2. Small Purchase Threshold:** Subgrantees will have a small purchase threshold, or simple acquisition threshold, defined in their own internal procurement policies and this threshold is not to exceed \$150,000 within the life of a procurement contract. Procurement under this threshold can be simple and informal, but price quotations must be obtained from an adequate number of qualified sources.
- 4.3. Procurement Methods:** Purchases in aggregate over the defined small purchase threshold require formal procurement activities, according to a subgrantees internal procurement policy. Methods in this type of procurement may include competitive proposals , sealed-bids, and formal advertising.

5. Noncompetitive Procurement

The subgrantee of the CEO WAP must submit a request for approval and receive approval prior to executing the any sole source procurement.

- 5.1. Circumstances for Noncompetitive Procurement:** Procurement by noncompetitive proposals may be used only when one or more of the following circumstances apply:
 - 5.1.1. The item is available only from a single source;
 - 5.1.2. The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation;
 - 5.1.3. After solicitation of a number of sources, competition is determined inadequate; or
 - 5.1.4. The CEO WAP authorizes noncompetitive proposals in response to a written request from the subgrantee.
- 5.2. Prior Approval:** If any of the conditions in 5.1 of this policy exist, the subgrantee must submit the following in writing to receive prior approval from the CEO WAP:
 - 5.2.1. A copy of the bid or proposal (including evaluation criteria),
 - 5.2.2. Information on the method of notification to the public of the competitive request,
 - 5.2.3. And the response received and justification for any restrictive language in the request, if applicable.

6. General Bidding Requirements

- 6.1.** All prices must include the cost of labor, materials, cleanup, and removal of any old materials and proper recycling of appliances containing refrigerants.
- 6.2.** The installation of measures under the CEO WAP program will be based on a test of cost-effectiveness. Prices submitted under this RFA must result in

Supporting References:	2 CFR 200.317 – 200.326, 10 CFR 440.21 / Appendix A, 10 CFR 247
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cost-effective retrofits. The cost of any measure can be subsidized with other funding for the expressed purpose of making that measure cost-effective.

- 6.3. All measures installed in client homes must meet a cost to benefit ratio, also called the “Saving to Investment Ratio” or SIR. This is the ratio between the on-site materials and labor, including supervision, to install the measure to the discounted energy savings over the life of the measure. Grant recipients are required to install all measures that meet this ratio. Sub-grantees are expected to be able to analyze cost-effectiveness through proper use of DOE approved energy audit software. In addition, there are prescriptive measures and procedures that are required in specific situations. Respondents are notified that project costs that demonstrate the likelihood that this cost-effectiveness test will not be met will not be awarded projects.
- 6.4. All measures must meet the quality standards set forth in the Colorado Field Guide and CEO WAP Policies and Procedures.
- 6.5. Measures installation procedures must also be in compliance with the requirement of the CEO WAP standards as noted in the above documents.

7. Refrigerator Bids

The following requirements must be a part of any bid package for refrigerators.

- 7.1. All prices must include the cost to purchase, deliver, set-up of new appliance, remove old appliance(s), and recycle old appliance(s) in a manner consistent with the environmental standards in the Clean Air Act (1990), Section 608, as amended by Final Rule 40 CFR 82, May 14, 1993.
- 7.2. All removed secondary or under-used appliances must be recycled in a manner consistent with the environmental standards in the Clean Air Act (1990), Section 608, as amended by Final Rule 40 CFR 82, May 14, 1993.
- 7.3. All refrigerators must be cost effective based on a Kwh (annual usage)/\$(total cost) basis. Please reference CEO-WAP-704 A1 Utility Contribution Summary for specific utility rebate requirements for refrigerators.
- 7.4. No used appliance(s) shall be salvaged, re-claimed, re-used, sold, or distributed in any way.
- 7.5. The contractor that installs the refrigerator or freezer will be responsible for any damage to the new appliance or the client’s furnishings, floor coverings, woodwork, etc.
- 7.6. All information requested in the bid sheet must be supplied.
- 7.7. Refer to CFG for further information.

8. Capital Equipment

Supporting References:	2 CFR 200.317 – 200.326, 10 CFR 440.21 / Appendix A, 10 CFR 247
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Any purchase of capital equipment where the value of specific items (or total composite, if items are to be used as a set) will exceed \$5,000 and with a useful life of more than one year.

8.1. RFA Approval: Request for such purchases must be made in writing to CEO WAP as part of the RFA (request for application) process unless otherwise approved by the CEO WAP Program Manager. The request submitted must include:

8.1.1. Entry of the expense into the Budget Support Sheet (BSS) attachment to the RFA.

8.1.2. 206 A01 Capital Equipment Request Form:

- Specifications for the capital equipment/vehicle,
- Maximum dollar value,
- Justification of need,
- Bid responses, evaluation methods and results.

8.2. Performance Period Approval: 206 A01 Capital Equipment Request Form must be submitted to the CEO WAP Program Manager for approval.

8.3. 2 CFR 440.18: Any purchase of vehicles must be referred to DOE for prior approval in every instance. Only DOE funds can be used to purchase capital equipment.

9. Non-Compliance and Monitoring

Costs incurred by a subgrantee through procurement procedures not complying with the guidelines identified in Section 3 shall be subject to disallowance by CEO WAP. Such non-compliance may also be grounds for high-risk status, contract suspension and/or termination.

9.1. Administrative Monitoring: The subgrantee is responsible for retaining all documentation necessary to verify compliance with the applicable procurement regulations. These documents will be monitored during annual administrative monitoring visits by CEO WAP staff. Administrative monitoring of procurement compliance may include the following:

9.1.1. Pre-monitoring review of capital equipment purchases, capital equipment list, goods and services procured list, and internal procurement policy.

9.1.2. Documentation review of procurement packages and subsequent executed agreement(s).

9.1.3. Monitoring interview on procurement policy, specifically to address conflict of interest, documentation, capital equipment authorization, process for services, single or sole sources, notification methods to include small,

Supporting References:	2 CFR 200.317 – 200.326, 10 CFR 440.21 / Appendix A, 10 CFR 247
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minority, and women-owned businesses, securing of price, inspection of non-employee work prior to payment, and segregation of duties.

Appendices

206 A01 Capital Equipment Request Form

Supporting References:	2 CFR 200.317 – 200.326, 10 CFR 440.21 / Appendix A, 10 CFR 247	
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**CEO-WAP-207
State Travel Cost
Reimbursement**

Approved: July 1, 2015

1. Abstract

Subgrantees are expected to cover the travel costs associated with subgrantee staff participating in training activities, however, on rare occasions the Colorado Energy Office Weatherization Assistance Program (CEO WAP) will reimburse subgrantees for travel costs related to special meetings and training events (e.g. interagency training, subgrantee staff assisting with CEO WAP training, etc). The CEO WAP will notify subgrantees in advance of such situations.

1.1. Keywords: travel, reimbursement

2. Travel Reimbursement

Subgrantee travel costs incurred as part of carrying out a CEO WAP project plan are to be handled in accordance with the pertinent federal regulations which govern allowability and allocability (see regulations cited in the Supporting References section below).

2.1. The form found in Attachment 1 of this policy shall be completed and submitted with supporting receipts when requesting a reimbursement from the CEO WAP for travel expenses. The rules for reimbursement will follow the most recent Colorado State Travel policy located on the state's website:

<https://www.colorado.gov/pacific/osc/travel-fiscal-rule>

Attachment 1: Colorado Energy Office Travel Expense Form

Supporting References:

OMB Circular A-87, Attachment B, prg 41; OMB Circular A-122, Attachment B, 51

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1. Abstract

This policy describes the Colorado Energy Office (CEO WAP) eligibility criteria for receiving Weatherization services for applicants in single family and multifamily residences, as well as the appeal process for denial of service based on eligibility. Eligibility is determined by income or participation in LEAP or other approved State programs, and lawful presence in the U.S. This policy supports the CEO WAP Application.

1.1. Keywords: eligibility, application, income, state program, lawful presence

2. Eligibility

All clients receiving services under the CEO WAP must first have their eligibility verified by the subgrantee and documented in the client file. A client is considered eligible if they fall into one of the following categories:

1. Income
2. LEAP
3. State Program

2.1. Income Eligibility: Gross household income (total annual cash receipts) is at or below 200% of the federal poverty level ([WPN 17-3](#)). The federal poverty guidelines are updated on an annual basis in January and levels for the current program year should be taken from the previous annual update.

2.1.1. Definition of Income: Income means Cash Receipts earned and/or received by the applicant before taxes during applicable tax year(s) but not the Income Exclusions listed below in Section 2.1.4 Gross Income is to be used, not Net Income.

2.1.2. Determining Gross Income: Gross income is determined before deductions for taxes, insurance, etc. Therefore, when regular Social Security is included in income, the gross must be before Medicare deductions. In situations where the legal dissolution of a family has occurred for any cause during the last 12 months, an individual may solely use his/her income since the dissolution, annualized, to determine eligibility in accordance with the 200% of poverty federal guidelines.

2.1.3. Determining Eligibility via Income Documentation: Total income for the most recent three months immediately preceding eligibility determination, annualized, must be documented in the file. An Income

Supporting References:

CEO WAP-306, CEO WAP-402, 10 CFR 440.22, WPN 17-4, WPN 17-3, WPN 16-5, [WAP Memorandum 016](#), Colorado Revised Statute 24-76.5-103, 1 CCR 204-30 Rule 5, [Annual Update of the HHS Poverty Guidelines 2017](#), [Summary of Immigrant Eligibility Restrictions Under Current Law](#)

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CEO-WAP-301
Client Eligibility Criteria

Approved: November 21, 2017

calculation worksheet is attached in Attachment 5. This documentation must be included in the file, or a printed tape of the calculation. Either method requires two signatures of approval. Annualized income is determined by multiplying the three months' gross income by four. For example, \$1,200 for three months times four = \$4,800 annualized income.

- 2.1.4. **Cash Receipts:** Cash Receipts include the following:
- Money, wages and salaries before any deductions;
 - Net receipts from non-farm or farm self-employment (receipts from a person's own business or from an owned or rented farm after deductions for business or farm expenses);
 - Regular payments from social security, railroad retirement, unemployment compensation, strike benefits from union funds, worker's compensation, veteran's payments, training stipends, alimony, and military family allotments;
 - Private pensions, government employee pensions (including military retirement pay), and regular insurance or annuity payments;
 - Dividends and/or interest;
 - Net rental income and net royalties;
 - Periodic receipts from estates or trusts; and
 - Net gambling or lottery winnings

- 2.1.5. **Income Exclusions:** The following Cash Receipts are not considered sources of income for the purposes of determining applicant eligibility:
- Capital gains;
 - Any assets drawn down as withdrawals from a bank;
 - Money received from the sale of a property, house, or car;
 - One-time payments from a welfare agency to a family or person who is in temporary financial difficulty;
 - Tax refunds;
 - Gifts, loans, or lump-sum inheritances;
 - College scholarships;
 - One-time insurance payments, or compensation for injury;
 - Non-cash benefits, such as the employer-paid or union-paid portion of health insurance;

Supporting References:

CEO WAP-306, CEO WAP-402, 10 CFR 440.22, WPN 17-4, WPN 17-3, WPN 16-5, [WAP Memorandum 016](#), Colorado Revised Statute 24-76.5-103, 1 CCR 204-30 Rule 5, [Annual Update of the HHS Poverty Guidelines 2017](#), [Summary of Immigrant Eligibility Restrictions Under Current Law](#)

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CEO-WAP-301
Client Eligibility Criteria

Approved: November 21, 2017

- Employee fringe benefits, food or housing received in lieu of wages;
- The value of food and fuel produced and consumed on farms;
- The imputed value of rent from owner-occupied non-farm or farm housing;
- Depreciation for farm or business assets;
- Federal non-cash benefit programs such as Medicare, Medicaid, Food Stamps, school lunches, and housing assistance;
- Combat zone pay to the military;
- Child support;
- Reverse mortgages; and
- Payments for care of Foster Children;

2.1.6. Documentation for Income Determination includes:

- Copies of income check stubs (check stubs must contain pay period dates).
- Copy of a signed income tax return form or all IRS W-2s (withholding) forms for the year. If return was filed electronically a verification number proving that the return was submitted electronically is needed. When using tax forms documenting annual (calendar year) income, you can divide this amount by 12 to determine an average monthly income. Use this average for the months preceding the eligibility determination. If this approach yields a “not eligible” determination, it may be due to the averaging. It is allowable to use another of these four options to avoid denying services.
- Letter or other verification of income from income sources.
- Self-Certification (Income Affidavit): After all avenues of documenting income eligibility are exhausted, self-certification is allowable, but evidence of the various attempts at proving eligibility must be contained in the client file, including a notarized statement signed by the potential applicant indicating that he/she has no other proof of income. For those who are self-employed the income affidavit must be signed as well as providing income documentation. (See Attachment 4)

Supporting References:

CEO WAP-306, CEO WAP-402, 10 CFR 440.22, WPN 17-4, WPN 17-3, WPN 16-5, [WAP Memorandum 016](#), Colorado Revised Statute 24-76.5-103, 1 CCR 204-30 Rule 5, [Annual Update of the HHS Poverty Guidelines 2017](#), [Summary of Immigrant Eligibility Restrictions Under Current Law](#)

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2.1.7. **Duration of Income Based Eligibility:** If the client eligibility is income-based, eligibility and documentation are valid for 12 months from the date of eligibility determination. The expiration date is to be noted on the application under the agency eligibility approval section (e.g. eligibility determined by agency on April 10, 2004, expires on April 10, 2005).

2.2. LEAP Eligibility: See below.

2.2.1. **Determining eligibility via LEAP List:** An applicant’s name and address are referenced in the LEAP List, which is distributed from the CEO WAP to subgrantees on a weekly basis from November through May. A copy of the client’s LEAP Top Sheet produced from the LEAP List is the preferred documentation of the eligibility and must be retained in the client file. All LEAP recipients that are eligible for weatherization shall not be required to fill out an additional application, but are required to sign all approvals and acknowledgment documents.

2.2.2. **Determining eligibility via LEAP Award Letter:** A copy of the client’s LEAP award letter is acceptable eligibility documentation and must be retained in the file.

- **Note:** If a LEAP recipient moves within the same county or to a new county, they are still eligible for WAP services.

2.2.3. **Duration of LEAP Eligibility:** If the client eligibility is based upon being a LEAP recipient, the client name and address must appear on the current year’s LEAP list or on the most current LEAP list available at the time of eligibility determination. The last published LEAP list is valid until December 31st of the year it was issued (e.g. the April 2017 LEAP list may be used until December 31, 2017).

- **Note:** Should an audit be completed and work is underway prior to the eligibility expiration date, there is no need to re-qualify. Example: Audit completed December 31st, work can continue without requalification. If an audit is conducted on or after January 1, then the client’s name and address must be on the new LEAP list and documented as such in the client file as being re-qualified (requires date and signature of person re-determining eligibility and new LEAP top sheet).

Supporting References:

CEO WAP-306, CEO WAP-402, 10 CFR 440.22, WPN 17-4, WPN 17-3, WPN 16-5, [WAP Memorandum 016](#), Colorado Revised Statute 24-76.5-103, 1 CCR 204-30 Rule 5, [Annual Update of the HHS Poverty Guidelines 2017](#), [Summary of Immigrant Eligibility Restrictions Under Current Law](#)

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2.2.4. **Units Paid with LEAP Funding:** In addition to the requirements above, for jobs paid with LEAP funds, the client must be responsible for paying heating costs either directly or as a portion of their rent.

2.3. **State Program Eligibility:** The applicant is currently enrolled in an acceptable state program, which are listed below:

- Temporary Aid to Needy Families (TANF)
- Supplemental Security Income (SSI)
- Social Security Disability Income (SSDI)
- Aid to the Needy Disabled (AND)
- Old Age Pension (OAP)
- Supplemental Nutrition Assistance Program (SNAP)

2.3.1. **Determining eligibility via Award Letter:** If eligibility is based upon the client's receipt of OAP, SSI, SNAP, SSDI or some other entitlement under Title IV or Title XVI of the Social Security Act, a copy of the award notification, written verification via the corresponding agency on their letterhead which states the client name and eligibility date, or a copy of a payment check stub which states the type of payment and contains a date are all acceptable forms of eligibility documentation, providing that they are dated within the last 12 months. A copy of the document must be retained in the file.

2.3.2. **Duration of Pre-Qualifying Program Eligibility:** If eligibility is based upon the client's receipt of OAP, SSI, TANF, SNAP, SSDI or some other entitlement under Title IV or Title XVI of the Social Security Act, the client is eligible for 12 months following determination of eligibility. The expiration date is to be noted on the application under the agency eligibility approval section. Example: TANF document dated April 10, 2004, eligibility determined by agency on June 1, 2004, eligibility expires on June 1, 2005.

2.4. **Eligibility Documentation:** For purposes of review and audit, each client file must include an application with the required income documentation for the entire family living in the residence. The file must also contain evidence that the client is eligible to receive WAP services.

3. Multifamily Residences

Supporting References:

CEO WAP-306, CEO WAP-402, 10 CFR 440.22, WPN 17-4, WPN 17-3, WPN 16-5, [WAP Memorandum 016](#), Colorado Revised Statute 24-76.5-103, 1 CCR 204-30 Rule 5, [Annual Update of the HHS Poverty Guidelines 2017](#), [Summary of Immigrant Eligibility Restrictions Under Current Law](#)

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Duplexes, three and four-unit buildings, and buildings with more than 5 units are all considered multifamily buildings for the purposes of eligibility, whether centrally or individually heated.

3.1. Eligibility Determination: DOE regulations currently permit the weatherization of a multifamily building if at least 66% of the units are occupied by income eligible households or 50% for duplexes and four unit buildings. An exception is made for larger multifamily buildings with significant energy savings potential and owner contribution. These buildings with significant energy savings potential only require a minimum of 50% income eligible households. All buildings receiving services under the CEO WAP grant must first have their eligibility verified by the subgrantee and documented in the client file. A client is considered eligible if they fall into one of the following categories:

1. Income
2. LEAP
3. State Program
4. US Department of Housing and Urban Development (HUD) List

3.2. Income Eligibility: Refer to section 2.1. Applicants may also receive written documentation from the building owner of household income information obtained to determine the client's eligibility to reside in the building. Such documentation must:

- Include gross annual income for each household member
- Show income type for each source of income
- Be dated within 12 months of application date

3.2.1. If the building owner will not allow the subgrantee to keep a copy of such documentation due to confidentiality concerns, the subgrantee may visually inspect written documentation and sign the Multifamily Unit Information Form verifying the unit meets the income eligibility criteria. It is the subgrantee's responsibility to ensure the building owner agrees to keep such documentation for at least seven years from the time of weatherization.

3.3. LEAP Eligibility: Refer to section 2.2.

3.3.1. Units Paid with LEAP funding: In addition to all of the requirements above, for jobs paid with LEAP funds, the client must be responsible for paying heating costs either directly or as a portion of their rent.

Supporting References:

CEO WAP-306, CEO WAP-402, 10 CFR 440.22, WPN 17-4, WPN 17-3, WPN 16-5, [WAP Memorandum 016](#), Colorado Revised Statute 24-76.5-103, 1 CCR 204-30 Rule 5, [Annual Update of the HHS Poverty Guidelines 2017](#), [Summary of Immigrant Eligibility Restrictions Under Current Law](#)

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- 3.4. State Program Eligibility:** Refer to section 2.3.
- 3.5. US Department of Housing and Urban Development (HUD) List:** Buildings determined by HUD to be eligible for WAP assistance will be posted on one of two lists:
 - 3.5.1. List 1 – Public housing buildings or privately-owned buildings with three or more years remaining on their affordability contracts with HUD are included on this list. Inclusion on List 1 demonstrates compliance with the following three WAP multifamily program requirements:
 - DOE’s income requirements
 - Protection against rent increases, and
 - Protection against undue enhancement of the weatherized building.
 - 3.5.2. List 2 – Buildings on this list have less than three years remaining on their Housing Assistance Payments (HAP) contract with HUD. Inclusion on List 2 demonstrates compliance with only the following two multifamily program requirements:
 - DOE’s income requirements; and
 - Protection against undue enhancement of the weatherized building. Buildings on this list must separately comply with the WAP program requirement for protection against rent increases.
 - 3.5.3. For more information on the eligibility of HUD housing, please refer to WPN 17-4.
- 3.6. Other Public Housing:** A public housing, assisted housing, US Department of Agriculture (USDA) or Low-Income Housing Tax Credit (LIHTC) building may still qualify for the WAP, however the LIHTC and USDA lists of income-eligible properties are no longer valid and will no longer be updated; WAP providers should follow standard procedures for verifying individual resident incomes for USDA and LIHTC properties.

4. Lawful Presence

In order to be eligible for Weatherization, applicants must be lawfully present in the United States. Agencies shall verify the lawful presence of each applicant eighteen years of age or older for Weatherization benefits by requiring the applicant to produce a valid form of identification as set forth in §24-76.5-103(4)(a) C.R.S. or in 1 CCR 204-30 Rule 5

Supporting References:

CEO WAP-306, CEO WAP-402, 10 CFR 440.22, WPN 17-4, WPN 17-3, WPN 16-5, [WAP Memorandum 016](#), Colorado Revised Statute 24-76.5-103, 1 CCR 204-30 Rule 5, [Annual Update of the HHS Poverty Guidelines 2017](#), [Summary of Immigrant Eligibility Restrictions Under Current Law](#)

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from the Executive Director of the Department of Revenue, and execute an affidavit stating that either he or she is lawfully present in the U.S.

4.1. Lawful Presence Affidavit: The lawful presence affidavit must be completed and signed by all eligible clients and included in the client file. Applicants must be either a U.S. citizen, a legal permanent resident, or otherwise lawfully present in the United States pursuant to federal law. The following exceptions apply:

4.1.1. Lawfully Present Child: A unit with no lawfully present adult, but a lawfully present child is eligible for Weatherization. Proof of lawful presence for persons under 18 is not required; however, the subgrantee needs to obtain verbal confirmation from an adult member of the household that the child is indeed lawfully present in the United States. The subgrantee must note in the client file, the child’s name, age, and legal status: U.S. citizen, Permanent Resident, or lawfully present.

4.1.2. Duplex, triplex and fourplex: Lawful presence affidavit is required for the income eligible applicant(s) only.

4.1.3. 5 or more units: Lawful presence affidavit is not required for residents, however income eligibility documentation rules still apply.

4.2. Identification: A copy of a current picture identification of the applicant must be included in the applicant’s file. Applicants must provide one of the forms of identification set forth in §24-76.5-103(4)(a) C.R.S. or in 1 CCR 204-30 Rule 5 from the Executive Director of the Department of Revenue. Acceptable forms of identification are included in 301.2 A3 CEO WAP Application Attachment A: Lawful Presence.

4.3. Qualified Aliens: If the applicant checks “I am lawfully present in the United States pursuant to Federal Law”, it will be necessary to verify this through SAVE (Systematic Alien Verification for Entitlements). Please contact the CEO WAP for assistance with this verification.

5. Appeal Procedure

It is the right of the client to appeal eligibility determination. The following is the process for client appeals related to denial of service based on eligibility.

5.1. Client Appeal to Subgrantee: If the client is denied CEO WAP services, the client has 30 days to appeal the decision to the subgrantee Program Manager or Executive Director. A written response from the subgrantee to the client will be sent within 15 days.

Supporting References:

CEO WAP-306, CEO WAP-402, 10 CFR 440.22, WPN 17-4, WPN 17-3, WPN 16-5, [WAP Memorandum 016](#), Colorado Revised Statute 24-76.5-103, 1 CCR 204-30 Rule 5, [Annual Update of the HHS Poverty Guidelines 2017](#), [Summary of Immigrant Eligibility Restrictions Under Current Law](#)

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5.2. Client Appeal to the CEO WAP: If services are still denied by the subgrantee, an appeal can be made to the CEO WAP Program Manager. This will be the final decision and will be made to the client within 15 working days. Appeals should be in writing and addressed to:

Colorado Energy Office
Weatherization Program Manager
1580 Logan Street, Suite 100
Denver, CO 80203

6. Application Procedure

All applicants for CEO WAP must complete, sign, and date the CEO WAP Application prior to receiving services.

6.1. Multifamily Application: All applicants (building owner) for CEO WAP multifamily services must complete, sign, and date the CEO WAP Multifamily Weatherization Application prior to receiving services. (See CEO WAP State approved Multifamily Weatherization Application - Attachment 4). The applicant must obtain the following from each unit in the building:

- Utility Bill Release form (if individually metered) (see Attachment 6)
- Multifamily Unit Information Form (see Attachment 5). The Multifamily Unit Information Form must include at least the last name and first initial of the first name of the resident of each unit.

6.1.1. Subgrantees are not allowed to modify the CEO WAP Multifamily Application in any manner. It is a requirement of all subgrantees to use the CEO WAP approved form; there are no exceptions. It is acceptable to attach to the application any form(s) that are required by County or Councils such as liability forms.

6.2. Process Time: The client has the right to have their application processed in a timely manner (within 30 days).

6.3. Eligibility Determination on Application: Each client application must contain the signature and date of the staff person determining the eligibility in the space provided in the CEO WAP application.

6.4. Approved Application: Subgrantees are not allowed to modify the CEO WAP Application in any manner. It is a requirement of all subgrantees to use the CEO WAP approved application, there are no exceptions. It is acceptable to attach to

Supporting References:

CEO WAP-306, CEO WAP-402, 10 CFR 440.22, WPN 17-4, WPN 17-3, WPN 16-5, [WAP Memorandum 016](#), Colorado Revised Statute 24-76.5-103, 1 CCR 204-30 Rule 5, [Annual Update of the HHS Poverty Guidelines 2017](#), [Summary of Immigrant Eligibility Restrictions Under Current Law](#)

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the application any form(s) that are required by County or Councils such as liability forms.

Policy Appendices

- 301 A1 CEO WAP Application (English)
- 301 A2 CEO WAP Application (Spanish)
- 301 A3 Income Affidavit
- 301 A4 CEO WAP Client Income Worksheet
- 301 A5 Verification of Lawful Presence
- 301 A6 Consent To Disclose Utility Data - Atmos
- 301 A7 Consent To Disclose Utility Data - Black Hills
- 301 A8 Consent To Disclose Utility Data - CNG
- 301 A9 Consent To Disclose Utility Data - Source
- 301 A10 Consent To Disclose Utility Data - Xcel English
- 301 A11 Consent To Disclose Utility Data - Xcel Spanish
- 301 A12 MF WAP Application - EOC
- 301 A13 MF Unit Info Form
- 301 A14 MF Utility Release Form - English
- 301 A15 MF Utility Release Form - Spanish

Supporting References:

CEO WAP-306, CEO WAP-402, 10 CFR 440.22, WPN 17-4, WPN 17-3, WPN 16-5, [WAP Memorandum 016](#), Colorado Revised Statute 24-76.5-103, 1 CCR 204-30 Rule 5, [Annual Update of the HHS Poverty Guidelines 2017](#), [Summary of Immigrant Eligibility Restrictions Under Current Law](#)

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1. Abstract

The Colorado Weatherization Assistance Program (CEO WAP) requires that subgrantees use four priority categories in the selection of eligible clients for weatherization service.

1.1. Keywords: priority, energy burden, ECSP, elderly, disabled, children, database

2. Service Priorities

As defined in 10 CFR 440.16, priority is given to identifying and providing weatherization assistance to:

1. Households with high energy burden
2. Clients that fall into one or more of the other priority categories:
 - a. Elderly persons (aged 60 years and over)
 - b. Persons with disabilities
 - c. Families with children (children below age 6)

NOTE: All service priorities must be done in addition to meeting county minimum goals. In practice this means that agencies may not serve as many priority clients in some counties compared to other counties. Despite individual county characteristics and the hurdles these present, each agency should make an effort to maximize priority clients served across its service territory.

2.1. ECSP: Homes which use electricity or propane for heating and/or were built in 1975 or before.

2.2. Elderly: Clients aged 60 or over.

2.3. Persons with Disabilities: Clients who receive vocational rehabilitation assistance, Social Security Disability, Supplemental Security Income, Old Age Pension (A or B), Aid to the Blind (both the SSI-supplement and State only groups), Aid to the Needy Disabled (both the SSI-supplement and State-only groups), veterans with 100% disability payments, or those who provide a physician's statement which indicates incapacity to engage in gainful employment.

2.4. Families with Children 5 and Under: Clients with children aged five and under living in the home.

3. Service Priority Management

Priority groups must be tracked via the CEO WAP Database. The CEO WAP Database allows for filtering and sorting of Jobs on the Wait List by any number of criteria. In the case of prioritization, the Jobs within the CEO WAP Database should be filtered to show clients with ECSP homes, clients who are aged 60 and over, disabled clients, and clients

Supporting References:

10 CFR 440.3, 10 CFR 440.16b, 10 CFR 440.21, CEO-WAP-603, CEO-WAP-302 A1, WAP Memorandum 002

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who have children aged five and under. Appendix 301.4 A1 provides instructions on filtering and sorting priority clients in the CEO WAP Database.

4. Service Priority Monitoring

Service of priority clients will be tracked via monthly metrics and discussed during each agency’s monthly check-in with its Weatherization Program Manager. The purpose of tracking these metrics is to improve service to priority clients. Metrics for tracking will include, but may not be limited to:

1. ECSP homes served as a percentage of total homes served,
2. ECSP homes on the Wait List as a percentage of total homes on the Wait List,
3. clients who are aged 60 and over served as a percentage of total clients served,
4. clients who are aged 60 and over on the Wait List as a percentage of total clients on the Wait List,
5. disabled clients served as a percentage of total clients served,
6. disabled clients on the Wait List as a percentage of total clients on the Wait List,
7. clients who have children aged five and under served as a percentage of total clients served, and
8. clients who have children aged five and under on the Wait List as a percentage of total clients on the Wait List.

Supporting References:

10 CFR 440.3, 10 CFR 440.16b, 10 CFR 440.21, CEO-WAP-603, CEO-WAP-302 A1, WAP Memorandum 002

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1. Discussion

It is the policy of the Colorado Energy Office Weatherization Assistance Program (CEO WAP) that any and all information regarding clients be handled with the utmost confidentiality.

1.1. Keywords: confidentiality, application, subcontractor, records, photographs

2. WAP Application and Determination of Eligibility

All information required during the application and determination of eligibility is to be protected against indiscriminate access by subgrantee staff, and is not to be made available for public review. This information is to be placed in a secured storage area during its use and during the required record retention period. Accessibility to LEAP client lists is to be limited to pertinent subgrantee staff, the subgrantee's financial and compliance auditor, and CEO WAP staff or their authorized representatives. It is a breach of confidentiality for the subgrantee to provide the local utility companies more information than necessary to secure the release of fuel consumption data. For this reason, subgrantees must separate the utility release form from the client application to prevent having to submit the full application to the utility.

3. Subgrantee(s), contractor(s) and/or subcontractor(s)

Subgrantee(s), contractor(s) and/or subcontractor(s) will maintain no information about any individual in a manner that would violate the provision of the Privacy Act of 1974, as amended. Breach of confidentiality by the subgrantee may be grounds for suspension and/or termination of funding.

4. Subcontractors

Subcontractors are to be provided only the minimum amount of information required, regarding the client, which is necessary for provision of the contracted service.

5. Client Records

Client records should remain at the subgrantee office, stored in a secure location that prevents damage and protects client confidentiality (see CEO-WAP-507). Files should be made available to field staff that only include client's name, address, phone number, income level, and any other non-sensitive information (i.e. social security numbers, etc.).

6. Photographs

The utmost discretion is to be used when photographing a client's home, including the subgrantee securing written authorization prior to the photographing when the client's home will be recognizable by the photograph (broad views of home versus detailed photos of windows, doors, etc). Refer to the CEO WAP Application.

Supporting References:

CEO WAP-103, CEO WAP-301, CEO-WAP-306, Privacy Act of 1974 (PL 93-579)

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7. Confidentiality Release

There may be times when non-agency employees, members of the media or other interested parties may visit a weatherization in-progress or completed unit. A confidentiality release form is required from the client to allow non-agency visitors access to the exterior and interior of their property. See Attachment 1 for standard confidentiality release form.

8. Optional Client Assistance

WAP applicants and WAP clients have the option to enlist other entities to aid them in navigating the weatherization process. These outside resources may be whomever the client elects (friend, family, organization, etc.). This option is especially useful to the subgrantee in overcoming potential language barriers.

Attachment 1: Confidentiality Release Form

Supporting References:	CEO WAP-103, CEO WAP-301, CEO-WAP-306, Privacy Act of 1974 (PL 93-579)	
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The CEO WAP electronic version is the control version. All other printed or electronic versions are uncontrolled.		



1. Discussion

This policy establishes the Colorado Energy Office Weatherization Assistance Program (CEO WAP) position along with DOE requirements regarding landlord agreements, rent increases, rent increase complaints, and financial participation.

1.1. Keywords: education, client, health, energy savings

2. Occupant Pre-Existing or Potential Health Concerns

Clients must be informed of materials being used in their homes. When the client's health may be at risk and/or the work activities could constitute a health or safety hazard, the occupant at risk will be required to take appropriate action, based on severity of risk. Actions to be taken by the subgrantee and client, if applicable, are as follows:

2.1. Temporary relocation of at-risk occupants may be allowed on a case-by-case basis.

2.2. Occupants are required to reveal known or suspected health concerns as part of the initial application for weatherization (See Attachment 1 for Client Chemical Sensitivity Form). The form is to be reviewed with the client during the audit. The auditor's signature is required.

2.3. The auditor is to provide to the client information regarding any known risks of materials being used in the home. Subgrantee contact information is to be provided in order for the client to be able to inform the subgrantee of any issues.

2.4. Subgrantee is required to take appropriate actions to protect the client from pre-existing sensitivity conditions if the unit is not deferred.

2.5. Failure or the inability to take appropriate actions must result in the deferral of the unit.

3. Warranty and Energy Savings

Subgrantees that receive tenant complaints regarding rent increases should refer them to organizations (i.e. legal aid, tenant-landlord mediation organizations, etc.) which can offer assistance in resolving this issue.

3.1. Clients must be informed of program requirements and warranties.

3.2. Clients are to be informed of the measures installed in their home and how they can interact with their home to increase the potential energy savings.

4. Adult Education

Training on adult education is required. A mixture of verbal and written communication is to be used including, but not limited to, the distribution and explanation of the client education booklet developed by the State and the Subgrantees.

4.1. The above information should be presented with the following concepts in mind:

Supporting References:

CEO-WAP-301, CEO-WAP-307, CEO-WAP-502, CEO-WAP-701, 10 CFR 440.22(d)

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- 4.1.1. Quality education can empower the client to have some degree of control over the energy consumed by the household. Clients will generally respond positively to the sense of empowerment and control over their home.
- 4.1.2. The educator must be perceived to be trustworthy and well-informed.
- 4.1.3. Information should be presented clearly and concisely.
- 4.1.4. Limit the number of ideas conveyed - emphasize the important messages.
- 4.1.5. The key points should be consistently reinforced through all stages of work - from intake through inspection.
- 4.1.6. Assume that you will succeed in conveying useful information to every client - do not prejudge the client on the basis of race, color, gender or any other criteria.
- 4.1.7. Recognize that, despite your best efforts, there will be some failures due to apathy, distractions or other causes.

Attachment 1: Client Chemical Sensitivity Statement

Supporting References:

CEO-WAP-301, CEO-WAP-307, CEO-WAP-502, CEO-WAP-701, 10 CFR 440.22(d)

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1. Abstract

This policy addresses the process and requirements for addressing client disputes, which may include client complaints received by the Colorado Energy Office Weatherization Assistance Program (CEO WAP) and client appeals to the CEO WAP.

1.1. Keywords: complaint, appeal, dispute, client file

2. Client Complaint Received by Subgrantee

The nature of complaints received by a subgrantee from current clients may include, but is not limited to, denial of service, quality of workmanship, crew damage to the home, or inferior materials. Subgrantees will follow their own internal processes to address complaints, and all complaints must be handled in an expedited manner. If a client is unsatisfied with the resolution provided by the subgrantee, he or she may appeal that decision to the CEO WAP.

2.1. Subgrantee Complaint Procedure: All subgrantees are required to have a written complaint procedure that records pertinent information such as client information, job number, stated problem, root cause of the situation, and resolution. Any substantiating evidence, such as photos, staff written comments, defective materials, additional costs, etc., should be included (See CEO-WAP-305 A1 Sample Complaint Resolution Form for a sample document).

2.1.1. Subgrantee Complaint Log: Subgrantees, as part of their complaint procedure, are encouraged to keep a log which includes, the file number, reason for complaint, associated costs to obtain a resolution, etc. (See CEO-WAP-305 A2 Sample Complaint Log for a sample document).

2.2. Complaint Resolution: When the subgrantee has reached a conclusion for a client complaint, the decision must be shared with the client in writing (via letter). This letter should also include information on how the client may appeal this decision to the CEO WAP. Information related to the client complaint, such as a Complaint Resolution Form or copies of correspondence, should be included in the client file.

2.3. Client Complaint Received by the CEO WAP: If a client contacts the CEO WAP in regard to a complaint that has not yet been addressed by the subgrantee, the CEO WAP will direct that client to his or her respective subgrantee. Complaints must have the subgrantee resolution before they can be directed to the CEO WAP as an appeal.

2.3.1. CEO WAP Documentation: In addition to passing the complaint information along to the respective subgrantee, the CEO WAP will record the general information of the client complaint in the Client Dispute Log

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(Google Drive > Client Disputes > PY XX-XX). A copy of the email sent to the subgrantee, asking them to address the complaint, will be saved in a client folder for the complaint (Google Drive > Client Disputes > PY XX-XX > RX > Last, First).

2.3.2. **Special Circumstances:** There may be special circumstances that would necessitate a complaint to be handled directly by the CEO WAP. In those cases, an alternative process will be followed.

3. Client Appeal Received by CEO WAP

If a client is unsatisfied with the written decision of the subgrantee in response to their complaint, the client may appeal that decision to the CEO WAP.

3.1. **Requirements for Client Appeals:** Appeals must be received in writing (either via letter or email) by the CEO WAP and must include a copy of the subgrantee decision that the client is appealing. Letter appeals should be addressed to:

Colorado Energy Office
Weatherization Program Manager
1580 Logan Street, Suite 100
Denver, CO 80203

3.2. **Client Appeal Procedure:** When an appeal is received at the CEO WAP, a formal report of the complaint will be initiated. The affected subgrantee will be required to work closely with the CEO WAP to investigate and/or provide information to prove or disprove the complainant's allegations.

3.2.1. **Program Manager Decision:** The Program Manager will coordinate with the subgrantee and CEO WAP staff to determine a response to the client appeal. The Program Manager's Decision will be sent to the client within 15 working days.

3.2.2. **Director Decision:** If the client is unsatisfied with the Program Manager's response, they may appeal one additional time to the Director. The Director's decision will be sent to the client within 15 working days and is considered the final response to the client. No more appeals may be made after this decision.

3.2.3. **CEO WAP Documentation:** Appeals received by the CEO WAP will be kept on file at the CEO WAP. The CEO WAP will record the general information of the client complaint in the Client Dispute Log (Google Drive > Client Disputes > PY XX-XX). Copies of all written decisions from the CEO WAP, copies of responses from the client, and any additional

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correspondence or information, will be saved in a folder for the appeal (Google Drive > Client Disputes > PY XX-XX > RX > Last, First).

- 3.2.4. **Client File:** Documents related to the client appeal, such as copies of written decisions and records of correspondence, should be included in the client file.

Policy Appendices

- 305 A1 Sample Complaint Resolution Form
- 305 A2 Sample Complaint Log

Supporting References:

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1. Abstract

Each subgrantee must maintain a client file for each household receiving Colorado Energy Office Weatherization Assistance Program (CEO WAP) services. Client files are considered a permanent record and subject to a set retention schedule (per 2 CFR 200.333-.337) and are therefore required to be kept in a secure location at all times to ensure confidentiality. All documentation contained within the file shall have notations, comments, metering results, signatures, etc. in ink. Corrections shall be crossed out in ink and restated in ink. The subgrantee approving the application for eligibility has the responsibility and liability for costs incurred in serving ineligible units.

1.1. Keywords: client, file, eligibility, documentation, record, waivers, permission

2. Eligibility and Permission Documents

The client approval process is to include the completion of an approved CEO WAP Application. Each application must also include the signature and date of the subgrantee staff person determining the client's eligibility. This eligibility certification includes a review of the previously weatherized list to prevent re-weatherization. The approved CEO WAP Application includes:

- 2.1. Documentation of Eligibility:** Documentation may include a pre-qualifying public assistance approval letter, a LEAP Top Sheet printed from the CEO WAP database, an Income Worksheet or if the household income is zero, a notarized income affidavit. Refer to CEO-WAP-402 for multifamily requirements.
- 2.2. Permission to photograph home:** Permission from the client to photograph the home for pre and post work conditions.
- 2.3. Lawful Presence Affidavit:** A completed Lawful Presence Affidavit and a copy of a valid form of identification. Valid forms of identification include a valid Colorado driver's license, valid Colorado identification card, valid US military card or a valid United States passport.
- 2.4. WAP Permission Form:** This serves as permission from the client to enter the premises, perform work and allow inspection by local, state, and federal officials is required. If the client is renting the home, then the owner must sign the Landlord or Property Manager Permission Form. This form includes the agreement from the landlord to not increase rent as a result of the WAP and a release to allow the installation of WAP materials and performance of energy conservation services.

Supporting References:

10 CFR 440.22(a), CEO-WAP-502, CEO-WAP-505, CEO-WAP-301, CEO-WAP-703, CEO-WAP-403, CEO-WAP-402

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3. Field Documentation and other Requirements

The following field related documents are required to be complete and maintained in the client file:

3.1. Chemical Sensitivity Form

3.2. Mold Inspection Form

3.3. Utility Data Consent Form

3.4. CEO WAP Audit Form or CEO approved audit form and all related components of audit form: Including, but not limited to, Combustion Appliance Summary Sheet, pre and post-WAP Blower Door test results and the Ventilation Calculation Form)

3.5. Photos: Recording pre-existing conditions, work quality issues found during inspections should be contained in file. Photo documentation may be printed and placed in the client file or stored electronically (with an appropriate naming convention to identify the unit).

3.6. Results of a NEAT, MHEA or other CEO WAP approved audit: Also include the second NEAT or MHEA Audit showing contributions and resulting SIR's, if applicable. A copy of the NEAT/MHEA Economic Analysis Report that includes all measures installed, including health and safety repairs, necessary repairs, and incidental repairs.

3.7. Cost Records: Record of all measures and materials installed and documentation of contract labor costs associated with weatherizing this unit, including all related invoices, purchase orders and a completed job audit/estimate form. (Note: The job audit/estimate form must be approved by the CEO WAP prior to use.)

3.8. Building Weatherization Report (BWR)

3.9. Standard CEO WAP Final Inspection Form

3.10. Radon pamphlet receipt: Signed documentation that client (and landlord if it is a rental property) has received the Radon Pamphlet.

4. Additional Requirements (if applicable)

4.1. State waivers

4.2. Agency waivers: Documentation of decisions and technical waivers made by the sub-grantee regarding services provided or not provided.

4.3. For homes built 50 years ago or longer, a signed copy of the State Historic Preservation Document is required, if applicable for work outside the exemption. (See CEO WAP 312.)

Supporting References:

10 CFR 440.22(a), CEO-WAP-502, CEO-WAP-505, CEO-WAP-301, CEO-WAP-703, CEO-WAP-403, CEO-WAP-402

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- 4.4. Crisis Intervention Program (CIP) documentation:** For those jobs that receive financial participation through the CIP, invoice to LEAP and supporting documentation for CIP charges must be included.
- 4.5. Landlord contribution documentation**
- 4.6. Health and Safety notification:** Documentation of notification to owners and clients of health or safety problems that required WAP work to be terminated.
- 4.7. Refrigerator Replacement documentation:** For jobs that receive a new refrigerator, the client file must include forms that document delivery.
- 4.8. Heating System Replacement documentation**
- 4.9. ASHRAE 62.2 Calculation Form**
- 4.10. RRP Documentation (Required for homes built prior to 1979):**
 - 4.10.1. A copy of the assigned Certified Renovator's current certificate
 - 4.10.2. Completed Renovation Checklist
 - 4.10.3. Signed documentation that client (and landlord if it is a rental property) has received the RRP Lead Safe Pamphlet

Attachment 1: CEO WAP Application

Supporting References:

10 CFR 440.22(a), CEO-WAP-502, CEO-WAP-505, CEO-WAP-301, CEO-WAP-703, CEO-WAP-403, CEO-WAP-402

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1. Abstract

This policy describes the unit eligibility criteria for receiving weatherization services under the Colorado Energy Office Weatherization Assistance Program (CEO WAP). Eligibility is determined by re-weatherization restrictions and structure types.

1.1. Keywords: unit, eligibility, re-weatherization, multifamily, non-conventional

2. Definitions

Per 10 CFR 440, the following are definitions of terms used in DOE regulations related to eligible dwelling units:

2.1. Dwelling Unit: a house, including a stationary mobile home, an apartment, a group of rooms, or a single room occupied as separate living quarters.

2.2. Rental Dwelling Unit: a dwelling unit occupied by a person who pays rent for the use of the dwelling unit.

2.3. Separate Living Quarters: living quarters in which the occupants do not live and eat with any other persons in the structure and which have either direct access from the outside of the building or through a common hall or complete kitchen facilities for the exclusive use of the occupants. The occupants may be a single family, one person living alone, two or more families living together, or any other group of related or unrelated persons who share living arrangements, and includes shelters for homeless persons.

3. Re-Weatherization

Except in cases of disaster or partial weatherization as discussed below, the CEO WAP does not re-weatherize units that received weatherization services after September 30, 1994. This restriction applies across all funding sources. For DOE restrictions, see 10 CFR 440.18 (f).

3.1. Exceptions: The exceptions to the re-weatherization restriction are:

3.1.1. Disaster Relief: If a unit has been weatherized since September 30, 1994, it may be re-weatherized if it has been damaged by fire, flood, or act of God and the repair of the weatherization materials is not covered by insurance per 10 CFR 440.18(f)(2)(ii). Please see 307 A01 Crisis Relief Plan for more information.

3.1.2. Dwelling units partially weatherized under this program or under other federal programs during the period of September 30, 1975 through September 30, 1994 may receive further financial assistance for weatherization under this program per 10 CFR 440.18(f)(2)(iii).

Supporting References:

CEO-WAP-301, CEO-WAP-302, CEO-WAP-502, 10 CFR 440.22(b), 10 CFR 440.18

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3.1.3. Units may only be re-weatherized if criteria listed under either 3.1.1 or 3.1.2 is met and the following action items are taken:

- 3.1.3.1. the occupant reapplies for assistance under the program and is certified to be eligible; and
- 3.1.3.2. the local subgrantee prioritizes the application with all others adhering to program priorities; and
- 3.1.3.3. a new energy audit is performed.

3.2. Manufactured Homes: Due to the mobile nature of manufactured homes, it is possible that an un-weatherized manufactured unit could be placed on a location where a previously weatherized manufactured home was located in the past. For manufactured units which are believed to be un-weatherized and that reside in a location that is on the previously weatherized list, subgrantees must verify that the unit has not received weatherization and submit a waiver to CEO. Verification can be done by an inspection of the manufactured unit by the subgrantee verifying, and stating in the waiver, that the unit has not been previously weatherized and/or verification that the unit in question was moved to its current location after the transfer date listed on the previously weatherized list for the location.

3.3. Reporting Criteria: The re-weatherized units are counted as completed units against the contracted production goal. The units will count when calculating the subgrantee’s per unit average. See 10 CFR 440.18 for DOE per home expenditure limit.

3.3.1. All units that are re-weatherized must be reported in the CEO WAP Database following the same guidelines and timelines listed in CEO-WAP-701. All units that received re-weatherization services due to damage caused by a disaster shall indicate so in the database.

3.4. Application: The re-weatherization restriction is explained in the weatherization application.

4. Single Family Units

In order to be eligible for weatherization, a single-family unit must be occupied by an eligible household prior to the start of any weatherization activities. See CEO-WAP-301 for client eligibility guidelines.

4.1. Definition: A single family unit is a single dwelling unit that is a detached building.

Supporting References:

CEO-WAP-301, CEO-WAP-302, CEO-WAP-502, 10 CFR 440.22(b), 10 CFR 440.18

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5. Individually Heated Multifamily Units

In order to be eligible for weatherization, a unit within an individually heated multifamily building must be occupied by an eligible household prior to the start of any weatherization activities. WAP activities for these units may not be paid for with DOE funds. See CEO-WAP-301 for client eligibility guidelines.

5.1. Definition: An individually heated multifamily unit is either:

- 5.1.1. an individual dwelling unit within a building that contains two or more dwelling units and does not share heating equipment with any other dwelling unit.
- 5.1.2. an individual dwelling unit in a low-, mid-, or high-rise apartment building which does not share heating equipment with any other dwelling unit.

6. Centrally Heated Multifamily Units

In order to be eligible for weatherization, a unit within a centrally heated multifamily building must be occupied by an eligible household prior to the start of any weatherization activities. WAP activities for these units may not be paid for with DOE funds. See CEO-WAP-301 for client eligibility guidelines.

6.1. Definition: A centrally heated multifamily unit is a dwelling unit within a building of two or more units which shares heating equipment.

7. Multifamily Buildings

Duplex, triplex, and fourplex buildings may be weatherized if 50% of the building occupants are eligible for weatherization. For buildings with five or more dwelling units, 66% of the building occupants must be eligible for the entire building to be weatherized and the total program funds allowed for the project is the current per unit average multiplied by the number of qualifying units. See policy CEO-WAP-402 for more information about multifamily building eligibility.

8. Other Eligible Structures

Subgrantees must receive CEO WAP approval prior to weatherizing structures that are not conventional single family or multifamily units. Other structures are only considered eligible if they are owned by a non-profit that aligns with the CEO WAP’s mission of reducing poverty and/or energy burden. Additional documentation may be required to prove eligibility and the CEO WAP may also issue specific guidance for weatherization work.

8.1. Vacant Buildings: Completely vacant buildings may only be weatherized in conjunction with a federal, state, or local government program for rehabilitating the building or making similar building improvements.

Supporting References:

CEO-WAP-301, CEO-WAP-302, CEO-WAP-502, 10 CFR 440.22(b), 10 CFR 440.18

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8.2. Group Homes and Shelters: Group Homes and Shelters are eligible for weatherization services and income documentation on individual residents is not required.

8.3. Requirements for Group Homes and Shelters:

8.3.1.1. **Group Home:** means a dwelling unit in which three or more people, not related by blood or marriage, are residing in a single unit, not owned by a government subgrantee, where eating facilities are shared. In addition, a group home must have a clearly definable identity that distinguishes it from more informal, family-type settings, for example, a residence for mentally challenged people.

8.3.1.2. **Shelters:** means a dwelling unit or units whose principal purpose is to house, on a temporary basis, individuals who may or may not be related to one another and who are not living in nursing homes, prisons, or similar institutional care facilities.

8.3.1.3. **Determining Dwelling Units:** For the purpose of determining how many dwelling units exist, a subgrantee may count each 800 square feet or each floor of the facility as a dwelling unit.

8.4. Church Owned Property: Church owned property may be eligible for weatherization.

9. Ineligible Structures

The following are structures that are not eligible for Weatherization services.

9.1. Non-Conventional Dwellings: Structures not built for permanent habitation, or not fit for permanent habitation, may not receive services with CEO WAP funds. These types of structures include motorhomes, buses, tents, recreational vehicles, barns, stables, chicken coops, sheds, temporary fabrications, cardboard boxes, and dumpsters. Waivers may be granted for unusual circumstances, through the CEO WAP.

9.2. New Construction: New Construction or units currently under construction are not eligible for weatherization. Units must be currently or previously occupied.

Policy Appendices

401 A01 Crisis Relief Plan

Supporting References:

CEO-WAP-301, CEO-WAP-302, CEO-WAP-502, 10 CFR 440.22(b), 10 CFR 440.18

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1. Abstract

This policy defines the approval process for the weatherization of multifamily buildings as well as the database reporting requirements for multifamily structures. Eligible multifamily dwellings may be weatherized by a subgrantee with prior approval by the Colorado Energy Office Weatherization Assistance Program (CEO WAP) using the waiver process. Subgrantees shall follow the same reporting procedures and requirements as those for single family units.

1.1. **Keywords:** multifamily, approval, waiver, reporting

2. Determining Eligibility in Multifamily Buildings

2.1. Duplex, triplex, and fourplex buildings may be weatherized if 50% of the building occupants are eligible for weatherization. For buildings with five or more dwelling units, 66% of the building occupants must be eligible for the entire building to be weatherized and the total program funds allowed for the project is the current per unit average multiplied by the number of qualifying units. See policy CEO-WAP-401 for more information about multifamily building eligibility.

2.2. If the building meets the eligibility requirement, the entire building shell, including ineligible units and common areas, may be weatherized. This means that insulating the entire building shell and central heating systems are eligible measures. Only those measures that would improve the energy efficiency of the entire building may be installed. Combustion appliances must be tested to ensure that no health and safety problems exist and to also determine the steady state operating efficiency.

2.3. If the building does not meet the eligibility requirement, the building may not be weatherized.

3. Vacant Buildings

3.1. Completely vacant buildings may only be weatherized in conjunction with a federal, state, or local government program for rehabilitating the building or making similar building improvements. See CEO-WAP-401 for more information.

4. Multifamily Proposal Protocols

The exceptions described below apply to Centrally Heated Multifamily (CHMF) and Individually Heated Multifamily (IHMF) properties owned by nonprofit organizations.

4.1.1. A complete multifamily proposal must be submitted in writing to the CEO WAP staff prior to April 15th of the program year in which they will be completed.

Supporting References: CEO-WAP-502, CEO-WAP-401, 10 CFR 440.22(b), WPN 16-5

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**CEO-WAP-402
Multifamily Guidelines**

Approved: July 17, 2017

- 4.1.2.** Whole buildings, containing five or more dwelling units, which are being considered for weatherization must be submitted to the CEO WAP Staff for approval prior to initiating work.
- 4.1.3.** The submission or proposal must include the following:
 - 4.1.3.1.** Client intake and qualification documentation for the appropriate number of clients.
 - 4.1.3.2.** A thorough assessment of the entire building shell.
 - 4.1.3.3.** An efficiency assessment of the space and water heating systems.
 - 4.1.3.4.** An assessment of the electric base load and potential base load measures.
 - 4.1.3.5.** An assessment of the cooling load and potential cooling load measures.
 - 4.1.3.6.** An engineer’s evaluation may be used to determine heating, and cooling loads, and to make recommendation for improved energy savings; with prior approval from CEO WAP staff.
 - 4.1.3.7.** Documentation of utility consumption data for one year minimum pre-weatherization.
 - 4.1.3.8.** A prioritized list of measures based on an appropriate computerized energy audit or other approved approach.
 - 4.1.3.9.** The total number of units to be considered.
 - 4.1.3.10.** An estimate of material and on-site labor costs for the project, and an estimate of the subgrantee’s material and on-site labor average (average labor hours x average labor rate) cost for their site-built production.
 - 4.1.3.11.** A breakdown of the subgrantee and owner financial participation in the cost of the proposed project.
- 4.1.4.** In order to qualify a building under the 50% eligibility rule, the subgrantee must also:
 - 4.1.4.1.** Demonstrate that significant energy savings will be achieved as a result of the work, and
 - 4.1.4.2.** Be approved by the DOE.
- 4.1.5.** Training for maintenance staff should be provided if major work is to be done on the heating or cooling system, and/or there are a significant amount of repairs that are necessary.
- 4.1.6.** Plans for tracking utility consumption data for one year minimum post-weatherization for analysis.

Supporting References: CEO-WAP-502, CEO-WAP-401, 10 CFR 440.22(b), WPN 16-5

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- 4.1.7. Blower door readings are not required for multifamily buildings. Air leakage work should be performed if a visual assessment of the building shell indicates that there is significant heat loss due to air leakage.

5. Approval Process

5.1.1. Multifamily Structures With Four or Less Dwelling Units

- 5.1.1.1. The weatherization of multifamily structures that contain four housing units or fewer is allowed provided a CEO WAP approved energy audit is conducted (using an audit applicable to the structure).
- 5.1.1.2. Listed below are the options for weatherizing multifamily structures with four or less dwelling units:
 - 5.1.1.2.1. Duplex: In a duplex, the eligible dwelling unit alone may be weatherized or the entire duplex may be weatherized.
 - 5.1.1.2.2. Triplex and Fourplex: In a triplex or fourplex, a single eligible dwelling unit alone may be weatherized. If there are two eligible units in the building, the eligible units alone may be weatherized or the entire structure may be weatherized.

5.2. Multifamily Structures Containing Five or More Dwelling Units: Individual units may be weatherized if they meet the eligibility guidelines referenced in CEO-WAP-301, or the whole building may be weatherized if at least 66% of the units are eligible and the following criteria are met:

- 5.2.1.1. The CEO WAP Staff must approve the weatherization of all multifamily structures with five or more dwelling units prior to receiving weatherization services.
- 5.2.1.2. The criteria used by the CEO WAP staff to determine the approval of a multifamily structure with five or more units are listed below:
 - 5.2.1.2.1. Significant energy savings must be documented.
 - 5.2.1.2.2. The number of units counted towards the subgrantee production goal will be determined by the audit and in consultation with the CEO WAP staff. The unit count will be based upon the number of major measures completed and the number of units receiving direct benefit from the measures installed.

6. Reporting Criteria

Supporting References: CEO-WAP-502, CEO-WAP-401, 10 CFR 440.22(b), WPN 16-5

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IHMF units are reported in the BWR, CHMF will be reported to the CEO WAP at the end of the program year.

- 6.1. For job reporting in the database, the “number of units” field shall reflect the total number of dwelling units in the structure.
- 6.2. For multifamily structures, with four or less dwelling units the number of jobs to be entered in the database for reimbursement is the units in the structure which received weatherization services.
- 6.3. For multifamily structures, with five or more dwelling units, the number of jobs to be entered in the database for reimbursement will be determined through the approval process described in section 5.2 above.

7. Determining Expenditure Levels

The multifamily energy audit performed on five-plus centrally heated buildings must take into account the local weather information, the fuel consumption and cost of the building for a minimum of one year, and the labor and material costs for the suggested retrofits. The dollar limit on measures performed on the building must be cost effective as determined by the DOE approved energy audit tools. Currently, Ea-Quip, TREAT, DOE2 (eQUEST) audit software for centrally heated multifamily buildings are approved for the State of Colorado by DOE. Energy analysis through DOE2 based analysis is preferred when cooling system replacements are considered. REMDesign is approved for multifamily buildings with twenty-five or less units. NEAT may also be used for multifamily buildings with twenty-five or less units. Other audits are recognized by DOE, but must be preapproved by the CEO WAP and DOE.

- 7.1. **Determining Budgets for Multifamily Projects:** Budgets are determined by multiplying the number of eligible units by the DOE approved funding per unit amount.

Example: 100 unit building 70 eligible units (meets 66%)

70 x \$7,105.00 (approved DOE max per unit) = \$497,350.00 budget

8. Owner/Authorized Agent, Tenant, and Subgrantee Agreements (OTAA)

When using CEO WAP funds to weatherize any rental property, providers must ensure that the following requirements are met:

- 8.1. **Rents:** Rents shall not be raised unless the increases are demonstrably related to matters other than the weatherization assistance provided through the CEO WAP, and that a procedure exists to enforce this requirement.

- 8.1.1. No undue or excessive enhancement shall occur to the value of the dwelling units;

Supporting References: CEO-WAP-502, CEO-WAP-401, 10 CFR 440.22(b), WPN 16-5

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- 8.1.2. The investment in the building is secured against sale and the unlawful eviction of tenants; and
- 8.1.3. The benefits of the weatherization will accrue primarily to eligible tenants.
- 8.2. Signed Agreements: To ensure compliance with these requirements, the CEO WAP providers are required to have the owner/authorized agent and the tenant sign an agreement, which describes the terms under which the weatherization work will be done. See Multifamily OTAA Form (Attachment 1) and Sample Multifamily Contract (Attachment 3).
 - 8.2.1. Permission of Owner or Authorized Agent
 - 8.2.1.1. Written permission of the owner/authorized agent must be obtained first.
 - 8.2.1.2. During the negotiation process, emphasize that all possible expenditures are an investment in the property.
 - 8.2.1.3. Keep records of all contacts with the tenants and the owner.
 - 8.2.1.4. Prepare a presentation for the owner that explains the benefits of the services, an estimate of potential costs, and an outline of all steps involved.
- 8.3. **Agreement Development:** Providers are required to provide the tenant with a synopsis of the provisions contained in the agreement.
 - 8.3.1. Rent Increases: The first requirement to be discussed is rent increases. Weatherization program requirements stipulate that "For a reasonable period of time after weatherization work has been completed... the tenants in that unit (including households paying for their energy through their rent) will not be subjected to rent increases unless those increases are demonstrably related to matters other than the weatherization work performed."
 - 8.3.2. Client Complaints: In addition, it is required that "the enforcement of this section [rent increases] is provided through procedures established by the State by which tenants may file complaints, and owners, in response to such complaints, shall demonstrate that the rent increase concerned is related to matters other than the weatherization work performed."
 - 8.3.3. Provider Procedure for Client Complaints: A provider's procedure for addressing client initiated complaints regarding undue rent increases must follow this basic process:
 - 8.3.3.1. If a tenant, in good faith, believes that his rent is being increased solely because of the weatherization work performed, the tenant

Supporting References: CEO-WAP-502, CEO-WAP-401, 10 CFR 440.22(b), WPN 16-5

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may file, within a reasonable time, a written complaint to the provider.

- 8.3.3.2. Upon receipt of this complaint, if the provider believes there is cause, the provider will forward such complaint to the owner/authorized agent.
- 8.3.4. Provider/Owner Agreement Rent Increase Violation: Furthermore, if a provider determines that a rent increase in fact violates the owner agreement and the owner/authorized agent refuses to rescind the increase, the provider is not required to seek a remedy on behalf of the tenant in court.
- 8.3.5. Provider Legal Action: Though providers are not required to take Legal action on behalf of a tenant when an owner/authorized agent demands an unjustified rent increase, providers should take some appropriate action as a consequence against the owner/authorized agent. Such actions are probably limited to only penalties the provider itself can enforce. For example, the CEO WAP believes that one appropriate consequence is refusing to weatherize any more buildings owned by the owner/authorized agent until the owner/authorized agent has remedied the violation to the satisfaction of the provider.
- 8.3.6. Undue or Excessive Enhancement
 - 8.3.6.1. The provision of services that are not directly related to cost-effective energy savings or the health and safety of the client are generally considered to be undue enhancement.
 - 8.3.6.2. The provision of even a moderate amount of weatherization service to an owner/authorized agent who is not income eligible for weatherization, without an investment by them in support of the weatherization activities and/or no direct benefit to the client would also be considered as "undue or excessive enhancement".
 - 8.3.6.3. There are certainly other situations, which could be defined as "undue or excessive enhancement". Therefore, it is up to the CEO WAP staff to evaluate the situation and make a determination.
 - 8.3.6.4. Specific provisions within the owner agreement, which spell out the time frames in which rents may not be raised or provisions in which rents are reduced, are one way to satisfy the requirements.
- 8.3.7. Securing the Weatherization Investment: The third requirement is "to secure the federal investment made under this part [ie. weatherizing

Supporting References: CEO-WAP-502, CEO-WAP-401, 10 CFR 440.22(b), WPN 16-5

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rental property] and address the issues of eviction from and sale of property receiving weatherization materials under this part, States may seek owner/authorized agent agreement to placement of a lien or to other contractual restrictions."

- 8.3.7.1. While the Federal guidelines specifically mention liens as a method of securing the federal investment against the deliberate eviction of a tenant and the sale of a weatherized property by an owner/authorized agent seeking to appropriate for themselves the benefits of weatherization, the CEO WAP has determined that clauses mentioned in the owner agreement are a more reasonable approach. Therefore, the practice of placing liens against rental properties is allowable, but is not required. Liens, though an effective tool for establishing a financial obligation, are cumbersome to file, monitor and remove. Also, the practice of placing liens against rental units may become a public relations problem if eligible owners choose not to participate if their buildings will have liens attached.
- 8.3.7.2. The sample owner agreement contains clauses to address these issues.
- 8.3.7.3. As security against the deliberate eviction of a tenant and the sale of the building (or of any individual unit in the building), the owner agreement requires the owner/authorized agent to rebate, to the provider, the cost of the weatherization work attributed to the tenant, the unit or the building in question; or to bind the new owner to the terms of the owner agreement for its duration.
- 8.3.7.4. Unlike cases of tenant complaints about rent increases, the DOE regulations place no requirements on establishing procedures for addressing complaints or disputes concerning eviction or property sale.
- 8.3.7.5. Though providers are a party to the owner agreement, providers are not required to resolve or arbitrate such complaints. These complaints may be best handled by a legal service subgrantee.
- 8.3.8. Benefits to the Tenant: The final DOE requirement is that "the benefits of the weatherization accrue primarily to tenants". See Accrual of Benefits Form (Attachment 2). The concern has been that by providing services to renters, owner/authorized agents would benefit from the weatherization

Supporting References: CEO-WAP-502, CEO-WAP-401, 10 CFR 440.22(b), WPN 16-5

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services. This was discussed earlier in this section, but due to its importance, will be reiterated.

- 8.3.8.1. If the tenant pays directly for the utility electricity costs, then the tenant benefits directly from electric base and cooling load weatherization measures through reduced energy costs.
- 8.3.8.2. Where heating fuel costs are paid through the rent, the owner/authorized agent receives the benefit of the weatherization service through reduced energy costs. Thus, providers must look for a means of assuring a direct benefit to the income-eligible tenant.
- 8.3.8.3. One method for providing benefits directly to clients is to include in the owner agreement a requirement for tracking utility costs and reducing the portion of the rent that is used to pay for heating fuel costs by the proportional cost reduction and the proportional CEO WAP investment.

Example: A tenant pays \$500.00 a month for rent, and the heating fuel cost is included in the rent. If the weatherization service reduces the heating fuel costs by \$50.00 per month, and the CEO WAP investment is 1/2 of the total investment in energy conservation and efficiency measures, the owner/authorized agent would agree to reduce the rent by \$25.00 a month for the payback period of the measures.

9. Accounting for and Using Owner/Authorized Agent Contributions

The landlord should be made aware of their possible financial responsibility before the energy auditor visits the multifamily building. The financial responsibility of the landlord should be thought of as “an investment within their own building”. Owner/authorized agent contributions are not program income, but they must be tracked. The funds contributed by the owner/authorized agent must be spent according to the terms of the agreement between the owner/authorized agent and the provider. For buildings where an owner/authorized agent investment is required, the investment must be used to reduce the cost of the weatherization activity or remediation of the health and safety problem. See CEO-WAP-403.

- 9.1. **Voluntary Investments:** Voluntary investments received from other owner/authorized agents must also be used in support of the weatherization activity or remediation of the health and safety problem of the building, and it must be properly tracked.

Supporting References: CEO-WAP-502, CEO-WAP-401, 10 CFR 440.22(b), WPN 16-5

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**CEO-WAP-402
Multifamily Guidelines**

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- 9.1.1. Potential uses include, but are not limited to, the following:
 - 9.1.1.1. Providing temporary heat for a customer until a heating unit can be repaired or replaced.
 - 9.1.1.2. Performing repair work.
 - 9.1.1.3. Purchasing and distributing consumer education materials to eligible clients.
 - 9.1.1.4. Providing other conservation materials or health and safety measures.
 - 9.1.1.5. Supplementing the CEO WAP labor dollars.
 - 9.1.1.6. Supplementing the CEO WAP materials dollars.

9.2. **Health and Safety Investment:** Investments to alleviate an existing health and safety problem; a required investment that must be applied the job.

- 9.2.1. All combustion heating appliances (within eligible and ineligible units) must be tested for safety. When work is going to be performed on or in ineligible units and common areas, all space heating combustion appliances within eligible units, ineligible units, vacant units and common areas must be tested for combustion safety.
- 9.2.2. If health and safety problems are found, the landlord must pay 50% of the material and labor cost to abate the health and safety problems. All health and safety work done must pass final inspection before any weatherization work takes place.

9.3. **Utilities Included in Rent Investments:** Investments in the weatherization of the building when the utilities/fuel costs are included in the rent; a required investment that must be applied the job.

- 9.3.1. If the fuel utility costs are included within the rent or if the multifamily building is master-metered, the tenant may not directly receive the benefit of the weatherization performed on the building. In other words, the utility costs may decrease due to the weatherization activities having been performed, but the tenants' rent may not decrease.
- 9.3.2. In all instances where the utility costs are included within the rent and the landlord is not income eligible for the Weatherization service or currently receiving LEAP, the landlord investment must equal 50% of the material cost to have the building weatherized.
- 9.3.3. It becomes very important for the CEO WAP to have an accurate energy audit and detailed work-order for this type of investment situation. The information collected will be critical during the negotiations with the

Supporting References: CEO-WAP-502, CEO-WAP-401, 10 CFR 440.22(b), WPN 16-5

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**CEO-WAP-402
Multifamily Guidelines**

Approved: July 17, 2017

landlord/owner/authorized agent in reference to their “investment” dollar amount.

9.3.4. Form of Payment by Landlord: The investment can take the form of cash or an in-kind contribution that benefits the tenant. The owner/authorized agent should be given a choice. In-kind contributions are items such as:

9.3.4.1. Rent rebates to the tenant, or

9.3.4.2. Rent reduction to tenants, or

9.3.4.3. Repairs that will allow energy conservation work to be performed within a one year period prior to the weatherization activities.

9.3.4.3.1. Procedures for Cash and In-Kind Contributions: Providers must develop procedures for tracking both cash and in-kind contributions. If the owner/ authorized agent refuse to contribute, service can still be provided, but the building shall be a lower priority than one where the owner/authorized agent are willing to contribute.

9.4. **Supplemental Investment:** Investment towards supplementing the CEO WAP; an optional investment that must be tracked, but does not need to be applied to the job.

9.4.1. a Where the tenant directly pays for the utility/fuel costs, there is no requirement that an owner/authorized agent must contribute as a condition of receiving the CEO WAP service, unless health and safety problems are found, as discussed previously. However, CEO WAP providers are encouraged to solicit contributions from all owners/authorized agents as a means of leveraging funds to supplement the CEO WAP.

9.4.2. Providers who wish to pursue this option must develop policies, which ensure that:

9.4.2.1. The procedures for eliciting owner/authorized agent contributions are not mandatory for owner/authorized agents who cannot afford to participate;

9.4.2.2. The level of the owner/authorized agent contribution will not act as a deterrent for a significant number of owner/authorized agents;

9.4.2.3. The owner/authorized agent has a clear understanding of how the voluntary contribution will be used by the subgrantee.

Supporting References: CEO-WAP-502, CEO-WAP-401, 10 CFR 440.22(b), WPN 16-5

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10. Working with Owner/Authorized Agents

If the subgrantee is experiencing difficulty in getting owner/authorized agents to permit weatherization of their buildings:

- 10.1. Defer work until the owner/authorized agent agrees to the terms of the owner agreement.
- 10.2. Allow the owner/authorized agent to obtain bids for the specified work.
 - 10.2.1. Whichever method you choose should demonstrate to the owner/authorized agent the subgrantee's willingness to cooperate and work in the best interest of all parties involved.
 - 10.2.2. There will always be some owner/authorized agents who refuse to cooperate with weatherization providers. Remind them that the minimum contribution is 50% of the cost of the weatherization materials that are to be installed, and highlight the benefits they will receive. In some cases you may still have to defer services to that building until the owner/authorized agent agrees to the terms of the agreement.

11. Implementation, Monitoring, and Enforcement of Agreements

The owner agreement must be signed by the owner/authorized agent, the tenant, and a representative of the subgrantee because they each have responsibilities under the agreement. The owner/authorized agent are responsible for complying with all the conditions of the contract that concern ownership of the unit.

- 11.1. **Conditions of Agreement Responsibility:** The provider is responsible for providing weatherization assistance under the conditions of the agreement.
- 11.2. The tenant should sign to show that he/she understands the terms of the agreement and will abide by the clauses that concern tenant responsibilities. Tenants provide the "monitoring" of the owner/authorized agent/tenant agreement. As a practical matter, it is not feasible for the local subgrantee to keep track of all such agreements. The synopsis of the agreement is an effective way to ensure proper understanding of the agreement. If the agreement is violated by the owner/authorized agent, the tenant's best recourse is through a legal services subgrantee. However, keep in mind the role in addressing rent increase disputes.

Attachment 1: Multifamily OTAA Form

Attachment 2: Accrual of Benefits Form

Supporting References: CEO-WAP-502, CEO-WAP-401, 10 CFR 440.22(b), WPN 16-5

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Attachment 3: Sample Multifamily Contract

Supporting References:	CEO-WAP-502, CEO-WAP-401, 10 CFR 440.22(b), WPN 16-5
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1. Discussion

This policy establishes the Colorado Energy Office Weatherization Assistance Program (CEO WAP) position along with DOE requirements regarding landlord agreements, rent increases, rent increase complaints, and financial participation.

1.1. Keywords: landlord, contribution, rent, reporting, nonprofit

2. Landlord Agreements and Rent Increases

It is the responsibility of the subgrantee to establish a procedure for assuring that rents shall not be increased because of the increased value of the dwelling units that the CEO WAP provided. The CEO WAP has prepared a Landlord Permission Form that includes a statement that there may be no rent increase on the unit due to the increased value WAP provides. The Landlord Permission Form is to be signed by the landlord or an authorized agent and retained in each client file in a rental living situation. This agreement must be completed before approving the client's application. See the CEO WAP Application, appendix to policy CEO-WAP-301.

3. Rent Increase Complaints

Subgrantees that receive tenant complaints regarding rent increases should refer them to organizations (i.e. legal aid, tenant-landlord mediation organizations, etc.) which can offer assistance in resolving this issue.

4. Methods of Payment

Landlord contributions may be paid by money order, check or cashier's checks.

Subgrantees are not to accept cash. Subgrantees must follow their internal procedure for the handling of funds to ensure the segregation of duties.

4.1. File Documentation: Copies of the landlord contribution checks are to be included in the client file along with the landlord agreement. If maintaining a copy of the landlord contribution checks in the client file is not possible, due to internal controls/processes, the CEO WAP will approve alternate methods on a case by case basis.

4.2. Reporting: The landlord contribution is to be included in the BWR under the "Landlord Contribution" field. When reporting materials and labor covered by the contribution, the amount reported should be the total cost. Do not report the net cost. See policy CEO-WAP-701 for further details.

5. Landlord Financial Participation

The CEO WAP has established a landlord contribution structure for individually heated multifamily and centrally heated multifamily buildings. Such financial participation is not to be considered as program income. Subgrantees will also be allowed to protect the

Supporting References:

10 CFR 440.22(d), CEO-WAP-502, CEO-WAP-301, CEO-WAP-402, CEO-WAP-701

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federal investment in rental property by placement of liens or other contractual restrictions. There may be extenuating circumstances which may prevent the financial participation of the landlord. In such cases, the waiver process is to be used as outlined in CEO-WAP-502.

5.1. Individually Heated Multifamily (IHMF): IHMF projects are to follow the Energy Conservation (EC) Furnace, Refrigerator, and Health and Safety (HS) Furnace requirements as detailed below.

5.1.1. EC Heating System: The landlord contribution is 50% of the total materials and labor amounts used to calculate the SIR. Should the landlord choose not to contribute, all other qualifying measures past that point on the NEAT/MHEA Recommended Measures report cannot be installed. The preference from both the CEO WAP and DOE is that the unit be deferred. With only one chance to weatherize that unit, a better energy saving course of action is waiting until the landlord agrees to contribute to the measure. Subgrantees should emphasize with the landlord that the furnace replacement is a one-time offer until the unit becomes eligible under DOE re-weatherization rules. The measure must meet an SIR of 1.0 or greater prior to applying landlord contributions unless a waiver is obtained. Only qualifying utility rebates can be used to buy down a measure. Landlord contributions cannot be used to buy down a measure.

5.1.2. EC Refrigerator: The landlord contribution is 50% of the delivered cost. Should the landlord choose not to contribute, all other qualifying measures past that point on the NEAT/MHEA Recommended Measures report cannot be installed. The preference from both the CEO WAP and DOE is that the unit be deferred. With only one chance to weatherize that unit, a better energy saving course of action is waiting until the landlord agrees to contribute to the measure. Subgrantees should emphasize with the landlord that the refrigerator replacement is a one-time offer until the unit becomes eligible under DOE re-weatherization rules. The measure must meet an SIR of 1.0 or greater prior to applying landlord contributions unless a waiver is obtained. Landlord contributions cannot be used to buy down a measure.

5.1.3. HS Heating System: The landlord contribution is 50% of the total materials and labor amounts that would be used to calculate an SIR. If

Supporting References:

10 CFR 440.22(d), CEO-WAP-502, CEO-WAP-301, CEO-WAP-402, CEO-WAP-701

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this replacement is receiving a CIP contribution, then the landlord contribution would be the net amount. Should the landlord choose not to contribute, the unit is to be deferred until the health and safety situation has been repaired satisfactorily to continue with WAP measures. Proceeding with WAP measures may worsen the situation. **For example: \$3,000 Labor & Materials minus \$1,800 CIP contribution equals \$1,200. 50% of \$1,200 equals \$600 landlord required contribution.*

- 5.1.4. *Fuel Conversions:* In the case of a fuel conversion (electric to natural gas), the landlord contribution is 50% of the total materials and labor amounts. If this conversion is receiving assistance from utilities, then the landlord contribution would be the net amount. Should the landlord choose not to contribute, the corresponding measures are to be deferred.
- 5.1.5. *EC Windows:* If windows meet the SIR requirement of 1.0 or greater, the landlord contribution is 50% of the total materials and labor unless a waiver is obtained.

5.2. Centrally Heated Multifamily (CHMF): Landlord contributions are required for each project and are to be documented in the landlord/subgrantee agreement as follows:

- 5.2.1. *Refrigerators:* A landlord contribution of 50% of delivered costs is required. The measure must meet an SIR of 1.0 or greater prior to applying landlord contribution unless a waiver is obtained.
- 5.2.2. *EC Windows:* If windows meet the SIR requirement of 1.0 or greater, the landlord contribution is 50% of the total materials and labor unless a waiver is obtained.
- 5.2.3. *EC Heating Systems:* The landlord contribution is 50% of total materials and labor. The measure must meet an SIR of 1.0 or greater prior to applying landlord contribution unless a waiver is obtained.
- 5.2.4. *HS Heating Systems:* The landlord contribution is 50% of total materials and labor. Occasionally, an emergency repair may occur during an audit, if the fix is simple and inexpensive this can be completed without a landlord contribution or waiver in order to not delay the project, shut down the appliance and thus preventing the need for temporary heat for large facilities. Costs cannot exceed \$500.
- 5.2.5. *Other HS Measures:* The landlord contribution is 50% of total materials and labor. An example of an "Other HS Measure" is a water leak.

Supporting References:

10 CFR 440.22(d), CEO-WAP-502, CEO-WAP-301, CEO-WAP-402, CEO-WAP-701

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6. Exceptions for Properties Owned By Nonprofit Organizations

The exceptions described apply to CHMF and IHMF properties owned by nonprofit organizations.

6.1. Waivers: For properties owned by nonprofit organizations, the landlord contribution can be waived or reduced for health and safety reasons for heating systems or, if the appliance meets cost effectiveness criteria. A financial review must be documented in the client file. A waiver must be submitted to the CEO WAP for approval prior to replacement of appliances.

6.2. Non-cash Contributions: It is not always possible for an entity to make a direct cash contribution to the project. The CEO WAP will accept other forms of contributions including: sweat equity, in-kind staff support, remediation of issues that would improve the effectiveness of WAP and/or directly improve occupant health and safety.

7. Summary of Landlord Contributions Table

<u>Measure</u>	<u>IHMF</u>	<u>CHMF</u>
EC Heating System	50% of materials and labor used to calculate SIR	50% of materials and labor
Refrigerator	50% of delivered cost	50% of delivered cost
HS Heating System	50% of materials and labor	N/A
Fuel Conversions	50% of materials and labor	N/A
EC Windows	50% of materials and labor	50% of materials and labor
HS Multifamily	N/A	50% of materials and labor

Supporting References:

10 CFR 440.22(d), CEO-WAP-502, CEO-WAP-301, CEO-WAP-402, CEO-WAP-701

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1. Abstract

This policy outlines the requirements for weatherizing historic properties within the State of Colorado per the Prototype Programmatic Agreement (PA) between the DOE, the Colorado Energy Office Weatherization Assistance Program (CEO WAP), and Colorado State Historic Preservation Office (SHPO), see CEO-WX-312 Appendix A1. The PA outlines weatherization exemptions to the full historic review process. When Weatherization measures fall outside of the list of exemptions, subgrantees are required to follow the process outlined in the PA and summarized in this policy.

1.1. Keywords: historic, SHPO, exemption, client file, form

2. Identifying Historic Properties

This policy applies only to properties which can be defined as historic properties.

2.1. Definition: A historic property is defined as one that is 50 years or older in age.

2.2. Determination: A property is identified as 50 years or older via information from the county assessor.

2.3. Registers of Historic Places: Property is checked against the Colorado and National Registers of Historic Places. If a property is on either of these lists, SHPO is contacted before weatherization work occurs and should be coordinated with for the duration of the weatherization process.

3. Weatherization Undertakings Exempt from Historic Review Process

Exemptions are measures determined by DOE and SHPO to not have the potential to cause adverse effects on historic properties and therefore do not require the historic review process. Exemptions are listed on pp. 10-16 of the PA.

4. Weatherization Undertakings Not Exempt from Historic Review Process

When weatherization measures for a historic property are outside the list of exemptions, the below process must occur. Subgrantees should consult the PA for more information.

4.1. Adverse Effects: Actions, such as Weatherization measures, that will result in the diminishment of the historic integrity of the building.

4.2. Historic Review Process:

1. If the measures are not on the exemptions list, the recommended measures are either modified to comply with the exemptions list, or the historic review process continues.
2. When a measure or unit does not fall within the agreed upon exempt undertakings, the subgrantee will retain qualified professionals (see section 8.1) to act as its primary point of contact for historic property reviews and to assist the subgrantee in implementing their responsibilities under the PA throughout the process. For non-exempt projects, the

Supporting References:	WPN 10-12, Section 106 NHPA, 16 USD 470f (NHPA), 36 CFR 800, 36 CFR 68
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Qualified Professional may choose to submit a photograph of the property involved by email to oahp@state.co.us in order to receive the SHPO's preliminary opinion on whether or not the property may be eligible for inclusion in the National Register.

3. If SHPO responds that the property does not have the potential to be eligible, and/or that the measures are in accordance with the Secretary of the Interior's Standards for the Treatment of Historic Properties (36 CFR Part 68, July 12, 1995 Federal Register), subgrantees may proceed with the project without additional consultation. Otherwise, the next steps in the historic evaluation process are followed.
4. The subgrantee/qualified professional will consult with the SHPO to resolve the adverse effects caused by the non-exempt measures. If the adverse effects are resolved, the property can move forward in the Weatherization process. If the adverse effects can not be mitigated, the project is deferred.

5. Client File

Upon completion of Weatherization, 312 A3 Historic Property Review Form is completed and included in the client file. Any other documentation related to the historic property review, such as communication with a qualified professional or the SHPO, should be included in the file as well.

6. Reports

Subgrantees are required to submit to the CEO an annual report due June 30th of each program year which is to include the following information:

- Brief summary of undertakings (non-exempt projects if applicable),
- Number of non-exempt undertakings,
- Number of exempt undertakings and,
- Any reviews conducted by the SHPO.

The CEO WAP will then submit this information to DOE, ACHP (Advisory Council on Historic Preservation) and NCSHPO (National Conference of State Historical Preservation Officers) in an annual report.

7. Duration of the Programmatic Agreement

On March 11, 2013, the ACHP issued a Program Comment on the Programmatic Agreements extending all agreements made in accordance with the 2011 Program Notice until 2020, regardless of the duration clause of those agreements.

8. Amendments to the Programmatic Agreement

Supporting References:

WPN 10-12, Section 106 NHPA, 16 USD 470f (NHPA), 36 CFR 800, 36 CFR 68

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In 2012, the Programmatic Agreement (PA) was amended to reflect the name change of the Governor’s Energy Office to the Colorado Energy Office, to modify the process by which WAP Recipients (and their Subrecipients) work with qualified professionals and how those qualified professionals seek preliminary reviews of eligibility by the SHPO office.

8.1. Qualified Professional: Subgrantees are encouraged to use qualified professionals and subgrantees may make arrangements to utilize qualified professionals in the manner that is most appropriate given the scope and nature of their particular program and projects, including hiring qualified professionals on a full-time, part-time, project specific, employee or contractual basis.

8.1.1. Requirements for a “qualified professional are outlined on pp. 2-3 of the Amendment to the Colorado PA (2012).

Policy Appendices

- 312 A1 Programmatic Agreement between DOE, CEO and SHPO (2011)
- 312 A2 Amendment to the Colorado PA (2012)
- 312 A3 Historic Property Review Form
- 312 A4 Secretary of the Interior's Standards for the Treatment of Historic Properties

Supporting References:	WPN 10-12, Section 106 NHPA, 16 USD 470f (NHPA), 36 CFR 800, 36 CFR 68	
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CEO-WAP-405
Low-Cost & Low Energy Savings
Homes

Approved: July 1, 2015

1. Abstract

For subgrantee's of the Colorado Energy Office Weatherization Assistance Program (CEO WAP) that do not have a pre-approved low-cost program as outlined in 10 CFR 440.20, it is prohibited to seek out or prioritize homes that only qualify for low energy savings measures.

1.1. Keywords: low-cost, SIR, reporting.

2. Pre-Approved Low Cost Homes

Only pre-approved low-cost/no-cost weatherization programs as outlined in the 10 CFR 440.20 may be implemented by a subgrantee. Approval is confirmed at the time the contract is issued. If approved, a subgrantee may seek out and serve homes that cannot have high energy savings measures performed on them, based on the SIR.

3. Not Pre-Approved Low Cost Homes

For subgrantees that are not running an approved low-cost program, it is prohibited to intentionally target homes that solely qualify for low energy savings measures. The CEO WAP recognizes that, on occasion, audits will reveal that only low energy savings measures are allowable according to the SIR. In such instances, it is acceptable to perform the measures deemed appropriate by the audit. However, under no circumstances, should these homes be intentionally prioritized and sought out. In this way, the CEO WAP encourages subgrantee's to minimize service to those homes that can only receive low energy savings measures.

4. Reporting

All homes, including those that only received low energy savings measures, must be completed and reported in a timely manner.

Supporting References:

Supersedes: July 1, 2009

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1. Abstract

This policy describes the situations which are beyond the scope of work for the Colorado Energy Office Weatherization Assistance Program (CEO WAP) and conditions that would allow for subgrantee to deny service until conditions change, as well as the requirements for deferring a unit.

- 1.1. Keywords:** deferral, walkaway, client, appeal
- 1.2. Deferral:** is the decision of a subgrantee to not provide weatherization services to a unit for health, safety, or administrative reasons, until the situation is rectified. A deferral may also be called a “Walkaway” interchangeably. When entering job status into the CEO WAP Database, the term walkaway is used.
- 1.3. Health and Safety:** Situations which constitute a threat to the health and safety of subgrantee staff and/or WAP clients should be avoided until such time as the unsafe conditions are remedied. Subgrantee staff who choose to work on a unit that could or should be a deferral, do so at his or her own risk; however, putting occupants at further risk as a result of doing the work is never allowable. The CEO WAP does not require, expect, or encourage subgrantee crews to work in unsafe or unhealthy conditions.

2. Deferral Requirements

Subgrantees who wish to classify a unit as a deferral must include an audit form that includes the following information related to the deferral.

- 2.1. Requirements for Audit Form:**
 - 2.1.1. Date(s) of the audit/assessment.
 - 2.1.2. A description of the issues that caused the deferral.
 - 2.1.3. A description of the conditions under which WAP work could continue.
 - 2.1.4. A clear description of the responsibilities of all parties involved.
 - 2.1.5. Client’s signature indicating that they have been informed of their rights/ options and that they understand the issues and their responsibilities.
 - 2.1.6. Date the client was informed of the deferral.
- 2.2. Requirements for Informing Clients:** All subgrantees are required to have a written deferral procedure that records pertinent information such as client information, job number, stated problem, root cause of the situation, and potential resolution. Any substantiating evidence, such as photos, staff written comments, defective materials, additional costs, etc., should be included.
 - 2.2.1. When the subgrantee defers a unit, the decision must be shared with the client in writing (via letter). This letter should also include information on

Supporting References: WPN 11-06

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how the client may appeal this decision and a clear description of the conditions under which WAP work could begin/continue.

3. Appeal Process

The following process should be used should a client request an appeal or second opinion on a deferral.

- 3.1. Client should submit a written appeal to the direct supervisor of the subgrantee staff member who determined the unit should be deferred.
- 3.2. If the deferral is upheld by the direct supervisor, the client may submit a written appeal to the CEO WAP Program Manager for that region.
- 3.3. If the deferral is upheld by CEO WAP Program Manager, the client may submit a written appeal to the CEO WAP Director.
- 3.4. The decision rendered by the CEO WAP Director is considered final and no further appeals are allowed.

If at any point in this process, the original deferral is either not upheld or the conditions that caused the initial deferral are mediated, the subgrantee is required to return the unit and complete all work.

4. Deferral Conditions

Deferral conditions may include, but are not limited to:

4.1. Client/ Access Issues:

- 4.1.1. The client, or other household member, has known health conditions that prohibit the installation of insulation materials or other weatherization materials.
- 4.1.2. The client is uncooperative, abusive, hostile, or threatening to the crew, subcontractors, auditors, inspectors, or others who must work on or visit the home or who, based upon the judgment of the senior staff person in the field, makes the working conditions intolerable for workers.
- 4.1.3. Client cannot be reached at telephone number on file due to the service being disconnected or due to client unavailability. Follow up mail goes unanswered.
- 4.1.4. Client refuses to allow energy auditor(s) access to all areas of the home necessary to conduct the comprehensive energy audit.
- 4.1.5. Presence of animals which pose a risk to the weatherization workers. The work may be deferred until such animal threats have been secured adequately so that they no longer pose a threat.

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4.1.6. Unable to gain access to the area to perform the work. The work may be deferred until the blocked access is cleared to allow the necessary access to perform the work.

4.1.7. Illegal activity

4.2. Human Health Issues:

4.2.1. The house has raw sewage, excessive animal feces, or other sanitation problems that would further endanger the client and weatherization crews if the weatherization work were performed.

4.2.2. The house has been condemned or electrical, heating, plumbing, or other equipment has been “red tagged” by local, county, or state building officials or utilities due to safety or code issues.

4.2.3. Dangerous conditions exist due to high carbon monoxide levels associated with combustion appliances which cannot be resolved under existing health and safety measures and guidance.

4.2.4. The extent and condition of lead-based paint in the house would potentially create increased health and safety hazards for both the occupants and crew members.

4.2.5. Volatile organic compounds (VOC’s) and other chemicals on the premises and poorly stored which represent a health risk (via breathing or skin contact) to the workers or client’s safety.

4.2.6. In the judgment of the energy auditor, any condition exists which may endanger the health and/or safety of the work crew or subcontractor, the work should not proceed until the identified condition is satisfactorily corrected.

4.3. Combustion Appliance Issues

4.3.1. Open combustion heating systems situated in a bedroom, bathroom or closet that cannot be replaced under the CEO WAP guidelines. This includes all rooms that are used or designed to be used as a bedroom or any enclosed space that has access only through such a room.

4.3.2. Combustion systems that are operating in an unsafe manner, and cannot be repaired or replaced within the scope of the program.

4.3.3. Furnaces that have no cold air return and no easy place to put one.

4.3.4. Furnaces that have no service access. Examples include attic furnaces with access doors which crew cannot enter through, furnaces where client has finished the room around the unit but did not allow enough room to

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get to the controls and vents. Such situations should be discussed with supervisory staff.

- 4.3.5. Mobile homes with non-mobile home type furnaces. This includes all furnaces that are added to the unit.
- 4.3.6. Furnaces with no cold air return or hot air delivery system (ductwork). Typically this type of installation is in the middle of a room with limited ductwork. It is particularly important if it has a delivery or return but not both.
- 4.3.7. Any unvented heater. This includes all types of unvented heaters, portable kerosene space heaters or freestanding gas and propane heaters. Work should only be done at the home if the portable heater can be permanently disabled or vented (with client/owner permission).
- 4.3.8. Any furnace that is installed in a dangerous manner or cannot be brought to code at a reasonable cost (under \$400 cost to the program). Examples: units installed in an area where it could easily be broken.

4.4. Structural Issues

- 4.4.1. The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and the conditions cannot be resolved cost effectively or within the scope of the Weatherization Assistance Program guidance.
- 4.4.2. If the house is structurally in a condition that is unsafe or beyond repair (the home needs significant rehabilitation work from another funding source) and presents a risk to the worker or client safety.
- 4.4.3. A foundation that is not sound and will not support one or more of the walls.
- 4.4.4. A unit that is under renovation or where original construction is incomplete and completion will require more than one sheet of drywall material. There is the possibility of coordinating weatherization with renovation/rehabilitation work underway; this is a judgment call of the subgrantee's, considering all relevant factors, (timetable for work being done and likelihood of it occurring; option of waiting until work is done before weatherization, etc.).
- 4.4.5. Structurally unsound walls where a substantial part of a wall is unstable and that wall is involved in one or more of the desired energy conservation measures for the home; consult an approved computer audit, a supervisor, or State Staff.

Supporting References: WPN 11-06

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4.5. Electrical Issues

- 4.5.1. Major electrical problems where a major portion of the total electrical system appears to be questionable (consult an “expert”); also consult an approved computer audit.
- 4.5.2. There are major electrical problems and when the cost is included with measures it is not cost effective to repair.

4.6. Miscellaneous Issues

- 4.6.1. Moisture problems that are so severe they cannot be resolved under existing health and safety measures or as incidental minor repairs. This includes standing water in the crawl space or any other source that is beyond the scope of the program to resolve.
- 4.6.2. Friable Asbestos or Vermiculite in the home or significant enough in various locations that it precludes performing a majority of the most cost effective energy conservation work.
- 4.6.3. If a mold condition is discovered during the initial audit of the home by an energy auditor and cannot be adequately addressed by the weatherization crew, the unit will be referred to the appropriate public or non-profit agency for remedial action. Colorado weatherization agencies shall defer work on the home until another funding source or the owner completes mold remediation. Colorado weatherization shall distribute the pamphlet from the U.S. Environmental Protection Agency (EPA), Indoor Environment Division, (IED), “A Brief guide to Mold, Moisture, and Your Home” to clients whose homes have a moisture and/or mold problem. The pamphlet can be found at <https://www.epa.gov/mold/brief-guide-mold-moisture-and-your-home>
- 4.6.4. The area is slated to be redeveloped (highway development, economic development, flood area).

5. Removing Deferral Status

The status of deferral from a unit may be removed if the conditions which warranted the deferral are addressed and/or a client appeal results in the removal of deferral status.

- 5.1. Client Responsibility:** The client is responsible for remedying the conditions, as specified in the communication that they received from the subgrantee and also contacting the subgrantee once these conditions have been addressed.
- 5.2. Subgrantee Responsibility:** Once the subgrantee verifies that the conditions have been remedied, they are required to return to the unit and complete all work.

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- 5.3. Combustion Appliances:** Combustion appliance situations that threaten client safety are of great concern to the WAP. Attempts should be made to remedy the situation, rather than deferring the unit. Contact the CEO WAP staff for guidance on specific situations.

Supporting References: WPN 11-06

Supersedes: July 1, 2015

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1. Abstract

This policy describes the Colorado Energy Office Weatherization Assistance Program (CEO WAP) subgrantee requirements for subcontracting Weatherization services or materials.

1.1. Keywords: subcontracting, contract, inspection, waiver

2. Requirements for Subcontracting

Subgrantees are authorized to subcontract for the provision of WAP materials and/or services. Final inspection of work performed may not be subcontracted. Changes to the work order must be authorized and verified by subgrantee staff.

2.1. Subcontracts may not extend beyond the termination date of the weatherization contract through which funds are provided. No subcontract shall extend longer than 12 months (subcontracting should coincide with the subgrantee's annual request for bids and/or proposals).

2.2. Subgrantees are responsible for ensuring that subcontractors are trained and in compliance with all CEO WAP Policies and Procedures. This requirement will also be part of the signed contract between the subgrantee and the subcontractor.

2.3. Use the list below to check contracts for required federal and state provisions. The items apply primarily to a contract involving subcontracted labor; however, some will apply to material purchases as well. The subgrantee must make that determination on the local level.

2.3.1. CEO WAP Contract Checklist: Requirements

- 2.3.1.1. Effective date of the contract
- 2.3.1.2. Termination date of the contract
- 2.3.1.3. Names of the contracting parties
- 2.3.1.4. Total dollar amount
- 2.3.1.5. Minimum number of units and the dollar amount of materials, if applicable
- 2.3.1.6. Method of payment
- 2.3.1.7. Schedule of work
- 2.3.1.8. Reference to exhibits, standards, etc., if applicable
- 2.3.1.9. Contract subject to funding from the State, DOE and/or LEAP
- 2.3.1.10. Prices for goods and/or services rendered
- 2.3.1.11. Bid specs – incorporated or by reference

Supporting References:

CEO-WAP-504, 2 CFR 200.315, 2 CFR 200.317, 2 CFR 200.318, 2 CFR 200.319, 2 CFR 200.320, 2 CFR 200.321, 2 CFR 200.324, 2 CFR 200.338, 2 CFR 200.339, 2 CFR 200.341, 2 CFR 200.342, 2 CFR 200.344, 2 CFR 200.345

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- 2.3.1.12. Signature lines and dates
- 2.3.1.13. Proof of general liability insurance, including pollution occurrence insurance
- 2.3.1.14. Proof of Workers' Compensation coverage (see CEO WAP Policy 208)
- 2.3.1.15. Waiver of liens against units served
- 2.3.1.16. Clause that states that work must pass inspection by subgrantee personnel before payment
- 2.3.1.17. Clause requiring that the billing must contain the address of the unit served and must have charges separated into labor and material costs
- 2.3.1.18. Clause which states that the contract in no way implies a contract between the state and the subcontractor
- 2.3.1.19. Proof of appropriate licenses
- 2.3.1.20. Compliance with Paragraph 5 of the State Special Provisions (Discrimination and Affirmative Action)

3. Federal References (detailed explanation and applicability)

- 3.1. Subcontracts over \$10,000—Equal Employment Opportunity Clause (10 CFR 600, Appendix A, and Subpart B, Appendix A).
- 3.2. Subcontracts over \$2,500--Compliance with Sections 103 and 107 of the Contract Work Hours and Safety Standards Act as noted in 40 USC 327-330 [01/06/97 edition].
- 3.3. Negotiated subcontracts (any contract resulting from a negotiated RFP) over \$10,000-Retention of records and provision that the subgrantee, state and federal government and their representatives have access to any books, documents, etc. during the period of the contract and for three years after final payment (10 CFR 600.136 and .234).
- 3.4. Administrative, contractual or legal remedies for contract violations or breach of contract (10 CFR 600.161, .162, .173, .243, .244, .251 and .252) before payment.
- 3.5. Termination for cause and convenience, including the manner by which it will be affected and the basis for settlement (10 CFR 600.160 and .244).

4. CEO WAP Field Policies & Procedures

All subgrantee sub-contractors are required to follow policies and procedures as set forth

Supporting References:

CEO-WAP-504, 2 CFR 200.315, 2 CFR 200.317, 2 CFR 200.318, 2 CFR 200.319, 2 CFR 200.320, 2 CFR 200.321, 2 CFR 200.324, 2 CFR 200.338, 2 CFR 200.339, 2 CFR 200.341, 2 CFR 200.342, 2 CFR 200.344, 2 CFR 200.345

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in the CEO WAP Field Policies and Procedures and to meet DOE Health and Safety requirements.

5. Subcontractor Inspection

All subgrantee subcontracted work must pass an inspection by a qualified subgrantee staff inspector prior to payment.

6. Subcontractor Quality of Work

All subgrantee subcontracted work not meeting quality expectations will require correction and will be completed at the sub-contractor's expense.

7. Lien Waivers

All service provision subcontracts entered into by subgrantees for the performance of weatherization and related services must contain a "lien waiver". Lien waivers are required for any subcontracting work done in a client's home, regardless of whether or not a written contract exists. Each subcontract must contain a provision whereby the subcontractor agrees to waive the right of placing a lien upon the unit served as recourse for non-payment or for any other reason. Any costs incurred under a subcontract resulting from not including this provision will be subject to disallowance by the CEO WAP.

Supporting References:

CEO-WAP-504, 2 CFR 200.315, 2 CFR 200.317, 2 CFR 200.318, 2 CFR 200.319, 2 CFR 200.320, 2 CFR 200.321, 2 CFR 200.324, 2 CFR 200.338, 2 CFR 200.339, 2 CFR 200.341, 2 CFR 200.342, 2 CFR 200.344, 2 CFR 200.345

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1. Abstract

Subgrantees are required to obtain a waiver whenever there is a deviation from the Colorado Energy Office Weatherization Assistance Program (CEO WAP) Policies and Procedures. Waivers fall into one of two categories: Subgrantee Waivers or State Waivers.

1.1. Keywords: waiver, policy, pilot project

2. Subgrantee Waiver

Subgrantee Waivers are unit or job specific in nature. Subgrantee waivers are written comments that explain the issue in full. Subgrantee waivers may be used if a subgrantee encounters health and safety issues that preclude the installation of specific measures, or issues with the building structure that prevent the installation of specific measures. The following list identifies those instances in which an Subgrantee Waiver is appropriate:

- 2.1. If it is technically not possible to install the measures.
- 2.2. If conditions exist, and cannot be overcome, that would make the installation of the measure unsafe.
- 2.3. The installation of the measure would threaten the health or safety of either the client or the worker.
- 2.4. Subgrantee Waivers must be documented in the client file and do not require prior CEO WAP approval.

3. State Waiver

State Waivers are general exceptions to CEO WAP Policies and Procedures, and the CEO WAP Field Policy that require a written request and written approval from the CEO WAP staff prior to the beginning of any work. The following list identifies those instances in which a State Waiver would be appropriate.

- 3.1. Fuel Conversions.
- 3.2. Multi-family building types 3 & 4 projects.
- 3.3. Subgrantee initiated multi-family projects (5 or more units) that contain individually heated units.
- 3.4. Situations outside of CEO WAP Field or Admin Policy.
- 3.5. Landlord Contributions (requesting to waive a landlord contribution).
- 3.6. High Cost units (in excess of \$10,000).

4. Pilot Project Special Requirements

4.1. Multifamily Building Weatherization: Multi-family projects must follow the requirements set forth in the CEO-WAP-301 and 402. Multi-family projects

Supporting References:

10 CRF 440.22(b), 10 CRF 440.18(a)(b), 10 CRF 440.21(b), CEO-WAP-402, CEO-WAP-503

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require that the subgrantee consult with the CEO WAP staff to develop an appropriate priority list. The subgrantee must submit a proposal detailing the results of an energy audit and how much financial participation has been committed by the owner. Approval for the project will be granted, if CEO WAP requirements are met for the project.

- 4.2.** The CEO WAP may waive certain program regulations when a subgrantee is operating an approved pilot project (see CEO-WAP-503). Specific waiver provisions will be set forth in the contract by the CEO WAP, the provisions set forth in the following references may be waived by the CEO WAP for pilot projects as appropriate to the specific project: 10 CFR 440.18(a) and (b) - Expenditure average and maximum and 10 CFR 440.21(b) - Restricting allowable materials to Appendix A of 10 CFR 440.

5. Waiver Procedures

Subgrantees are required to use the following procedure when requesting a waiver.

5.1. Subgrantee Waivers: Document in client file.

5.2. State Waiver:

- 5.2.1. Complete the State Waiver Form.
- 5.2.2. Submit the State Waiver Form to the appropriate CEO WAP staff member (CEO WAP Manager and/or Technical Staff).
- 5.2.3. The CEO WAP staff member will review the State Waiver and render a decision, in writing, to the subgrantee.
- 5.2.4. If the subgrantee requesting the State Waiver disagrees with the decision of the CEO WAP Manager or Technical Staff member, the subgrantee may follow the appeal process outlined in CEO-WAP-305.
- 5.2.5. If the subgrantee disagrees with the decision rendered by the Director of Weatherization, they may submit an appeal to the Director of the CEO.
- 5.2.6. The decision of the CEO Director will be deemed final and no more appeals will be allowed. For Waivers related to Field Guide or Technical requirements, the decision of the Director of Weatherization is deemed to be final.

Attachment 1: State Waiver Form

Supporting References:

10 CRF 440.22(b), 10 CRF 440.18(a)(b), 10 CRF 440.21(b), CEO-WAP-402, CEO-WAP-503

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1. Abstract

It is the policy of the Colorado Energy Office Weatherization Assistance Program (CEO WAP) to waive certain program regulations when a subgrantee is operating an approved pilot project under a LEAP, STX or CEO WX funding source.

1.1. Keywords: pilot project, waiver

2. References

The provisions set forth in the following references may be waived by the CEO WAP for LEAP, STX or CEO WX pilot projects (as appropriate to the specific project). Specific waiver provisions will be set forth in the contract by the CEO WAP.

2.1. 10 CFR 440.18(a) and (b) - Expenditure average and maximum.

2.2. 10 CFR 440.21(b) - Restricting allowable materials to Appendix A of 10 CFR 440.

3. Pilot Project Measures

Pilot Project Measures are those optional heating and cooling measures that can be analyzed for cost effectiveness with NEAT.

3.1. Other energy saving measures may be considered on a pilot basis as well.

4. Procedure for submitting Pilot Projects

A written proposal describing the pilot project shall be submitted to the CEO WAP. The proposal should include, but is not limited to, a description of the following items:

4.1. Materials and installation procedures that will be performed;

4.2. Expected costs and energy savings associated with the measure;

4.3. The savings analysis methods, such as NEAT analysis, short term metering, long term fuel consumption analysis, or other industry accepted techniques may be submitted for energy savings measurement;

4.4. Estimates of the number of homes that will receive the measure, the time period involved;

4.5. The impact of the project on the subgrantee budget; and

4.6. A methodology for analyzing the results of the project, including:

4.6.1. Financial tracking of materials and labor costs; and

4.6.2. Measurement of the energy consumption before and after the pilot project is completed.

Supporting References:	10 CFR 440 Appendix A; 10 CFR 440.18 (a) (b), 10 CFR 440.21 (b)
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1. Abstract

Subgrantees of the Colorado Energy Office Weatherization Assistance Program (CEO WAP) are responsible for providing workers' compensation coverage for all employees and for providing such coverage or requiring subcontractors to provide such coverage for themselves, in accordance with current law. In no case is the State responsible for providing workers' compensation coverage for any employees or subcontractors of the subgrantee pursuant to the contractual agreement between the State and the subgrantee.

1.1. Keywords: workers' compensation, subcontractor, coverage

2. CEO WAP Workers' Compensation Checklist

The following procedure is recommended:

- 2.1.** Require evidence of workers' compensation of all subcontractors.
- 2.2.** If the subcontractor states that the election for no coverage has been made, require a letter from subcontractor signed by each individual who qualifies and has made such an election. The letter should say, in effect, that the individual is an individual employer, working partner or corporate officer as defined by the Workers' Compensation Act of Colorado, September 1997, and has elected not to obtain workers' compensation coverage for himself or herself, does not desire to be covered by the policy (if offered by the subgrantee) of the subgrantee and therefore does not want to have any funds withheld for the purpose of workers' compensation insurance payment.
- 2.3.** The letter should also state that the subcontractor has provided all necessary information to the subgrantee in order for the subgrantee to provide workers' compensation coverage for the subcontractor's employee.
- 2.4.** The subcontractor is to send a copy of this letter to its workers' compensation insurance provider or, if it does not have one, to the subgrantee's workers' compensation insurance provider. This recommendation is not to be considered legal advice and subgrantees are strongly encouraged to obtain legal or insurance advice appropriate to the specific circumstances at the subgrantee.

Supporting References:	Workers' Compensation Act of Colorado, September 1997
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1. Abstract

This policy provides guidance on the use of vehicles within the CEO WAP, including information on procurement, disposition, asset transfers, general usage, and reporting.

1.1. Keywords: vehicle, capital equipment, disposition, commuting, reporting

2. Procurement

Any purchase of capital equipment where the value of specific items (or total composite, if items are to be used as a set) will exceed \$5,000 and with a useful life of more than one year must be approved by the DOE and CEO WAP. Refer to CEO-WAP-206 for information related to the purchase of capital equipment.

3. Disposition

A subgrantee may dispose of a vehicle at any time according to the below procedures. Only under extreme circumstances should a vehicle worth more than \$5,000 be disposed of from the program. The subgrantee should work with the Program Manager on vehicle disposition. More detailed information regarding vehicle disposition can be found in WPN17-6 and its associated FAQ document.

3.1. Vehicles with a current fair market value less than \$5,000: When the fair market value of an individual unit of property falls below \$5,000, DOE’s interest in the property is extinguished. At this point, recipients/subrecipients take full title to the property without restriction, free and clear of government interest, and a disposition request to DOE is not necessary. Value of the vehicle can be documented by established blue book value tools on the Internet, or as defined in 3.3 below.

3.2. Vehicles with a current fair market value more than \$5,000: If the subgrantee disposes of a vehicle before its fair market value falls below \$5,000, the CEO WAP and the subgrantee must submit a disposition request to DOE and compensate DOE for that percentage of the current fair market value of the vehicle.

3.3. Fair Market Value: Fair market value means the best estimate of the gross sales proceeds if the property were to be sold in a public sale. Credible evidence of fair market value may include complete depreciation of the vehicle based upon an approved depreciation schedule, bids from interested buyers, sales of comparable property, or estimated scrap value from a credible contractor with experience in the particular materials if the property has no value beyond scrap.

3.3.1. Fair Market Value as defined by one of the methods above is the only acceptable value for vehicles. Other value methods, such as useful life of a vehicle, should be built into a depreciation schedule.

Supporting References: WPN 17-6, WPN17-6 FAQ, CEO-WAP-206

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3.4. Depreciation: It is highly recommended that the subgrantee incorporate a stipulation and methodology for vehicle depreciation into their own policies and procedures. Subgrantees may use a variety of depreciation methods, as long as it has been approved the CEO WAP and covers at least 10 years of use.

3.4.1. A vehicle should not be sold until after the end of the program year it was scheduled to depreciate to \$0. Once the depreciated value of the vehicle reaches \$0, the vehicle will be taken off all CEO asset lists and will be able to be sold for any value, with the funds earned going directly to the subgrantee.

4. Transfer of Assets

Vehicles may be transferred between subgrantees with the approval of the CEO WAP Program Manager and requires proof that the ownership and liability associated with that vehicle has been completely transferred from one subgrantee to another. Transfers are to be submitted to the CEO WAP program manager with the list of the sub-grantees’s capital equipment and must include the date of liability and transfer and the origin of the transfer.

5. Vehicle Use

Subgrantees of the Colorado Energy Office Weatherization Assistance Program (CEO WAP) cannot allow employees to use grant paid for vehicles for commuting, or to charge any costs to the grant for the use of vehicles for commuting. Guidance regarding the use of vehicles paid for or charged to the grant is discussed below:

5.1. Commuting: Vehicles are not to be used for commuting or in any other manner as a substitute for a personal vehicle.

5.2. On Call Use of Vehicles: The only employees who fit the emergency on-call provisions in the weatherization program are those who must respond to heating system emergencies. This “on-call” requirement must be part of the employee’s job description. In this case only a grant paid-for vehicle can be taken home by the employee to be used for on-call emergencies. Mileage and use of vehicle is to be noted in the mileage log for that vehicle. No personal use is allowed.

5.3. Subgrantee Policy for Vehicle Use: Each subgrantee is to have a specific written policy for the use of CEO WAP funded vehicles.

5.4. Mileage Logs: Mileage logs are to be maintained for all vehicles.

5.5. Inventory and Reporting: Property records must be maintained to include a description of the vehicle, a serial number or other identification number, the source of property, who holds title, the acquisition date, the cost of the property, use and condition of the property, the odometer mileage of the property, and any

Supporting References: WPN 17-6, WPN17-6 FAQ, CEO-WAP-206

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depreciation information. Subgrantees must take a physical inventory and reconcile the results with the property records at least once every two years.

6. Reporting

In addition to CEO WAP guidelines, subgrantee management and accounting personnel should be familiar with and assure compliance with the Internal Revenue Service requirements for reporting which may apply if a vehicle is taken home for “on-call” reasons. Also, the subgrantee may be liable for payments to the employee for the “on-call” or “stand-by” time even when the employee is not called out.

7. Non-Weatherization Usage

CEO WAP funded vehicles are not to be used for non-weatherization activities, unless pre-approved by the CEO WAP Manager. This includes such activities as not for profit work and grants other than CEO WAP. If approved for usage in other activities, associated usage must be tracked and credited to the CEO WAP grant on a quarterly basis. See 505 A02 Sample Vehicle Use Log for an example on how to track vehicle usage between the WAP and other programs.

Appendices

505 A01 Sample Depreciation Calculator

505 A02 Sample Vehicle Use Log

Supporting References:	WPN 17-6, WPN17-6 FAQ, CEO-WAP-206	
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1. Abstract

The policy describes the Colorado Energy Office Weatherization Assistance Program (CEO WAP) Solar Photovoltaics (PV) procedures, including subgrantee and client administrative and field requirements.

1.1. Keywords: PV, solar PV, ground mount, rooftop, contract, PUA, eligibility, reporting, client file

2. Overview

Client-owned Solar Photovoltaics (PV) have been added to the CEO WAP’s portfolio of measures as an optional measure. The primary goal of adding solar PV to WAP is to reduce weatherization clients’ electricity bills. Electricity cost reductions have a higher value, but they are more difficult to capture compared to the non-electric heating costs that WAP measures primarily target. In most respects solar PV will be treated like any other measure being installed through WAP. There is a difference between solar PV and other measures when it comes to funding strategies and rules applied to solar PV; those differences are further described in this policy.

3. Eligibility Requirements

3.1. Client: The following are required for each client to receive solar PV:

- 3.1.1. Be eligible for the Weatherization Assistance Program per CEO-WAP-301,
- 3.1.2. Be the owner and occupier of the home receiving solar PV,
- 3.1.3. Be a tenant in a property which is designated as Section 8 or other long-term low-income housing provider,
- 3.1.4. Be a tenant in a property owned by a non-profit focused on affordable housing, and
- 3.1.5. Choose to have solar PV installed on their home, as evidenced by signing the Solar PV Owner Agreement (CEO-WAP-506 A1).
- 3.1.6. Pursuant to the Colorado Public Utility Commission’s Rules 3667(e)(XI) and 3667(j)(VII) regulating electric utilities, the homeowner must have at least \$300,000 in homeowners liability insurance.

3.2. Unit: The following are required for each unit to receive solar PV:

- 3.2.1. Un-weatherized unit or previously weatherized prior to October 1, 1994,
- 3.2.2. Structurally sound roof needing little or no improvement to receive solar PV,
- 3.2.3. An adequate electrical system needing little or no improvement to receive solar PV, and

Supporting References: CEO-WAP-502, CEO-WAP-404, CEO-WAP-404 A3, WAP Memorandum 024

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3.2.4. The unit must be eligible to be modified per Colorado State Historic Preservation Office (SHPO) agreement.

3.3. Measure: The following are the requirements for solar PV to be considered as a measure:

3.3.1. Solar PV systems can be no smaller than 1,800 Watts and no larger than 3,500 Watts in size,

3.3.2. SIR above 1.0 based on solar site assessment with the funding being provided by WAP and not by utility partners or other contributors,

3.3.3. May not generate more than 100 percent of the electricity used by the client during a typical year as shown by reviewing the client’s most recent electric utility bills. A minimum of six months of utility bills is required for review.

3.3.4. A minimum capacity factor of 0.14 is required for rooftop PV to be installed; minimum capacity factor is calculated by dividing the most conservative generation estimate on the solar assessment by the DC capacity of the system assessed.

3.3.5. Use the solar PV worksheet (Appendix CEO-WAP-506 A2) to determine whether the solar PV measure meets the above criteria.

4. Subgrantee Contract

The subgrantee contracts and contract amendments with the CEO will explicitly detail solar PV production goals. Similar to overall production goals, these solar PV production goals must be met in order to fulfil the contract.

4.1. Production Goals: Each WAP subgrantee will be required to commit to a solar PV installation production goal during development of the initial contract and/or contract amendments. Production goals will be based on each subgrantees total WAP unit production and availability of units within the territories of utilities participating in solar PV installation. Production goals will be listed on the Budget Support Sheet and included within the text of the contract.

5. Funding

Solar PV will be installed using all WAP funding sources. The WAP program manager will provide guidance about the correct distribution of solar PV jobs across available funding sources. Unless the subgrantee provides a waiver, solar PV DOE and LEAP costs provided for solar are capped at \$3,623 per unit or the amount stated in accordance with [10 CFR Part 440.18](#)(b) and (c) which states the baseline expenditure of financial assistance provided under WAP for labor, weatherization materials, and related

Supporting References:	CEO-WAP-502, CEO-WAP-404, CEO-WAP-404 A3, WAP Memorandum 024	
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matters for a renewable energy system. See [WAP Memorandum 024](#), to reference solar PV allowable funding and the cost of living adjustment.

5.1. DOE and LEAP: Solar PV installed cost using the DOE or LEAP funding source is limited to a \$3,623 per unit average (PUA) overall for DOE or LEAP funded solar PV units during a given program year. This solar PV PUA will be tracked by the WAP program manager throughout the program year. DOE units with Solar PV will require a DOE file review before installation. See Appendix CEO-WAP-506 A3 for file review checklist.

5.2. Non-DOE or LEAP: Solar PV installed cost using the non-DOE or LEAP funding sources is not limited to a specific PUA. Nor is it limited to the DOE per unit average.

5.3. Contributions: Solar PV costs in excess of \$3,623 must come from contributions. These contributions include:

- 5.3.1. CEO-WX RE funding source
- 5.3.2. Other CEO WAP solar PV-specific funding sources
- 5.3.3. Utility contributions
- 5.3.4. Landlord contributions

6. Subcontracting

Subgrantees will individually arrange subcontractor services for solar PV installation. Subcontractor requirements are listed in Field Policy 9.

7. Approval and Reporting

7.1. DOE Approval: All jobs with DOE funded solar PV must receive approval from the DOE WAP project officer. Requests must be processed through the CEO. A PDF of the email stating the DOE approval must be attached to the BWR for each DOE funded solar PV job.

7.2. CEO WAP Approval: Sub-grantees new to solar PV installations (of any funding source) must get CEO approval for the first six projects utilizing the standard waiver process, see policy CEO-WAP-502. CEO may require additional solar PV reviews if at any time the subgrantee completion of high quality solar projects ceases. A PDF of the approval must be attached to the BWR.

7.3. BWR: Solar PV measures will be recorded in the BWR. See policy CEO-WAP-704 further details.

7.4. Utility Reporting and Invoicing: The CEO WAP will report solar PV information to utilities as required. For utilities providing funding for solar PV, the CEO WAP will invoice the utilities as necessary. The Sub-grantees must report solar unit activity to utilities as required for tracking purposes.

Supporting References:	CEO-WAP-502, CEO-WAP-404, CEO-WAP-404 A3, WAP Memorandum 024
Supersedes: July 18, 2018	Approved by: CEO WAP Staff
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8. Field Requirements

Reference Field Policy 9, Section 9.2 for rooftop solar PV field requirements.

8.1. Ground Mount PV Systems: Ground mount PV systems may be installed but require DOE approval if funded by DOE. All ground mount PV systems estimated to exceed \$15,000 must receive CEO approval via a waiver submittal. See section 7.2.

9. Owner Agreement and Client Education

9.1. Owner Agreement: Due to the long lifespan of solar PV, clients need to be properly informed about their system. The solar PV Owner Agreement provides a structured way to inform the client about their rooftop PV. Clients are required to sign off on the Owner Agreement prior to receiving the solar PV. See Appendix CEO-WAP-506 A1 for more information.

9.2. Client Education: In order for clients to maximize the benefits of their solar PV, they must be educated about the systems. Subcontractors and final inspectors will be responsible for ensuring this education occurs. See Field Policy 9 for more information about subcontractor and inspector requirements.

10. Administrative Monitoring

Homes receiving solar PV will require additional documentation above and beyond what is contained in the standard client file.

10.1. Client Files: For any home receiving solar PV, the following additional items are required to be included in the client file:

- 10.1.1. SHPO Approval (if required, see CEO-WAP-404)
- 10.1.2. Solar site assessment
- 10.1.3. Solar workbook print out
- 10.1.4. DOE PO approval email (for all DOE funded jobs)
- 10.1.5. CEO WAP PM approved waiver
- 10.1.6. Solar PV Owner Agreement
- 10.1.7. Final inspection form

11. Operations and Maintenance

Although the WAP clients will own the solar PV systems, they will not be responsible for operations and maintenance.

11.1. Performance of Operations and Maintenance: Subgrantees will be the point of contact for WAP clients who have received solar PV and need maintenance or repairs performed on their systems. Subgrantees will work with subcontractors or in-house staff to have the maintenance or repairs performed. Repairs can only be paid for out of non-Federal funding sources.

Supporting References:	CEO-WAP-502, CEO-WAP-404, CEO-WAP-404 A3, WAP Memorandum 024
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- 11.2. Funding for Operations and Maintenance:** the CEO WAP will be responsible for providing funding for maintaining and repairing solar PV systems for a time period of 20 years from the date of installation.
- 11.3. System Monitoring:** the CEO WAP will be responsible for monitoring solar PV system performance in order to determine whether systems require maintenance or repair.

Policy Appendices

- 506 A1 Solar PV Owner Agreement
- 506 A2 Solar PV Worksheet
- 506 A3 File Review Checklist
- 506 A4 Weatherization Assistant Instructions
- 506 A5 CEO Solar Assist Approval Form and Tracker

Supporting References:	CEO-WAP-502, CEO-WAP-404, CEO-WAP-404 A3, WAP Memorandum 024	
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1. Abstract

Subgrantees of the Colorado Energy Office Weatherization Assistance Program (CEO WAP) are required to retain all pertinent records (program and fiscal) for six years, per the Colorado State Controller, following the close of any weatherization grant. Pertinent records are described below. See CEO-WAP-103 regarding when a grant is defined as formally "closed out."

1.1. Keywords:

2. Weatherized Unit Records

Per 10 CFR 440.18(f)(2)(iii) and CEO-WAP-401 of this manual, subgrantees are restricted against weatherizing units previously served by any CEO WAP weatherization program, except for units partially weatherized during the period September 30, 1975 through September 30, 1994. To document compliance, subgrantees must retain documentation on all units within the subgrantee's service area which have received weatherization. At a minimum, the information retained must include the address of the unit and the date of the service. Subgrantees are responsible for retaining complete and accurate information which is adequate for documenting compliance with the re-weatherization restrictions (see CEO-WAP-401). This documentation must cover all units served since October 1, 1975 for the subgrantee's entire service area. This pertains to all CEO WAP funded programs. Any subgrantee which, for whatever reason, is missing any of these records, must notify the CEO WAP for guidance immediately. See CEO-WAP-306 for required documentation contained in Client Files.

3. Other Records

Other Records include:

- 3.1.1. Real Property
- 3.1.2. Equipment records (from acquisition date to date of disposal)
- 3.1.3. Indirect cost rate computations or proposals
- 3.1.4. Cost allocation plans
- 3.1.5. Time cards
- 3.1.6. Employee Records

4. Storage

Records are to be stored in a secured location that prevents damage and protects client confidentiality. Information that is written on paper must be completed with ink to prevent erasure. It is permissible to use an electronic format as long as the media is protected from potential damage and erasure. Such media should be backed up on a periodic

Supporting References:

CEO-WAP-306, CEO-WAP-401, 10 CFR 440.18(f)(2)(iii), 2 CFR 200.333, 2 CFR 200.334, 2 CFR 200.335, 2 CFR 200.336, 2 CFR 200.337, STATE OF COLORADO PROCUREMENT MANUAL

Supersedes: July 1, 2009

Approved by: CEO WAP Staff

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basis. Keep in mind it is possible for electronic media to become obsolete or inoperable in the future.

Supporting References:

CEO-WAP-306, CEO-WAP-401, 10 CFR 440.18(f)(2)(iii), 2 CFR 200.333, 2 CFR 200.334, 2 CFR 200.335, 2 CFR 200.336, 2 CFR 200.337, STATE OF COLORADO PROCUREMENT MANUAL

Supersedes: July 1, 2009

Approved by: CEO WAP Staff

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1. Abstract

Subgrantees are required to cooperate fully with monitoring and inspection activities conducted by Colorado Energy Office Weatherization Assistance Program (CEO WAP) staff and other authorized individuals. The purpose of monitoring and inspecting are to assess the current level of performance and compliance, determine training and technical assistance (T&TA) needs, and provide T&TA.

1.1. Keywords: monitoring, inspection, finding, concerns, recommendation

2. Monitoring and Inspection Visits

2.1. Subgrantees will be given adequate advance notice of site visits. This notice will also include a brief description of the purpose of the visit (compliance monitoring, T&TA, unit inspections, follow-up to previous findings, etc.).

2.2. CEO WAP staff will notify the subgrantee in advance of which units/client files are to be inspected, so that clients can be contacted and client files pulled by the subgrantee to schedule the inspections.

2.3. Once a unit or client file has been scheduled for inspection, subgrantees are prohibited from completing additional work or modifying the client file in any manner. The intent of this advance notice is not to provide the agency with an opportunity to prepare the unit or review the client file for the CEO WAP inspection. This preparation defeats the purpose of inspecting a random sample of the agency's work, and conflicts with the definition of a completed unit.

2.4. If the subgrantee is performing a follow up inspection or follow-up work to a unit after it has been selected for inspection by the CEO WAP, then the BWR for this unit should not have been submitted because work was not complete according to the standards.

2.5. Return visits by subgrantee staff to pre-inspect units selected for CEO WAP inspection are not allowed. In order to prevent this from occurring, the CEO WAP reserves the option to withhold the information regarding some or all of the units selected until the CEO WAP staff's arrival at the subgrantee office, at which time the units will be scheduled for inspection.

3. Findings, Concerns, Recommendations and Best Practices

3.1. Finding: A deficiency constituting noncompliance with CEO WAP Policy or the CFG. A Monitoring report from the CEO WAP that contains Findings requires a response from the subgrantee receiving the finding as defined in the Quality Assurance or Administrative Monitoring report generated by the CEO WAP. Response must detail corrective action that will be taken.

3.1.1. Criteria For Findings

Supporting References: 2 CFR 200.336

Supersedes: January 1, 1999

Approved by: CEO WAP Staff

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CEO-WAP-601
Subgrantee Monitoring and
Inspection

Approved: July 1, 2015

- 3.1.1.1. The health and safety of clients, subgrantee staff, or subgrantee subcontractors, or the integrity of the building structure is threatened by work completed by the subgrantee.
 - 3.1.1.2. A weatherization-related health or safety problem is created by, exacerbated by, or not corrected by the delivery of weatherization services.
 - 3.1.1.3. The omission, without appropriate authorization, of a required cost-effective measure, a necessary repair, or a required health and safety repair.
 - 3.1.1.4. Poor quality work, materials, or equipment that results in significantly degraded performance or appearance of measures or repairs.
 - 3.1.1.5. Major expenditure of funds on measures that are not included on the site specific NEAT/MHEA energy analysis summary, or are not required in the CFG.
 - 3.1.1.6. Expenditure for materials not listed in Appendix A of 10 CFR 440.
 - 3.1.1.7. Any action or lack of action that may result in a liability that threatens CEO WAP grant funds.
 - 3.1.1.8. Lack of required documentation in the client file
- 3.2. Concern:** Concerns will require a response from the subgrantee, detailing the corrective action taken to alleviate the deficiency identified in the Monitoring report. When similar concerns are found on two or more consecutive monitoring visits, those concerns may be elevated to a Finding. May include but are not limited to the following:
- 3.2.1. Criteria For Concerns
 - 3.2.1.1. A single occurrence of poor-quality of work, materials, or equipment that results in minor degradation of performance or appearance of measures or repairs. E.g. sloppy work, missing attic insulation measuring sticks, incorrect documentation.
 - 3.2.1.2. Work site cleanup that does not meet the satisfaction of the client or the State Inspector.
- 3.3. Recommendation:** For monitoring conditions observed that do not constitute substantial noncompliance with the CEO WAP Policy or CFG.
- 3.4. Best Practice:** For weatherization work installed or weatherization process completed that is exemplary in nature, the CEO WAP may make a best practice determination.

Supporting References: 2 CFR 200.336

Supersedes: January 1, 1999

Approved by: CEO WAP Staff

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CEO-WAP-602
Corrective Action-Removal
Procedures

Approved: April 24, 2017

1. Abstract

This policy describes the Colorado Energy Office Weatherization Assistance Program (CEO WAP) corrective action-removal procedures for subgrantee Quality Control Inspectors (QCI) who repeatedly fail to perform to program standards.

1.1. Keywords: corrective action, QCI, inspector, finding

1.2. Background: Per Department of Energy (DOE), Weatherization Program Notice (WPN) 16-1, Program Year 2016 Weatherization Grant Guidance, Section 2.5, Quality Work Plan Implementation, Quality Control Inspector (QCI) subgrantee inspectors “who repeatedly fail to perform to program expectations must be disqualified from performing work in the future. Grantees must establish protocols to remove poor performers from their network.” Also, subgrantees must establish internal protocols to remove poor performing QCI contractors from the network.

2. Corrective Action-Removal Procedures

Corrective action-removal procedures are dictated by the number of Quality Assurance (QA) findings of similar nature that can be directly tied back to a specific subgrantee QCI inspector during a single QA visit over a two program year period. For the purposes of this policy, multiple findings of similar nature assessed during a single monitoring visit will count as one finding for that visit.

2.1. 1st Finding: Subgrantees shall fix issues using CEO WAP contracted funds and conduct classroom training within the subgrantee for the inspector prior to them performing subsequent inspection work within the network.

2.2. 2nd Finding: Subgrantees shall fix issues using CEO WAP contracted funds, conduct classroom training outside of the subgrantee, and supervised on-the-job training for the inspector prior to them performing subsequent inspection work within the network.

2.3. 3rd Finding: Subgrantees shall fix issues using non-CEO WAP contracted funds, suspend the inspector from performing inspections for a 6 month period from the date of inspector notification, and have the inspector complete a QCI performance plan during the suspension period prior to them performing subsequent inspection work within the network.

2.4. 4th Finding: Subgrantees shall fix issues using non-CEO WAP contracted funds and then permanently disqualify the applicable inspector from performing all future inspection work within the network.

2.5. Quality Assurance Manager Discretion: The CEO WAP Quality Assurance Manager has the discretion to modify the corrective action-removal procedures in any way based on individual circumstances as he or she deems appropriate.

Supporting References: DOE WPN 16-1 Section 2.5, CEO-WAP-606

Supersedes: July 1, 2016

Approved by: CEO WAP Staff

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3. Corrective Action-Removal Procedures Tracking

Subgrantees are responsible for tracking where each impacted inspector is within the process outlined in Section 2.0. If subgrantees suspend or permanently disqualify an inspector, they shall notify the Quality Assurance Manager via email. Prior to hiring and providing subsequent QCI inspection work to an inspector, subgrantees are responsible for checking with the Quality Assurance Manager to ensure that the inspector is not suspended or permanently disqualified.

Supporting References:	DOE WPN 16-1 Section 2.5, CEO-WAP-606	
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1. Abstract

This policy discusses subgrantee standing determination and the results of high risk determination, as well as how high risk determination may be removed. Determination of standing may occur at any time, but will always be evaluated at the time a competitive Request for Application (RFA) is initiated and communicated to the subgrantee in writing. A subgrantee in good standing will receive preference in the event of scoring ties in the evaluation of their response to an RFA. In addition to affecting the competitive RFA evaluation, a high risk standing or violation of Department of Energy (DOE) or Colorado Energy Office Weatherization Assistance Program (CEO WAP) policies and procedures may result in response plans, additional conditions, suspension of funding, or contract termination.

1.1. Keywords: high risk, standing, noncompliance, contract, RFA

2. High Risk Standing Determination

A subgrantee will be classified as high risk in the event that:

- 2.1.** Sizeable, frequent, or deliberate financial or programmatic mismanagement is documented utilizing, but not limited to, Administrative Monitoring reports or,
- 2.2.** Sizeable, frequent, or deliberate neglect of generally accepted workmanship standards is documented via Quality Assurance reports or,
- 2.3.** Production goals are not completed in a timely manner, according to the goals set forth in the current program year’s contract and as documented in monthly production report check-ins or,
- 2.4.** Sizeable, frequent, or deliberate noncompliance with applicable rules and regulations is documented in Administrative monitoring, Quality Assurance monitoring, risk assessment, monthly production report check-ins, or monthly fiscal reports.

3. Other Objectives to Determine Standing

In addition to factors stated in 2.1 through 2.4, other objectives in determining standing are considered which reflect the CEO WAP’s view as to how grant funding and other resources are applied in the management of the subgrantee. These objectives are outlined below:

3.1. Cost Effectiveness: Using all CEO WAP funds available in ways that provide the greatest level of service per dollar, particularly as this pertains to material and labor funds (measurable by energy saved per dollar), but also to overhead costs,

Supporting References:

CEO-WAP-102, CEO-WAP-305, 10 CFR 440.15, 2 CFR 200.207, 2 CFR 200.338, 2 CFR 200.341, 2 CFR 200.342, 2 CFR 200.340, 2 CFR 180,2 CFR 200.339, State/Subgrantee contract

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CEO-WAP-603
Subgrantee Standing
Determination

Approved: July 1, 2017

administration, and training and technical assistance funds. As well as making use of other available resources to expand the effectiveness of CEO WAP funds.

- 3.2. Accountability:** Operating the program and using funds in compliance with program rules and regulations.
- 3.3. Quality of Service:** Services are provided comprehensively, meeting the specific needs of each household (complete weatherization services including heating system, insulation, air leakage, finished appearance, and client education). This includes applying sound energy conservation principles, using proven technologies as well as protecting the health and safety of clients, as they pertain to CEO WAP services, following established procedures/guidelines.
- 3.4. Requirements for Services:** Attaining the established county allocation within +/- 5%, meeting at least 90% of the contracted production goal, maximizing measures with high savings to investment ratio, and expending at least 95% of all CEO WAP funds.
- 3.5. Serving Priority:** Establishing service goals reflecting program policy (see policy 301.4) and attaining all other program goals.

4. Notification of High Risk Standing

When a subgrantee has been classified as high risk, the following process occurs:

- 4.1.** Subgrantee will be notified in writing (mail or electronically) as to high risk status.
- 4.2.** Reasons why additional conditions are being imposed.
- 4.3.** Nature of required response plan or corrective action.
- 4.4.** Time allowed for completion of response plan or corrective action.

The appeals process outlined in CEO-WAP-305 can be requested by a subgrantee at any time. Once the response plan or corrective actions have been implemented to the satisfaction of the CEO WAP, high risk status will be removed.

5. Removing High Risk Standing

Once a subgrantee is considered high risk either a response plan will be put in place or as stated above, funding will be suspended or terminated. The decision for removal of high risk status will be based on the following:

- 5.1.** The nature of the findings yielding the high risk status.
- 5.2.** The subgrantee's responsiveness to the high risk status.
- 5.3.** The CEO WAP's assessment of the subgrantee's potential for improving overall performance to an acceptable level.

Supporting References:

CEO-WAP-102, CEO-WAP-305, 10 CFR 440.15, 2 CFR 200.207, 2 CFR 200.338, 2 CFR 200.341, 2 CFR 200.342, 2 CFR 200.340, 2 CFR 180,2 CFR 200.339, State/Subgrantee contract

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6. Actions for Noncompliance

When findings, such as those defined in items 2.1 through 2.4 above, occur, the CEO WAP will take one of the following actions:

- 6.1. Temporarily withhold cash payments pending correction of the deficiency.
- 6.2. Disallow all or part of the cost of the activity or action not in compliance.
- 6.3. Wholly or partly suspend or terminate the current award.
- 6.4. Withhold further awards.
- 6.5. Board notification and required response from the Board.
- 6.6. Take other remedies that may be legally available.
- 6.7. May result in reallocation of funding or production to another CEO WAP contracted entity.
- 6.8. If the findings are determined to be a result of flagrant and/or frequent noncompliance, this is considered to be a serious impact on the subgrantee's ability to continue to operate the program effectively. Steps will be taken to suspend or terminate funding.

7. Suspension of Funding

Funding may be suspended in whole or in part by the CEO WAP for frequent or repeated violations as well as financial mismanagement. In such a case written notification will be sent to the subgrantee and the DOE stating the reasons for suspension, the effective date, and in the case of a partial termination, the reduced or modified portion of the funding.

Supporting References:

CEO-WAP-102, CEO-WAP-305, 10 CFR 440.15, 2 CFR 200.207, 2 CFR 200.338, 2 CFR 200.341, 2 CFR 200.342, 2 CFR 200.340, 2 CFR 180,2 CFR 200.339, State/Subgrantee contract

Supersedes: July 1, 2015

Approved by: CEO WAP Staff

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1. Abstract

This policy discusses the process and requirements for subgrantee’s appeals to the Colorado Energy Office Weatherization Assistance Program (CEO WAP) in cases of conflict.

1.1. Keywords: appeal, dispute, resolution, contract

2. Subgrantee Appeal to the CEO WAP

Subgrantees may appeal any decision or action made by the CEO WAP, when cause for such an appeal can be presented. Such appeals shall follow the procedures below:

2.1. Appeal to Director of Low-Income Energy Services: Appeals are to be presented in writing to the Director of Low-Income Energy Services within 20 working days of the day of issuance. Appeals received after the prescribed time period will be considered invalid. The written appeal shall include copies of all documents regarding the decision or action taken by the CEO WAP.

2.2. Response from Director of Low-Income Energy Services: The Director of Low-Income Energy Services will review the information and issue a written decision to the subgrantee within 20 working days of receipt of the written appeal.

This written decision will include the following elements:

- Description of the controversy,
- Reference to the pertinent contract provision,
- Statement of the factual areas of agreement and disagreement,
- Supporting rationale for the decision, and
- Notice of the subgrantee’s right to appeal the decision.

3. Appeal to Director of the CEO

The decision of the Director of Low-Income Energy Services regarding an appeal can be appealed to the Director of the CEO, following the same timetable and requirements previously outlined. This appeal is final.

4. Alternative Dispute Resolution

Alternative dispute resolution may be used at any time during the above process. A DOE dispute resolution specialist is available to provide assistance should such a need arise.

Supporting References:	Colorado State Statute R-24-109-202-01, 10 CFR 600.22, 48 CFR 33.214
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1. Abstract

Subgrantees are required to inform the Colorado Energy Office Weatherization Assistance Program (CEO WAP) of specific changes regarding subgrantee administration/ organization, as well as serious client complaints or complaints that have the potential to yield outside attention.

2. Subgrantee Administration Changes

Subgrantees are required to provide timely, written notification to the CEO WAP of any changes regarding;

- 2.1. The legal status of the organization (by-laws, articles of incorporation, etc). Subgrantees must inform the CEO WAP office before a change occurs and must provide written notification of the change to CEO WAP staff within two weeks of the change occurring.
- 2.2. Change or modification of board members and officers - subgrantees must provide written notification within two weeks of occurrence.
- 2.3. Signature authority for fiscal reports- subgrantees must provide written notification within two weeks of occurrence.
- 2.4. Staffing changes in “key” positions (positions which interact with the CEO WAP Office). Subgrantees must inform the CEO WAP prior to implementing the change and must notify CEO WAP in writing within 30 days of any changes to approved plan and budget resulting from change.

3. Subgrantee/Client Issues

The CEO WAP is to be informed as soon as one or more of the following are an issue:

- 3.1. Weatherization work performed by the subgrantee has caused the client to make a health/safety complaint.
- 3.2. The client complaint could potentially yield media attention.
- 3.3. The client (or a representative of the client) has threatened to take legal action.
- 3.4. Any client complaint, which in the opinion of the subgrantee, could emerge and threaten any aspect of the either the program and/or funding for the program. If uncertain, it is best communicate with the CEO WAP.

Supporting References:	Current CEO WAP contract
Supersedes: January 1, 2005	Approved by: CEO WAP Staff
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1. Abstract

This policy addresses the process for updating, creating, and deleting Colorado Energy Office Weatherization Assistance Program (CEO WAP) policies. The CEO WAP reserves the right to update, create, or delete policies at any time during a contract period.

1.1. Keywords: policy, update, regulations, waiver

2. Policy Review

Policies are reviewed by CEO WAP staff on a regular basis to ensure that policies are consistent with CEO WAP strategic plan, regulations, or procedures at the State or Federal level, and general stylistic conventions.

3. Update to Existing Policy

Policies may be amended for a variety of reasons, including, but not limited to: CEO WAP strategic plan changes, updates to policies, regulations, or procedures at the State or Federal level, or stylistic consistency. When an existing policy is updated, the following process occurs:

- 3.1.** Draft policy is updated and sent to CEO WAP staff for review and comment.
- 3.2.** Draft policy is sent to subgrantee directors and program managers one week in advance of monthly all-agency call.
- 3.3.** Discussion of draft policy becomes agenda topic for Monthly All-Agency call.
- 3.4.** Following the All-Agency call, subgrantees have one week to provide final comments on the draft in writing.
- 3.5.** CEO WAP staff provide responses to subgrantee comments.
- 3.6.** CEO WAP staff will review the subgrantee comments, incorporate feedback as appropriate, and finalize the policy.
- 3.7.** Final version of policy and implementation date is emailed to subgrantee directors and program managers for them to sign off on the policy change via email.
- 3.8.** Final draft of policy is uploaded to the CEO WAP site.

4. New Policy

New policies may be created for a variety of reasons, including, but not limited to: CEO WAP strategic plan changes, updates to policies, regulations, or procedures at the State or Federal level. All new policies should match the stylistic conventions of existing policies.

- 4.1.** New policy is created and sent to CEO WAP staff for review and comment.
- 4.2.** New policy is sent to subgrantee directors and program managers one week in advance of monthly all-agency call.

Supporting References:

Supersedes: July 1, 2015

Approved by: CEO WAP Staff

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- 4.3. Discussion of draft policy becomes agenda topic for Monthly All-Agency call.
- 4.4. Following the All-Agency call, subgrantees have one week to provide final comments on the draft in writing.
- 4.5. CEO WAP staff provide responses to subgrantee comments.
- 4.6. CEO WAP staff will review the subgrantee comments, incorporate feedback as appropriate, and finalize the policy.
- 4.7. Final version of policy and implementation date is emailed to subgrantee directors and program managers for them to sign off on the policy change via email.
- 4.8. Final draft of policy is uploaded to the CEO WAP site.

5. Deleted Policy

Existing policies may be deleted for a variety of reasons, including, but not limited to: CEO WAP strategic plan changes, updates to policies, regulations, or procedures at the State or Federal level, or a current policy may be incorporated into other policies. If a policy is being incorporated into an existing policy, the procedure in Section 3 of this policy is followed. Otherwise:

- 5.1. Policy for deletion is shared with CEO WAP staff for review and comment.
- 5.2. Discussion of deleted policy becomes agenda topic for Monthly All-Agency call.
- 5.3. Following the All-Agency call, subgrantees have one week to provide final comments in writing.
- 5.4. CEO WAP staff provide responses to subgrantee comments.
- 5.5. Date of implementation is emailed to subgrantee directors and program managers for them to sign off on the policy change via email.
- 5.6. Policy is deleted and removed from CEO WAP site.
- 5.7. There may be instances where a residual policy remains in place until a new policy is created to replace it.

6. Waiver

If circumstances prevent the implementation of a policy or procedure, the subgrantee may submit a waiver requesting an extension to their CEO WAP Program Manager.

7. Expedited Policy Creation and Update Process

If circumstances require, the CEO WAP may take steps to expedite the policy creation and update process. However, even when expedited, the process will always include internal review by CEO WAP staff and external review by subgrantee staff.

Supporting References:

Supersedes: July 1, 2015

Approved by: CEO WAP Staff



1. Abstract

There will be occasions when the subgrantee is contacted by the media for interviews. Media types may include newspapers, television, magazines, internet and local community communications. In addition, all printed materials used for Outreach or other specific uses will need to follow the guidelines outlined in Section 4.0. All materials and website pages that include reference to the Colorado Energy Office (CEO) must be approved in advance of publication by the CEO Public Information Officer.

1.1. Keywords: media, communications, interview, publication, logo

2. CEO Communications

The CEO's office has a communications department and it is recommended that all requests from the press for interviews be directed to the CEO communications department. Guidance can then be given on how to respond to the topic of discussion. This will assist in conveying a consistent message about the Weatherization Program and its goals of helping low income families. The CEO will attempt to give subgrantee program directors a heads-up when reporters contact the CEO and then want to seek additional information from the subgrantee. Contact the CEO Public Information Officer regarding any interaction with the press.

3. Media Interview Process and Procedure

- 3.1.** Contact the CEO's Communications Department and inform them of your plans to do an interview. They can provide additional tips for getting your message across in the media, as well as help to keep track of media clips.
- 3.2.** Be prepared. Find out what the interview is about and be prepared to discuss the topic.
- 3.3.** Develop a few key messages about weatherization. These should be brief, to the point, and should show the program is designed to help low income families. The more profound and colorful these statements, the more likely they are to be used by the media as quotes or sound bites.
- 3.4.** Simplify. Be direct and whittle down to the basics. The reporter's job is to tell the story to the public, usually on an 8th-grade level. Most reporters will only have limited knowledge of your work and limited time to prepare the story. The more you simplify it for them, the more likely that the story will be accurate and informative.
- 3.5.** Avoid industry jargon or technical language. You must be understandable to everyone.

Supporting References:

Supersedes: October 27, 2014

Approved by: CEO WAP Staff

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CEO-WAP-607
Media / Communication
Guidelines

Approved: July 1, 2015

- 3.6. If you don't know, say so. It's okay to tell a reporter you don't know the answer to a question. Offer to find out and get back to them. Don't speculate or make up an answer that could turn out to be incorrect.
- 3.7. Always be professional and polite. Anything you say or do can be quoted by the reporter, so don't forget that you are always "on the record" even if you request that it not be "on the record".
- 3.8. Speak slowly. Everyone tends to speak faster than normal when being interviewed. So if you practice speaking slowly, you'll probably end up being just right on camera.
- 3.9. You represent your subgrantee, Colorado Energy Office and the State of Colorado, always keep the message positive.
- 3.10. Don't ask to see a story before it runs. The media typically will not have time for this and generally will not show their stories to their sources ahead of time.
- 3.11. Remember your appearance. If you are doing a TV interview, remember to dress professionally; speak confidently; sit with good posture; don't "talk with your hands".
- 3.12. Weatherization work is visual; therefore TV and newspaper photographers in particular are often interested in getting footage and shots of ongoing work. This is a great way to advertise the program and should be accommodated whenever possible.
- 3.13. Most of the time, reporters are working on straightforward stories that educate the public about what we/you are doing. On occasion, however, a reporter will be working a more complicated or controversial angle. Please contact the CEO if there is any sense that this is an investigative piece, usually by one of the metro TV stations, or any of the larger news organizations, such as the Denver Post. The CEO should be involved in developing a response to a reporter's queries in these circumstances.

4. CEO Name Referencing

When referencing the program to the general public subgrantees should refer to the program as the "Colorado Energy Office Weatherization Program." This includes all advertising, promotional and education materials, as well as, websites, contracts and applications. When referencing the office the name must be fully spelled out when referenced for the first time in written form. After the first reference, the acronym (CEO) may be used. Example: "The City of Golden is partnering with the Colorado Energy Office (CEO) on the Insulate Colorado Program.

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4.1. References to the Colorado Energy Office Weatherization Assistance Program: When referring to a program or project for which the CEO WAP provides funding, partners must include the following:

- 4.1.1. A CEO approved description of the CEO WAP: The CEO WAP is a federally funded program managed by the CEO that seeks to improve the comfort, safety and energy efficiency of Colorado’s low-income housing stock. The CEO will also need to be recognized as a program funder; please use the speaking points listed in Attachment 1.
- 4.1.2. A link to the CEO website (or the site address if not online) www.colorado.gov/energy

4.2. The CEO WAP staff will provide a variety of uniform statewide outreach materials to each subgrantee. Any other Weatherization Program outreach materials created by a subgrantee must be done in conjunction with, and have approval from, the CEO WAP communications staff to avoid overlap and inconsistency.

The CEO reserves the right to require specific messaging and design be used in materials that are not created by its office when the materials are promoting the Weatherization Program. In addition, the CEO logo must be included on a partner’s website, electronic documents, and printed materials if they are promoting the Weatherization Program. All printed materials promoting the Weatherization program must be reviewed and approved by the CEO communications team prior to use. Please see Policy CEO WAP 202.

5. The Colorado Energy Office Logo

The CEO logo consists of the official seal of the State of Colorado, along with the entire name of the office. A color or black and white version is available. The logo is not to be changed in any way. See Attachment 2 for examples.

- 5.1. At no time should the CEO logos be copied from the CEO’s website. Properly formatted logos can be obtained using the CEO’s Share Point server, or by contacting a member of the CEO communications team.
- 5.2. Improper use of the logos:
 - 5.2.1. Do not condense, extend, distort, crop or redraw any part of the logo.
 - 5.2.2. Do not infringe on the white space around the logo.
 - 5.2.3. Do not use the logo within text.
 - 5.2.4. Do not change the proportion of the State Seal and the name of the office.
 - 5.2.5. Do not split apart any elements of the logo.

6. Publications

An acknowledgment of Federal support and a disclaimer must appear in the publication

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of any material, whether copyrighted or not, based on or developed under this grant, as follows:

- 6.1. Acknowledgment:** "This material is based upon work supported by the Department of Energy under Award Number DE-EE0000095."
- 6.2. Disclaimer:** "This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof."

7. Partner Communications Checklist

This communication checklist should be used as a guide to help you spread the word about efforts and partnership with the CEO.

- 7.1.** Designate one person within your organization to be responsible for communicating and marketing the program. Make sure this person connects with the CEO communications team, in addition to the CEO WAP program manager.
- 7.2.** Adhere to the standards included in this document.
- 7.3.** Ensure that the program is posted on your website in a relevant and visible location.
- 7.4.** Include announcements about the program in your organization's electronic and printed newsletters. Ask other community organizations to include information in their newsletters as well.
- 7.5.** Work with the CEO Public Information Officer to earn press coverage in your local media outlets.
- 7.6.** Maximize the program's visibility community events, in organization displays or at speaking opportunities.
- 7.7.** If your organization uses ongoing advertising in local publications (newspapers, magazines, etc.) include information about the program in them.
- 7.8.** Consider advertising in local publications.

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- 7.9.** Partner with relevant outlets in your community on advertisements, coupons, announcements and events. Relevant outlets might include:
 - 7.9.1. Grocery stores
 - 7.9.2. Farmers markets
 - 7.9.3. Contractors (insulation installers, solar companies, energy auditors, etc.)
 - 7.9.4. Non-profit organizations
 - 7.9.5. City and/or County departments
 - 7.9.6. University extension outlets
- 7.10.** Add program announcements and events to community event calendars if appropriate.
- 7.11.** If possible, include program information in “bill stuffers”.
- 7.12.** Run information about the program on your community public access channel.
- 7.13.** Announce program information in new or ongoing public radio announcements.
- 7.14.** Gather success stories resulting from the program and highlight them through case studies, features in publications and as website content.
- 7.15.** Work with the CEO communications team to ensure that your correct organization information is posted on the CEO website.

Attachment 1 – Media Speaking Points for Local Agencies

Attachment 2 – CEO and Weatherization Program Logo examples:



COLORADO
Energy Office

Weatherization Works:

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1. Overview

- 1.1. The Building Weatherization Report (BWR) is used to record all production information and data collected by subgrantees for units weatherized through the Colorado Energy Office Weatherization Assistance Program (CEO WAP). Each entry in the BWR is called a “Job”. The BWR resides in the larger “WAP Database”.
- 1.2. It is each subgrantee’s responsibility to enter data into the BWR. Data must be entered accurately and completely as outlined in this policy.
- 1.3. The subgrantee is required to enter any jobs that have a status of Wait List, Work in Progress, Closed, Disqualified, or Walkaway.
- 1.4. All Wait List jobs must be entered into the WAP Database for targeting purposes.
- 1.5. The due date for BWR entry is the 15th of the month following the month when jobs are closed. If the 15th falls on a weekend or holiday, the BWRs will be due on the closest preceding work day.
- 1.6. The data collected through the BWR is highly valuable and very important for monitoring and decision making within the CEO WAP. Consequently, the CEO WAP will conduct BWR audits to ensure data quality. Subgrantees who are found to be entering data incorrectly or incompletely will be notified and asked to fix previously completed BWRs, as well as enter future BWR data as described in this policy.

2. BWR Sections and Fields

2.1. Job Detail

- 2.1.1. Job Number: This field allows the subgrantee to apply a unique identifier to the job. The job number format is determined by each subgrantee's internal policies and procedures.
- 2.1.2. Funding Source: This field allows the subgrantee to apply a specific funding source to the job. This funding source allows the subgrantee to specify from where the job will be funded. All jobs must choose only one funding source; jobs may not be split between multiple funding sources.
- 2.1.3. Job Status: This field allows the subgrantee to identify in which stage of the process the job currently sits. Job statuses include: Pending, Wait List, Audit Complete, Work in Progress, Closed, Disqualified, and Walkaway.

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- 2.1.4. Target Date: This field allows the subgrantee to enter in an expected completion date. This field is meant to help the subgrantee organize their jobs within the CEO WAP database.
- 2.1.5. Transfer Month: This field allows the subgrantee to select in which month the job was closed. All closed jobs must have a transfer month entered. transfer month should not be entered until the job is closed.
- 2.1.6. Region: This field records to which subgrantee the job belongs.
- 2.1.7. Program Year: This field allows the subgrantee select which program year the job belongs to. Each program year runs from July 1 through June 30.

2.2. Unit Details

- 2.2.1. Unit Address 1: This field allows the subgrantee to enter the street address for the unit being weatherized.
- 2.2.2. Unit Address 2: This field allows the subgrantee to enter the apartment, suite, or other non-street address number for the unit being weatherized. All such numbers must be listed in the Address 2 field and not the Address 1 field.
- 2.2.3. Unit City: This field allows the subgrantee to enter the city for the unit being weatherized.
- 2.2.4. Unit County: This field allows the subgrantee to enter the county for the unit being weatherized.
- 2.2.5. Unit Zip Code: This field allows the subgrantee to enter the 5-digit zip code for the unit being weatherized.
- 2.2.6. Unit State: This field is automatically set to "CO" for Colorado.
- 2.2.7. Unit Structure Type: This field allows the subgrantee to select the structure type for the unit being weatherized. Structure type options include: Single Site Built, Duplex Site Built, Triplex Site Built, Fourplex Site Built, Multifamily (5+), and Manufactured.
- 2.2.8. Unit Year Built: This field allows the subgrantee to enter the year which the unit was built based on official records.
- 2.2.9. Unit Square Footage: This field allows the subgrantee to enter the total area of conditioned space within the unit.
- 2.2.10. Re-Weatherized: This field allows the subgrantee to select whether the unit has been re-weatherized. Any re-weatherized units must have been weatherized prior to October 1, 1994. No units can be re-weatherized if the previous weatherization occurred after September 30, 1994.

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- 2.2.11. Unit has central air conditioner: This field allows the subgrantee to select whether the unit has a central air conditioning system.
- 2.2.12. Unit has Internet: This field allows the subgrantee to select whether the unit has broadband internet in the home.
- 2.2.13. Number of household residents: This field allows the subgrantee enter the total number of residents living in the household at the time of application for weatherization.
- 2.2.14. Number of residents 60 and over: This field allows the subgrantee to enter the total number of residents aged 60 years or more living in the household at the time of application for weatherization.
- 2.2.15. Number of residents 5 and under: This field allows the subgrantee to enter the total number of residents aged 5 years or fewer living in the household at the time of application for weatherization.
- 2.2.16. Number of disabled residents: This field allows the subgrantee to enter the total number of residents with qualifying disabilities living in the household at the time of application for weatherization.
- 2.2.17. Number of Native American residents: This field allows the subgrantee to enter the total number of Native American residents living in the household at the time of application for weatherization.
- 2.2.18. High Energy Cost Savings Potential: This field allows the subgrantee to enter whether the unit has high energy cost savings potential (ECSP). This field will be used to identify ECSP units that were selected from the LEAP list based on heating cost.

2.3. Client Details

- 2.3.1. Client First Name: This field allows the subgrantee to enter the first name of the client who is applying for weatherization.
- 2.3.2. Client Last Name: This field allows the subgrantee to enter the last name of the client who is applying for weatherization.
- 2.3.3. Same address as unit: This field allows the subgrantee to auto populate the "Mailing" fields, below, if the unit address and the client's mailing address are the same. Checking this check box will auto-populate the Mailing Address 1, Address 2, Zip Code, City, County, and State Fields with the information entered in the Unit Address fields.
- 2.3.4. Mailing Address 1: This field allows the subgrantee to enter the street mailing address for the client if it is different from the address of the unit being weatherized.

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- 2.3.5. Mailing Address 2: This field allows the subgrantee to enter the apartment, suite, or other non-street mailing address number for the client if it is different from the address of the unit being weatherized. All such numbers must be listed in the Address 2 field and not the Address 1 field.
- 2.3.6. Mailing Zip Code: This field allows the subgrantee to enter the mailing zip code for the client if it is different from the address of the unit being weatherized.
- 2.3.7. Mailing City: This field allows the subgrantee to enter the mailing city for the client if it is different from the address of the unit being weatherized.
- 2.3.8. Mailing County: This field allows the subgrantee to enter the mailing county for the client if it is different from the address of the unit being weatherized.
- 2.3.9. Mailing State: This field allows the subgrantee to enter the mailing state for the client if it is different from the address of the unit being weatherized.
- 2.3.10. Client Email Address: This field allows the subgrantee to enter the client's email address.
- 2.3.11. Client Phone Number: This field allows the subgrantee to enter the client's phone number.
- 2.3.12. Application Date: This field allows the subgrantee to record the date on which the completed application was approved.
- 2.3.13. Client Qualification: This field allows the subgrantee to enter the client's qualification for weatherization. Qualifications include: LEAP, Income, TANF, SNAP, SSI, OAP, Building Owner, Policy 307, AND, SSID, and Food Stamps.
- 2.3.14. HHN: This field allows the subgrantee to enter the client's LEAP HHN. All clients who qualify through LEAP must have an HHN entered.
- 2.3.15. Client Type: This field allows the subgrantee to enter the client's type: Renter or Owner.
- 2.3.16. Client Income: This field allows the subgrantee to enter the client's annual income as verified on their weatherization application. This value is used to calculate the value of the Percent of Poverty Level field.
- 2.3.17. Percent of Poverty Level: This field auto-calculates the client's poverty level based on the client income entered in the Client Income field.

2.4. Utility Details

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- 2.4.1. Heating Utility Fuel Type: This field allows the subgrantee to enter the fuel type for heating in the unit. If the unit uses multiple sources for heat, the subgrantee is required to enter the utility-provided heating source in this field. For example, if a unit simultaneously uses natural gas and wood for heat, the subgrantee should enter natural gas as the heating utility fuel type
- 2.4.2. Heating Utility Name: This field allows the subgrantee to enter the name of the utility which provides the heating fuel listed in the Heating Utility Fuel Type field to the unit. The Heating Utility Name field options are filtered based on the fuel type entered in the Heating Utility Fuel Type field. Propane heated homes should have Propane selected in the Heating Utility Name field.
- 2.4.3. Heating Utility Account Number: This field allows the subgrantee to enter the account number that corresponds to the heating utility.
- 2.4.4. Heating Utility Premise Number: This field allows the subgrantee to enter the premise number that corresponds to the heating utility.
- 2.4.5. Electric Utility Same as Heating: If the unit uses the same utility for both heating and electricity and/or electricity is used as a heating source, the subgrantee can check this field
- 2.4.6. Electric Utility Name: This field allows the subgrantee to enter the name of the utility which provides the electricity to the unit. The Electric Utility Name field options are filtered based on electric provision; only utilities that provide electricity will show up in the dropdown list.
- 2.4.7. Electric Utility Account Number: This field allows the subgrantee to enter the account number that corresponds to the electric utility.
- 2.4.8. Electric Utility Premise Number: This field allows the subgrantee to enter the premise number that corresponds to the electric utility.

2.5. Audit/Inspection Details

- 2.5.1. Auditor: This field allows the subgrantee to select the auditor who performed the audit on the unit to be weatherized. The list of available auditors is filtered based on the Region field; only auditors from the selected region are available for selection.
- 2.5.2. Audit Type: This field allows the subgrantee to select the audit type that was performed on the unit to be weatherized. Audit types include: NEAT, MHEA, Rem Design, TREAT, EA-Quip, and eQuest.

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- 2.5.3. Audit Date: This field allows the subgrantee to enter the date on which the audit was completed.
- 2.5.4. Audit Labor Cost: This field allows the subgrantee to enter the total labor cost incurred in-house to perform the audit. This field can also be used to record the audit cost incurred by a subcontractor as long as the Contractor used for Audit field (see below) is checked.
- 2.5.5. Contractor used for Audit: This field allows the subgrantee to record whether a contractor was used to perform the audit. This field should only be checked if a contractor was used to perform the audit. Any costs incurred by the subgrantee as a result of contracting the audit should be entered in the Audit Labor Cost field (see above).
- 2.5.6. CFM 50 Pre: This field allows the subgrantee to enter the measured CFM 50 Pre value acquired during the audit blower door test. If no blower door test was performed during the audit and/or no CFM 50 Pre Value is entered in the BWR, the subgrantee must check the CFM 50 Pre Not Measured field and provide a reason in the CFM 50 Pre Not Measured Comments field.
- 2.5.7. CFM 50 Pre Not Measured: This field allows the subgrantee to verify that no blower door test was performed during the audit and/or no CFM 50 Pre Value is entered in the BWR. This field must be checked if no blower door test was performed during the audit and/or no CFM 50 Pre Value is entered in the BWR. If this field is checked, the subgrantee must also provide a reason in the CFM 50 Pre Not Measured Comments field.
- 2.5.8. CFM 50 Pre Not Measured Comments: This field allows the subgrantee to enter information as to why CFM 50 Pre was not measured. This field is required if the CFM 50 Pre Not Measured field is checked.
- 2.5.9. CFM 50 Post: This field allows the subgrantee to enter the measured CFM 50 Post value acquired during the audit blower door test. If no blower door test was performed during the audit and/or no CFM 50 Post Value is entered in the BWR, the subgrantee must check the CFM 50 Post Not Measured field and provide a reason in the CFM 50 Post Not Measured Comments field.
- 2.5.10. CFM 50 Post Not Measured: This field allows the subgrantee to verify that no blower door test was performed during the audit and/or no CFM 50 Post value is entered in the BWR. This field must be checked if no blower door test was performed during the audit and/or no CFM 50 Post value is

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- entered in the BWR. If this field is checked, the subgrantee must also provide a reason in the CFM 50 Post Not Measured Comments field.
- 2.5.11. CFM 50 Post Not Measured Comments: This field allows the subgrantee to enter information as to why CFM 50 Post was not measured. This field is required if the CFM 50 Post Not Measured field is checked.
 - 2.5.12. Installation Start Date: This field allows the subgrantee to enter the date on which installation of measures began within the unit.
 - 2.5.13. Installation Completion Date: This field allows the subgrantee to enter the date on which the installation of weatherization measures was completed prior to inspection.
 - 2.5.14. Inspector: This field allows the subgrantee to select the inspector who performed the inspection on the weatherized unit. The list of available inspectors is filtered based on the Region field; only inspectors from the selected region are available for selection.
 - 2.5.15. Inspection Date: This field allows the subgrantee to enter the date on which the inspection was completed.
 - 2.5.16. Inspection Labor Cost: This field allows the subgrantee to enter the total labor cost incurred in-house to perform the inspection. This field can also be used to record the audit cost incurred by a subcontractor as long as the Contractor used for Inspection field (see below) is checked.
 - 2.5.17. Contractor used for Inspection: This field allows the subgrantee to record whether a contractor was used to perform the inspection. This field should only be checked if a contractor was used to perform the inspection. Any costs incurred by the subgrantee as a result of contracting the inspection should be entered in the Inspection Labor Cost field (see above).
 - 2.5.18. Site Visit Count: This field allows the subgrantee to record the total number of individual days that an installation crew visited the site. This count includes both full- and part-days when a crew was present. This number does not include visit counts from auditors, inspectors, or contractors.
 - 2.5.19. Drive/Load Time Labor Cost: This field allows the subgrantee to enter the total labor cost incurred during vehicle drive, load, and unload time before and after any work was performed on a unit.
 - 2.5.20. General Setup/Tear-down Labor Cost: This field allows the subgrantee to enter the total labor cost incurred during unit prep, clean-up, and other ancillary installation tasks, i.e. paperwork, attributable to a job.

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2.5.21. Crew CAZ Testing Labor Cost: This field allows the subgrantee to enter the total labor cost incurred during installation crew daily CAZ testing. This does not include CAZ testing performed by auditors, inspectors, or contractors.

2.6. Contributions

2.6.1. Landlord Contribution: This field allows the subgrantee to enter total contributions provided by the landlord for the job. The amount entered will be the total of all landlord contributions across all measures. In addition to entering the landlord contribution amount, also provide a description of the contribution in the Contribution Description field.

2.6.2. CIP Contribution: This field allows the subgrantee to enter total contributions provided by Crisis Intervention Program (CIP) for the job. The amount entered will be the total of all CIP contributions across all measures. In addition to entering the landlord contribution amount, also provide a description of the contribution in the Contribution Description field.

2.6.3. Other Contribution: This field allows the subgrantee to enter total additional contributions not provided by either the landlord or CIP for the job. The amount entered will be the total of all other contributions across all measures. In addition to entering the landlord contribution amount, also provide a description of the contribution in the Contribution Description field.

2.6.4. Contributions Total: This field is a sum of the Landlord, CIP, and Other Contribution fields. This field is auto-calculated, so the subgrantee does not have to enter anything in this field.

2.6.5. Contribution Description: This field allows the subgrantee to enter in a description of the contributions applied to the job. All individual contributions must be listed here. For example, if the Landlord Contribution field in the total of multiple measures, enter in the measure and the amount applied to that measure in the Contribution Description field.

2.7. Costs

2.7.1. Total EC Labor Cost: This field is a sum of the all Labor Cost fields on individual EC measures. It is auto-calculated, so the subgrantee does not have to enter anything in this field.

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- 2.7.2. Total HS Labor Cost: This field is a sum of the all Labor Cost fields on individual HS measures. It is auto-calculated, so the subgrantee does not have to enter anything in this field.
- 2.7.3. Total Labor Cost: This field is a sum of the Total EC Labor Cost and Total HS Labor Cost fields. It is auto-calculated, so the subgrantee does not have to enter anything in this field.
- 2.7.4. Total EC Materials Cost: This field is a sum of the all Materials Cost fields on individual EC measures. It is auto-calculated, so the subgrantee does not have to enter anything in this field.
- 2.7.5. Total HS Materials Cost: This field is a sum of the all Materials Cost fields on individual HS measures. It is auto-calculated, so the subgrantee does not have to enter anything in this field.
- 2.7.6. Total Materials Cost: This field is a sum of the Total EC Materials Cost and Total HS Materials Cost fields. It is auto-calculated, so the subgrantee does not have to enter anything in this field.
- 2.7.7. Total EC Contractor Cost: This field is a sum of the all Contractor Cost fields on individual EC measures. It is auto-calculated, so the subgrantee does not have to enter anything in this field.
- 2.7.8. Total HS Contractor Cost: This field is a sum of the all Contractor Cost fields on individual HS measures. It is auto-calculated, so the subgrantee does not have to enter anything in this field.
- 2.7.9. Total Contractor Cost: This field is a sum of the Total EC Contractor Cost and Total HS Contractor Cost fields. It is auto-calculated, so the subgrantee does not have to enter anything in this field.
- 2.7.10. Total CBGB Labor Cost: This field is a sum of the all Call-back/Go-back (CBGB) Labor Cost fields on individual CBGB records associated with a given job. It is auto-calculated, so the subgrantee does not have to enter anything in this field.
- 2.7.11. Total CBGB Materials Cost: This field is a sum of the all CBGB Materials Cost fields on individual CBGB records associated with a given job. It is auto-calculated, so the subgrantee does not have to enter anything in this field.
- 2.7.12. Total CBGB Contractor Cost: This field is a sum of the all CBGB Contractor Cost fields on individual CBGB records associated with a given job. It is auto-calculated, so the subgrantee does not have to enter anything in this field.

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- 2.7.13. Gross Total Cost: This field is a sum of Total Labor Cost, Total Materials Cost, and Total Contractor Cost fields. It is auto-calculated, so the subgrantee does not have to enter anything in this field. This field does not sum CBGB, Audit Labor Cost, Inspector Labor Cost, Drive/Load Time Labor Cost, General Setup/Teardown Labor Cost, or Crew CAZ Testing Labor Cost fields.
- 2.7.14. Net Total Cost: This field is Gross Total Cost minus the total amount of all contributions applied to the job. It is auto-calculated, so the subgrantee does not have to enter anything in this field.
- 2.7.15. Additional Labor Cost: This field is a sum of Audit Labor Cost, Inspector Labor Cost, Drive/Load Time Labor Cost, General Setup/Teardown Labor Cost, and Crew CAZ Testing Labor Cost fields. It is auto-calculated, so the subgrantee does not have to enter anything in this field.

2.8. Measures

2.8.1. Measure Types

- 2.8.1.1. Air Leakage: This measure is for recording information for installation of air sealing. All information for air sealing installation must be recorded in this measure and not in any other measure.
- 2.8.1.2. ASHRAE Fan: This measure is for recording information for installation of ASHRAE fans. All information for ASHRAE fan installation must be recorded in this measure and not in any other measure.
- 2.8.1.3. Attic Insulation: This measure is for recording information for installation of attic insulation. If multiple sections of attic are insulated, multiple attic insulation measures must be created. All information for attic insulation installation must be recorded in this measure and not in any other measure.
- 2.8.1.4. Duct Insulation: This measure is for recording information for installation of duct insulation. All information for duct insulation installation must be recorded in this measure and not in any other measure.
- 2.8.1.5. EC Incidental Repairs: This measure is for recording information for installation of materials for incidental repairs for the purpose of energy conservation. An incidental repair is any repair that needs to be completed before an associated EC measure can be installed. For example, an electrical issue in the attic that needs to

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be repaired before insulation can be installed would be classified as an EC Incidental Repair. All information for incidental repairs must be recorded in this measure and not in any other measure. The subgrantee must provide a description of the incidental repairs in this measure's Description field.

- 2.8.1.6. EC Other: This measure is for recording information for the installation of materials for the purpose of energy conservation which do not fit into any other measure. For example, performing a furnace tune-up would be classified as EC Other. The subcontractor must provide a description of the work done in this measure's Description field.
- 2.8.1.7. Furnace/Boiler: The Furnace/Boiler measure is for recording information for new, replacement furnaces and boilers or the installation of an electronically commutated motor (ECM) on an existing furnace. Repairs to furnaces and boilers need to be recorded in either the EC Other or HS Necessary Repairs fields.
- 2.8.1.8. Health and Safety: This measure is for recording information for installation of any health and safety measure not represented by other measures. This includes but is not limited to HS furnace repairs, HS water heater repairs, and costs associated with repairs that are necessary to install other health and safety measures. This measure must not be used to record costs of ASHRAE fans, new HS furnace installation, or new HS water heater installation; these costs are recorded within their own measures.
- 2.8.1.9. Low Cost: This measure is for recording information for installation of any materials that are included in the Low Cost measure. Low Cost measure materials include: CFLs, LEDs, bath aerators, kitchen aerators, showerheads, thermostats, water heater blankets, and water heater pipe insulation. All information for low cost materials installation must be recorded in this measure and not in any other measure.
- 2.8.1.10. Pipe Insulation: This measure is for recording information for installation of pipe insulation. Note that information for the installation of materials for the required water heater pipe insulation is to be recorded in the Low Cost measure and not in this measure. All information for pipe insulation materials

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installation not contained in the Low Cost measure must be recorded in this measure and not in any other measure.

2.8.1.11. Refrigerator: This measure is for recording information for installation of a new, replacement refrigerator. All information for refrigerator installation must be recorded in this measure and not in any other measure.

2.8.1.12. Replacement Windows: This measure is for recording information for the installation of replacement windows. All information for replacement window installation must be recorded in this measure and not in any other measure.

2.8.1.13. Storm Windows: This measure is for recording information for the installation of storm windows. All information for storm window installation must be recorded in this measure and not in any other measure.

2.8.1.14. Subspace Insulation: This measure is for recording information for the installation of subspace insulation. All information for subspace installation must be recorded in this measure and not in any other measure.

2.8.1.15. Wall Insulation: This measure is for recording information for the installation of wall insulation. All information for wall installation must be recorded in this measure and not in any other measure.

2.8.1.16. Water Heater: This measure is for recording information for new, replacement water heaters. Repairs to water heaters need to be recorded in either the EC Other or HS Necessary Repairs fields.

2.8.2. Shared Measure Fields

2.8.2.1. Labor Rate: This field allows the subgrantee to enter the hourly rate for installation of a measure.

2.8.2.2. Labor Hours: This field allows the subgrantee to enter the total number of labor hours spent on the measure. The hours entered here will be multiplied by the rate entered in the Labor Rate field to determine the total measure labor cost.

2.8.2.3. Labor Cost: This field auto-calculates the total labor cost for the measure based on the multiplication of Labor Rate x Labor Hours.

2.8.2.4. Materials Cost: This field allows the subgrantee to enter the total material cost of the measure. Because it is auto-calculated, the subgrantee does not have to enter anything in this field.

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Additionally, any permitting costs associated with a measure should be included in the Materials Cost field.

- 2.8.2.5. Contractor Cost: This field allows the subgrantee to enter the total contractor cost of the measure.
- 2.8.2.6. Description: This field allows the subgrantee to enter additional information about the measure, if necessary.
- 2.8.2.7. BWx Job: This field is auto-calculated with the value from the Job Number field from the BWR. The subgrantee must not enter anything in this field.
- 2.8.2.8. EC/HS: This field is auto-calculated for all measures except the Furnace/Boiler and Water Heater measures. If the measure is Furnace/Boiler or Water Heater, the subgrantee must select either EC or HS. Otherwise, the subgrantee does not have to enter anything in this field.
- 2.8.3. **Unique Measure Fields**
 - 2.8.3.1. **Attic Insulation**
 - 2.8.3.1.1. R-Value Pre: This field allows the subgrantee to enter the R-Value for the insulation that was present prior to weatherization. This value must be a whole number.
 - 2.8.3.1.2. R-Value Post: This field allows the subgrantee to enter the new R-Value for the insulation that was a result of weatherization. This value must be a whole number.
 - 2.8.3.1.3. Insulation Quantity: This field allows the subgrantee to enter square foot quantity for the insulation that was installed during weatherization. This value must be a whole number.
 - 2.8.3.2. **Duct Insulation**
 - 2.8.3.2.1. R-Value Pre: This field allows the subgrantee to enter the R-Value for the insulation that was present prior to weatherization. This value must be a whole number.
 - 2.8.3.2.2. R-Value Post: This field allows the subgrantee to enter the new R-Value for the insulation that was a result of weatherization. This value must be a whole number.
 - 2.8.3.2.3. Insulation Quantity: This field allows the subgrantee to enter linear foot quantity for the insulation that was

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installed during weatherization. This value must be a whole number.

2.8.3.3. Furnace/Boiler

2.8.3.3.1. Efficiency Pre: This field allows the subgrantee to enter efficiency for the furnace or boiler that was present prior to weatherization. This value must be a whole number.

2.8.3.3.2. Efficiency Post: This field allows the subgrantee to enter efficiency for the furnace or boiler that was installed during weatherization. This value must be a whole number.

2.8.3.3.3. Furnace has ECM/ECM Installed: This field allows the subgrantee to identify if the new furnace has an ECM or if an ECM was installed on an existing furnace.

2.8.3.3.4. Furnace/Boiler Manufacturer: This field allows the subgrantee to identify the manufacturer of the new furnace or boiler.

2.8.3.3.5. Furnace/Boiler Model Number: This field allows the subgrantee to identify the model number of the new furnace or boiler.

2.8.3.3.6. Furnace/Boiler: This field allows the subgrantee to identify if the unit replaced is a furnace or a boiler.

2.8.3.4. Health and Safety

2.8.3.4.1. CO Detector(s) Installed: This field allows the subgrantee to enter the number of CO detectors installed during weatherization.

2.8.3.4.2. Smoke Detector(s) Installed: This field allows the subgrantee to enter the number of smoke detectors installed during weatherization.

2.8.3.4.3. Dryer Vent Installed: This field allows the subgrantee to identify whether a dryer vent was installed during weatherization.

2.8.3.4.4. Vapor Barrier Installed: This field allows the subgrantee to identify whether a vapor barrier was installed during weatherization.

2.8.3.4.5. Combustion Appliance(s) Repaired: : This field allows the subgrantee to identify whether any combustion appliances were repaired during weatherization.

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2.8.3.5. Low Cost

- 2.8.3.5.1. CFL Bulb Quantity: This field allows the subgrantee to enter the number of CFL light bulbs that were installed during weatherization. This value must be a whole number.
- 2.8.3.5.2. LED Bulb Quantity: This field allows the subgrantee to enter the number of LED light bulbs that were installed during weatherization. This value must be a whole number.
- 2.8.3.5.3. Bathroom Aerator Flow Pre: This field allows the subgrantee to enter flow rate in gallons per minute (GPM) for the bathroom aerator that was present prior to weatherization. If no bathroom aerator was present, a value of 10 must be entered. If multiple bathroom aerators were present, enter the value from the bathroom aerator with the lowest flow rate.
- 2.8.3.5.4. Bathroom Aerator Flow Post: This field allows the subgrantee to enter flow rate in gallons per minute (GPM) for the bathroom aerators that were installed during weatherization.
- 2.8.3.5.5. Bathroom Aerator Quantity: This field allows the subgrantee to enter the number of bathroom aerators that were installed during weatherization. This value must be a whole number.
- 2.8.3.5.6. Kitchen Aerator Flow Pre: This field allows the subgrantee to enter flow rate in gallons per minute (GPM) for the kitchen aerator that was present prior to weatherization. If no kitchen aerator was present, a value of 10 must be entered. If multiple kitchen aerators were present, enter the value from the kitchen aerator with the lowest flow rate.
- 2.8.3.5.7. Kitchen Aerator Flow Post: This field allows the subgrantee to enter flow rate in gallons per minute (GPM) for the kitchen aerators that were installed during weatherization.
- 2.8.3.5.8. Kitchen Aerator Quantity: This field allows the subgrantee to enter the number of kitchen aerators that were installed during weatherization. This value must be a whole number.
- 2.8.3.5.9. Showerhead Flow Pre: This field allows the subgrantee to enter flow rate in gallons per minute (GPM) for the

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- showerhead that was present prior to weatherization. If no showerhead was present, a value of 10 must be entered. If multiple showerheads were present, enter the value from the showerhead with the lowest flow rate.
- 2.8.3.5.10. Showerhead Flow Post: This field allows the subgrantee to enter flow rate in gallons per minute (GPM) for the showerheads that were installed during weatherization.
 - 2.8.3.5.11. Showerhead Quantity: This field allows the subgrantee to enter the number of showerheads that were installed during weatherization. This value must be a whole number.
 - 2.8.3.5.12. Non-programmable Thermostats Removed: This field allows the subgrantee to enter the number of existing non-programmable (non-setback) thermostats that were removed during weatherization. This value must be a whole number.
 - 2.8.3.5.13. Programmable Thermostats Removed: This field allows the subgrantee to enter the number of existing programmable (setback) thermostats that were removed during weatherization. This value must be a whole number.
 - 2.8.3.5.14. Non-programmable Thermostats Installed: This field allows the subgrantee to enter the number of existing non-programmable (non-setback) thermostats that were installed during weatherization. This value must be a whole number.
 - 2.8.3.5.15. Programmable Thermostats Installed: This field allows the subgrantee to enter the number of existing programmable (setback) thermostats that were installed during weatherization. This value must be a whole number.
 - 2.8.3.5.16. Water Htr Pipe Insulation R-Value Pre: This field allows the subgrantee to enter R-Value for the pipe insulation adjacent to the water heater that was present prior to weatherization. This value must be a whole number.
 - 2.8.3.5.17. Water Htr Pipe Insulation R-Value Post: This field allows the subgrantee to enter R-Value for the pipe insulation adjacent to the water heater that was installed during weatherization. This value must be a whole number.

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2.8.3.5.18. Water Htr Pipe Insulation R-Value Quantity: This field allows the subgrantee to enter linear foot quantity for the insulation that was installed. This value must be a whole number.

2.8.3.5.19. Water Heater Blanket Installed: This field allows the subgrantee to identify the whether a water heater blanket was installed during weatherization by checking the field checkbox.

2.8.3.5.20. Water Heater Blanket R-Value: This field allows the subgrantee to enter R-Value for the water heater blanket that was installed during weatherization. This value must be a whole number.

2.8.3.6. Pipe Insulation

2.8.3.6.1. R-Value Pre: This field allows the subgrantee to enter the R-Value for the insulation that was present prior to weatherization. This value must be a whole number.

2.8.3.6.2. R-Value Post: This field allows the subgrantee to enter the new R-Value for the insulation that was a result of weatherization. This value must be a whole number.

2.8.3.6.3. Insulation Quantity: This field allows the subgrantee to enter linear foot quantity for the insulation that was installed. This value must be a whole number.

2.8.3.7. Refrigerator

2.8.3.7.1. New Refrigerator is EnergyStar Certified: This field allows the subgrantee to identify the new refrigerator as EnergyStar certified by checking the field checkbox.

2.8.3.7.2. Refrigerator Manufacturer: This field allows the subgrantee to identify the manufacturer of the new refrigerator.

2.8.3.7.3. Refrigerator Model Number: This field allows the subgrantee to identify the model number of the new refrigerator.

2.8.3.8. Replacement Windows

2.8.3.8.1. Window Quantity: This field allows the subgrantee to enter the number of replacement windows that were installed.

2.8.3.9. Storm Windows

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2.8.3.9.1. Window Quantity: This field allows the subgrantee to enter the number of storm windows that were installed.

2.8.3.10. Subspace Insulation

2.8.3.10.1. Subspace Type: This field allows the subgrantee to identify the type of subspace insulation that was installed. Types include: Belly, Cantilever, Crawlspace Floor, Garage Ceiling, Perimeter, and Rim.

2.8.3.10.2. R-Value Pre: This field allows the subgrantee to enter the R-Value for the insulation that was present prior to weatherization. This value must be a whole number.

2.8.3.10.3. R-Value Post: This field allows the subgrantee to enter the new R-Value for the insulation that was a result of weatherization. This value must be a whole number.

2.8.3.10.4. Insulation Quantity: This field allows the subgrantee to enter square foot or linear quantity for the insulation that was installed. Subspace types that use the square foot unit include Belly, Cantilever, Crawlspace Floor, and Garage Ceiling. Subspace types that use the linear foot unit include Perimeter and Rim. This value must be a whole number.

2.8.3.11. Wall Insulation

2.8.3.11.1. R-Value Pre: This field allows the subgrantee to enter the R-Value for the insulation that was present prior to weatherization. This value must be a whole number.

2.8.3.11.2. R-Value Post: This field allows the subgrantee to enter the new R-Value for the insulation that was a result of weatherization. This value must be a whole number.

2.8.3.11.3. Insulation Quantity: This field allows the subgrantee to enter square foot quantity for the insulation that was installed. This value must be a whole number.

2.8.3.12. Water Heater

2.8.3.12.1. Water Heater Energy Factor Pre: This field allows the subgrantee to enter the energy factor of the water heater that was present prior to weatherization. This value must be a two decimal number less than 1.

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- 2.8.3.12.2. Water Heater Energy Factor Post: This field allows the subgrantee to enter the energy factor of the water heater that was present after weatherization was completed. This value must be a two decimal number less than 1.
- 2.8.3.12.3. Water Heater Manufacturer: This field allows the subgrantee to identify the manufacturer of the new water heater.
- 2.8.3.12.4. Water Heater Model Number: This field allows the subgrantee to identify the model number of the new water heater.

2.9. Notes & Attachments

- 2.9.1. Notes: This section allows the subgrantee to record comments about the job. Subgrantees are encouraged to use this section to provide additional job information when applicable.
- 2.9.2. Attachments: This section allows the subgrantee to attach electronic files to the BWR. All BWR attachments **MUST** be in PDF format; no other attachment formats are allowed.
 - 2.9.2.1. Subgrantees can attach whatever they need to based on their internal policies and procedures.
 - 2.9.2.2. In addition to the attachments that the subgrantee chooses to make, the following attachments are required by the WAP.
 - 2.9.2.2.1. The Heating Utility Data Consent Form is required if the unit's heating utility is one of the following: Atmos Energy, Black Hills Electric, Black Hills Gas, Colorado Natural Gas, SourceGas, or Xcel Energy.
 - 2.9.2.2.2. Electric Utility Data Consent Form is required if the unit's electric utility is one of the following: Black Hills Electric or Xcel Energy.
 - 2.9.2.2.3. In addition to attaching the Utility Data Consent Form to the BWR, for all Xcel units, the consent forms must be emailed to Xcel and the CEO WAP on a monthly or shorter basis.

2.10. Required Fields

- 2.10.1. Jobs Fields: For the sake of flexibility in data entry, the BWR form does not require that all fields are completed. However, this policy requires that as many fields as can be completed are completed. More specifically, the

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following Jobs fields must be completed for each BWR with a "Closed" status:

Field	Always Required	Required if Data is Available	Required if Clarification is Necessary	Optional	Auto Calculates	Comment
Job Number	X					
Funding Source	X					
Job Status	X					
Target Date				X		Subgrantee can use if convenient
Transfer Month	X					
Region	X					
Program Year	X					
Unit Address 1	X					
Unit Address 2		X				
Unit City	X					
Unit County	X					
Unit Zip Code	X					
Unit State					X	
Unit Structure Type	X					
Unit Year Built	X					
Unit Square Footage	X					
Re-Weatherized	X					

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Unit has central air conditioner		X				
Unit has Internet		X				
Number of Household Residents	X					
Number of Residents 60 and Over	X					
Number of Residents 5 and Over	X					
Number of Disabled Residents	X					
Number of Native American Residents	X					
High Energy Cost Savings Potential		X				
Client First Name	X					
Client Last Name	X					
Same as Unit Address		X				
Mailing Address 1		X				
Mailing Address 2		X				
Mailing City		X				
Mailing County		X				

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Mailing State		X				
Mailing Zip Code		X				
Client Email Address		X				
Client Phone Number		X				
Application Date	X					
Client Qualification	X					
HHN		X				
Client Type	X					
Client Income		X				
Percent Poverty Level					X	
Heating Utility Fuel Type	X					
Heating Utility Name	X					
Heating Utility Account Number	X					
Heating Utility Premise Number	X					
Electric Utility Same as Heating	X					
Electric Utility Name	X					
Electric Utility Account Number	X					

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Electric Utility Premise Number	X					
Auditor	X					
Audit Type	X					
Audit Date	X					
Audit Labor Cost	X					
Contractor used for audit		X				
CFM 50 Pre	X					
CFM 50 Pre Not Measured		X				
CFM 50 Pre Not Measured Comments		X				Required if CFM 50 Pre Not Measured is checked
CFM 50 Post	X					
CFM 50 Post Not Measured		X				Required if CFM 50 Post Not Measured is checked
CFM 50 Post Not Measured Comments		X				
Installation Start Date	X					
Installation Completion Date	X					
Inspector	X					
Inspection Date	X					
Inspection Labor Cost	X					

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Contractor used for Inspection		X				
Site Visit Count	X					
Drive/Load Time Labor Cost	X					
General Setup/Tear-down Labor Cost	X					
Crew CAZ Testing Labor Cost	X					
Landlord Contribution		X				
CIP Contribution		X				
Other Contribution		X				
Contribution Total					X	
Contribution Description			X			
Total HS Labor Cost					X	
Total EC Labor Cost					X	
Total Labor Cost					X	
Total HS Materials Cost					X	
Total EC Materials Cost					X	
Total Materials Cost					X	

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Total HS Contractor Cost					X	
Total EC Contractor Cost					X	
Total Contractor Cost					X	
Total CBGB Labor Cost					X	
Total CBGB Materials Cost					X	
Total CBGB Contractor Cost					X	
Total CBGB Cost					X	
Gross Total Cost					X	
Net Total Cost					X	
Additional Labor Cost					X	

2.10.2. Measure fields: When a measure is created, all measure fields, with the exception of the Description field and the auto-calculated Labor Cost field must be completed.

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1. Abstract

The following criteria and procedures are offered to provide a better understanding of the subgrantee’s responsibilities and authority in regards to re-weatherization work allowable under this policy.

1.1. Keywords: call back, go back, warranty, deferral, production, reporting

2. Overview

3. It is the policy of the Colorado Energy Office Weatherization Assistance Program (CEO WAP) that every completed and reported unit meet all applicable requirements of the CEO WAP Field Policies and Procedures, and that the work performed continues to function as intended for at least one year, excluding abuse, lack of normal maintenance, fire or other unusual circumstances of accident or weather. Some problems that may arise are covered by 10 CFR 440.18e (2) while other situations may be less clear.

4. Definitions

4.1. Call Back: is a unit which requires corrective work after the grant period during which the work was originally performed has closed.

4.2. Go Back: is a unit which requires corrective work during the grant period in which the work was originally performed.

4.3. Warranty Period: Per Colorado Field Guide 2.6, a minimum 1-year warranty for materials, workmanship, and serviceability will be provided to occupants upon completion of work.

5. Call Back and Go Back Procedures

If the client requests a Call Back or a Go Back, the subgrantee must determine that the problems are a result of substandard workmanship, materials, or failure to meet CEO WAP Standards and Guidelines.

5.1. “Correction”: includes redressing measures reported on the original BWR, or measures unjustifiably omitted from the original work but were allowable according to the CEO WAP Field Policies and Procedures in effect at the time.

5.2. If the subgrantee determines that the failure is a result of substandard workmanship or materials, the cost for the correction of the problem are to be explored and the proper steps are to be taken to correct the situation.

5.3. If a subcontractor was involved and the subgrantee determines that responsibility for the Call Back/Go Back lies with the subcontractor, the subgrantee should pursue the resolution with the subcontractor.

5.4. The subgrantee must determine whether its liability insurance can cover the problem and, if so, to what extent will it pay for the corrections.

Supporting References:

10 CFR 440.18(e) (2), WPN 11-03, CEO-WAP-103, CFG 2.6, SWS 2.0702.1a

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6. Reporting Call Backs and Go Backs

Subgrantee will be responsible for the remedy of all Call Back or Go Back issues per DOE standards 10 CFR 440.18e.

6.1. General Reporting Requirements: Subgrantee will enter all Go Backs and Call Backs by the standard reporting deadline of the 18th of each month. Subgrantee will be reimbursed by submitting the standard monthly invoice. Allowable expenses include labor, materials and other WAP allowable costs.

6.2. CEO WAP Database: Both Call Backs and Go Backs must be reported in CEO WAP Database as soon as they are completed.

6.2.1. Instructions for reporting a Call Back or Go Back in CEO WAP Database:

- Open the Call or Go Back list
- Click on the Add New Item link at the bottom of the page
- Enter in the following information:
 - Job Number of for the unit where the Call Back or Go Back is being performed
 - Attachments associated
 - Funding source, this should always be CEO-WX
 - Type of Return, either Call Back or Go Back
 - Month the Call Back or Go Back was completed and will be accounted for in the fiscal report
 - Date Entered is the date on which the Call or Go Back list form is completed
 - Region where the Call Back or Go Back is being performed
 - Program Year Actual program year that the Call Back or Go Back occurred, not the original date that the work was completed
 - Material Cost of the Call Back or Go Back
 - Labor Cost of the Call Back or Go Back
 - Contractor Cost of the Call Back or Go Back
 - Reason for the Call Back or Go Back
 - Append-Only comments
 - Whether or not the Call Back or Go Back has been Paid to the subgrantee, to be entered by CEO
- Click the Save button at the top of the page.

Supporting References:

10 CFR 440.18(e) (2), WPN 11-03, CEO-WAP-103, CFG 2.6, SWS 2.0702.1a

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6.3. Funding Source for CEO Reimbursement: Per DOE WPN 11-03 federal funding cannot be used for any Call Backs or Go Backs. The CEO has elected to use a non-federal funding source for reimbursement (CEO-WX). Grantees must coordinate with their financial office to ensure proper accounting methods are followed.

6.4. Waiver Process: In the event that it is necessary for an subgrantee to use federal funds for Call Backs/Go Backs, the subgrantee shall submit a waiver to the CEO providing the following information:

- 6.4.1. Number of units in question
- 6.4.2. Total costs associated with Go Back/Call Back work
- 6.4.3. Date in which the unit(s) was reported to the CEO as complete
- 6.4.4. Description of item to be treated as the Go Back/Call Back

6.5. Client File: Subgrantee will be responsible for keeping appropriate backup documentation associated with the Call Back or Go Back in the client file. After repairs are completed and inspected the unit and all associated costs the CEO WAP will resubmit the unit(s) to DOE in the month that the final work was completed.

7. Re-weatherization Due to “Fire, Flood or Act of God”

If the client’s request for a Call Back or Go Back is a result of damage by fire, flood or act of God and repair for the damage to WAP materials is not paid for by insurance:

- 7.1.** The subgrantee must request a waiver from the CEO WAP staff to correct the damage to WAP materials using currently available CEO WAP funding at the local level.
- 7.2.** Unit will not count as new and will not count toward subgrantee unit production minimums. Cost will be included in per unit averages and material percentage calculations, and charged to the appropriate budget categories of the current grant.

Supporting References:

10 CFR 440.18(e) (2), WPN 11-03, CEO-WAP-103, CFG 2.6, SWS 2.0702.1a

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1. Discussion

Subgrantees of the Colorado Energy Office Weatherization Assistance Program (CEO WAP) are responsible for obtaining access to fuel consumption data on all units served.

1.1. Keywords: fuel, utility, consumption, landlord, data.

2. Consumption Data

It is the responsibility of the subgrantee to establish a procedure for assuring that rents shall not be increased because of the increased value of the dwelling units that WAP assistance provided. The CEO WAP has prepared a Landlord Permission Form that includes a statement that there may be no rent increase on the unit due to the increased value WAP provides. The Landlord Permission Form is to be signed by the landlord or an authorized agent and retained in each client file in a rental living situation. This agreement must be completed before approving the client's application. See the CEO WAP Application, appendix to policy CEO-WAP-301.

- 2.1.** Subgrantees will collect pre-weatherization utility consumption data and evaluate prior to weatherization. This data can assist in targeting services that will have the greatest impact (return on investment).
- 2.2.** This data is to include the time period from January 1,2010 to December 31, 2019
- 2.3.** Subgrantees are to submit utility data consent forms for each job closed during the prior calendar month to the CEO WAP along with the monthly fiscal report.
- 2.4.** The CEO WAP may elect to retrieve post-weatherization consumption data on randomly selected units in order to perform energy savings evaluations.

Attachment 1: Utility Data Consent Form

Supporting References: 10 CFR 440.21

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Approved by: CEO WAP Staff

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1. Abstract

Subgrantees shall prepare and submit a building weatherization report (BWR) in the Colorado Weatherization Assistance Program (CEO WAP) database for each unit where a rebate-able measure is completed. It is important that all measure data be entered correctly.

1.1. Keywords: rebate, reporting, BWR, utility

2. Overview

Rebate-able measures are defined by participating utilities. The amount of the rebate and the criteria to qualify for the rebate are also defined by participating utilities. Budget and contract performance period vary by each utility.

3. Participating Utilities

Participating utilities may include Black Hills Energy-Electric, Black Hills Energy-Gas, Delta-Montrose Electric Association, Energy Outreach Colorado (on behalf of Atmos Energy, Colorado Natural Gas, SourceGas, and Xcel Energy), Gunnison County Electric Association, Holy Cross Energy, Poudre Valley Rural Electric Association, San Miguel Power Association, and United Power. See Utility Contribution Summary (Attachment 1).

Attachment 1: Utility Contribution Summary

Supporting References:	CEO WAP Fund Memorandum	
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