STATE OF MISSOURI
DEPARTMENT OF NATURAL RESOURCES
DIVISION OF ENERGY

WEATHERIZATION PROGRAM
OPERATIONS MANUAL

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December 2019
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Section 1 – Subgrantee Overview

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A. Community Action Agencies

- Central Missouri Community Action (CMCA)
- Community Action Agency of Greater Kansas City (CAAGKC)
- Community Action Agency of St. Louis County (CAASTLC)
- Community Action Partnership of North Central Missouri (CAPNCM)
- Community Action Partnership of Northeast Missouri (CAPNEMO)
- Community Services Inc. of Northwest Missouri (CSI)
- Delta Area Economic Opportunity Corporation (DAEOC)
- East Missouri Action Agency, Inc. (EMAA)
- Economic Security Corporation of Southwest Area (ESC)
- Jefferson Franklin Community Action Corporation (JFCAC)
- Missouri Ozarks Community Action, Inc. (MOCA)
- Missouri Valley Community Action Agency (MVCAA)
- North East Community Action Corporation (NECAC)
- Ozark Action, Inc. (OAI)
- Ozarks Area Community Action Corporation (OACAC)
- South Central Missouri Community Action Agency (SCMCAA)
- West Central Missouri Community Action Agency (WCMCAA)

B. Not-For-Profit Organizations

- Urban League of Metropolitan St. Louis (ULMSL)

(See Attachment 1-1 for a listing of subgrantees and a map of subgrantee service areas.)

(See Attachment 1-2 for a listing of WAP Administrative Office Addresses and Contacts.)

II. Subgrantee Selection

A. Pre-Award Solicitation

Upon occasions when the Missouri Department of Natural Resources’ Division of Energy (DE) may seek WAP sub-recipients, interested organizations will be solicited through a competitive Request For Proposal (RFP) issued by the Division of Energy.

1. Required Documentation

An organization must submit a detailed plan describing how it will operate the Program. It must also meet basic program requirements to qualify as a potential candidate. The basic criteria include, but are not limited to:
a) Proof of adequate bonding
b) Proof of ability to secure adequate insurance
c) Completed Certificate Regarding Debarment, Suspension and Other Responsibility Matters and Drug-Free Workplace Requirements
d) Signed lobbying form
e) An Organization’s Articles of Incorporation, its organizational chart, and names of persons authorized to sign on its behalf
f) Certificate of Good Standing and documentation supporting its legal status with the Missouri Secretary of State’s office
g) Credit references and proof of financial solvency

2. Evaluation Criteria
a) Weatherization, renovation, and/or energy efficiency experience
b) Descriptions and number of years of experience in weatherization, renovation, and/or energy efficiency activities
c) Performance records: Number of homes completed and documentation of successful completions
d) Number, qualifications and experience of staff in rating energy conservation measures and/or residential weatherization/renovation activities
e) Program management experience
   i) Description and number of years of management experience of the organization
   ii) Qualification and experience of management staff
   iii) Contract/subcontract management experience
   iv) Ability to secure volunteers and/or public service employment workers in accord with the Workforce Investment Act (WIA), formerly known as the Job Training and Protection Act (JTPA), if such employees are available
   v) Fiscal Accountability – Agency’s ability to show sound fiscal and accounting procedures and its ability to present the results of past fiscal audits, if applicable
   vi) Client Outreach – Strategy, experience and ability of the organization’s outreach, marketing of program services, and enrollment of clients
   vii) Assisting Low-Income Populations – Agency’s record in assisting low-income families in the planned service area
   viii) Organizational Assets – Ability to dedicate and/or contribute an agency’s financial and/or in-kind program assets to the WAP such as: administrative support, personnel, office space, equipment, supplies, tools, and other related assets
   ix) Supplemental funds – Ability to use non-WAP funds in conjunction with WAP funds in servicing eligible homes. Supplemental funds can be used to implement renovation on both WAP-eligible and non-WAP-eligible energy conservation measures.
3. Requirement for a Public Hearing

DE will evaluate all proposals, make a preliminary selection, and hold a public hearing. After reviewing comments from the public hearing, a final decision based on the results will be announced.

B. Post Award Probation Period

An organization selected to assume a service area will be placed on a one year probationary period by DE. Probationary periods may be shortened or lengthened at the discretion of DE, based on the organization’s ability and capacity to meet client service objectives and comply with the technical and administrative WAP requirements. The organization must be able to document that they have the number of eligible client homes to weatherize to meet their production goals. An eligible client is one who has requested WAP services and has been “certified eligible”, which means the client (1) is income eligible; (2) has not been previously serviced through the WAP (unless he or she is eligible for re-weatherization); and (3) resides in the area to be served.

III. Subgrantee Monitoring

As the granting agency for the statewide administration of the WAP, DE is responsible for monitoring the performance of each local WAP subgrantee. Monitoring enables DE to determine if the residents of Missouri are being adequately served, and if the WAP is being operated in compliance with federal and state regulations and requirements. Information obtained by the monitoring effort is used to determine the subgrantee’s:

- Internal controls and processes
- Training and technical assistance needs
- Fiscal stability
- Production rates
- Compliance with federal and state regulations and requirements
- Quality of weatherization work performed on their clients’ homes

Monitoring also allows to recommend proactive measures to improve program operations.

A. Problem Resolution

A variety of problems may arise during the course of a program year which may require different methods of resolution. Most problems can be placed into one of four categories:

1. Reporting
   Reporting problems can generally be resolved using written communication explaining the problem. Where the problem is significant, an on-site visit will be made to gather the correct data and assist the subgrantee in developing better reporting procedures.
2. **Work Quality**

A work quality problem may be noticed during a field visit. Where significant problems are found in workmanship on the home(s), the subgrantee will be required to return to the home(s) and correct the problem(s). Where a problem is found to be widespread, the subgrantee will be required to notify DE of the resolution to the problem.

3. **Health and Safety**

For health and safety issues, the subgrantee may be required to correct all deficient work and to re-inspect all completed homes with similar concerns, providing regular updates to DE until all concerns are corrected. DE will re-inspect as needed to verify that corrections have been made either through an on-site inspection or by telephone contact with clients.

4. **Fiscal Compliance**

DE will require subgrantees to take corrective action when a subgrantee is not in compliance with the federal and/or state requirements. The action will depend on the nature of the problem. If, for example, a problem involves a disallowed cost, the subgrantee will be required to pay for those disallowed costs with their agency’s non-discretionary funds. DE will require the subgrantee to provide documented evidence of corrective action(s) when DE has determined that the subgrantee is not in compliance.

B. **Monitoring Activities**

DE monitoring activities span four distinct but interrelated areas of program operations:

- Housing quality inspections
- Production and expenditure reviews
- Fiscal and program operations reviews
- Oversight of federal and/or state requirements and regulations

Implementing the DE monitoring system involves:

1. **Desk Monitoring**

A subgrantee is required to submit monthly reimbursement requests to DE through MoWAP by the 10th of the month, or by the first business day after the tenth if the tenth falls on a weekend or a State holiday. If a subgrantee does not have any expenditures or homes to report for a particular month, e-mail notification must be given to the DE WAP Administrative Manager to provide an explanation, prior to the date the report would be due.

Reimbursement to a subgrantee is based on clear, accurate tracking of expenditures and clients served. DE staff review each reimbursement submitted through MoWAP, and provide, if necessary, feedback concerning specific problems a subgrantee may be experiencing in its operations or in its compliance with grant requirements. (See Attachment 1-4; MoWAP Client File Review and Reimbursement Checklist.)
Information is collected to enable DE to gauge if the subgrantee will meet expected program benchmarks and to document issues requiring subgrantee correction.

- Federally designated expenditure categories
- Actual expenditures versus planned expenditures
- Overall expenditure rates by each subgrantee
- Characteristics of completed homes.
- Numbers of completed units per month.
- Health and safety measures and expenditures

2. Fiscal and Procedural Monitoring

DE will visit each subgrantee at least once each program year to review procedural, fiscal and compliance issues. DE will conduct a thorough review of the procedures of the subgrantee by using a standardized and extensive monitoring protocol, and will review subgrantee compliance with federal and state regulations and requirements as specified in the Missouri WAP Annual State Plan and Master files, the Missouri WAP Competitive Procurement Standards, and the DE General Terms and Conditions for Federal Subgrants. The subgrantee’s annual single audit will be reviewed to ensure the audit’s financial schedules match the financial reports that were submitted during the year.

3. Work Quality Monitoring

DE will schedule an on-site visit(s) to a subgrantee as necessary, but at least once per program year, to inspect the quality of work on the homes completed.

Each subgrantee is required to have, at a minimum, one certified energy auditor (BPI Building Analyst Professional), or a Quality Control Inspector (QCI) on staff. Any subgrantee without the required trained and certified energy auditor, or QCI, must submit a corrective action plan to DE, before DE will award a subgrant for the subsequent program year. The corrective action plan must outline steps that the subgrantee is taking to ensure that the QCI inspection requirement will be met. (See WAP Technical Manual – Section X.)

A representative sample of completed homes will be inspected to determine whether or not the work reported and materials installed are in compliance with WAP standards. DE will have the option to inspect additional houses when implementing new measures, or when other concerns arise. Inspection checklists are used to assist DE with on-site inspections. Additional information may be obtained or requested from the subgrantee’s client files to document the findings of the monitoring visit. DE will examine the following:

- Compliance with allowable WAP measures
- Quality of work
- Accuracy of the report concerning the amount of material installed on the home
- Assurance that the initial energy audit and quality control inspection are appropriate, accurate, and complete
- Inspection of materials to ensure they meet federal specifications

DE may also perform follow-up reviews of homes where additional work or corrective measures were required as a result of past DE inspections.
4. **Annual Single Audit Review**

Each subgrantee is required to have an annual independent fiscal audit, in accordance with 2 CFR 200. A copy of the audit must be submitted to DE within nine months from the end of the agency’s fiscal year, or thirty days from the date the final report is received by the agency from the audit firm. This audit shall document expenditures and compliance with regulations and requirements.

The audit firm shall use the schedules found in the WAP audit guide to present the required financial data. Results are compared to the subgrant and monthly reimbursements. (See Section 4 and Section 4 Attachments for additional information.)

IV. **Notification of Personnel Changes**

DE provides regular communication to subgrantees such as funding information, technical assistance, and required reports. The notification of personnel changes is intended to assist DE in getting information to the subgrantees in a timely manner by having the correct contact information.

Written notification (e-mail notification is acceptable) from agency management will be given to DE within fifteen (15) days any time one of the following positions is vacated or filled: Executive Director, Board Chair/President, Finance Director, Weatherization Director, Weatherization Support Staff, Energy Auditor, and Quality Control Inspector. In addition, if key weatherization personnel will be gone or unavailable for an extended amount of time, notification, in writing (e-mail is acceptable) will be given to DE.

V. **Terms for Probation, Defunding, or Penalties**

The Department of Natural Resources (DNR) General Terms and Conditions, Scope of Services, and the Subgrant Assistance Agreement specify the criteria necessary for a subgrantee to be considered in contract compliance with DNR. Failure to maintain fiscal control, comply with federal regulations, or fulfill contract obligations will lead to probation, loss of funding, or other penalties provided in federal or state laws or regulations, DNR policies, or DNR Terms and Conditions for Federal Subgrants. The terms of the probation will depend on the specific situation. At the end of the probation period, DE will conduct a performance review. In the event a subgrantee fails to meet specified minimum standards, DE may reallocate all or part of the unobligated WAP funds to a suitable replacement subgrantee.

VI. **Procedures to Terminate a WAP Subgrantee**

Before termination of a WAP subgrantee, an administrative hearing process will be conducted in accordance with federal and state regulations, but only after all other reasonable alternatives have been considered.
If DE finds just cause is present to warrant termination of services by a WAP subgrantee, the DE Director will inform the DNR Director, in writing, of the pending termination action and will schedule a meeting with the DNR legal representative. Notification to the affected subgrantee of the pending action will occur only upon recommendation of the DNR legal representative, and will be based on documented evidence of the disputed problems. An administrative hearing official within DNR shall be appointed by the DNR Director.

The official Notice of Termination, sent to the subgrantee by certified mail with return receipt, will detail specifically (1) the disputed issues; (2) the steps taken to resolve the issues; (3) the results of those steps; and (4) detailed instructions regarding the disposition of activities and/or services, supplies, and equipment that the affected subgrantee is providing or operating under the WAP. If the disputed issues are not immediately resolved, the hearing official will schedule an administrative hearing with the affected parties. Attendance at the hearing shall be limited to DNR and the affected subgrantee. The subgrantee shall be given at least 30 working days prior to the date of the hearing to show just cause why the grant with DNR should continue. During the hearing, both parties shall be guaranteed the right to present their cases through written and oral testimony. A permanent record of the presentations shall be made, and copies of the proceedings and all written testimony shall be made available to both affected parties. Both parties shall have at least 30 working days from the date of the hearing to submit to the administrative hearing official written responses to issues raised during the hearing. The hearing official shall have 15 working days after receiving comments to reach a conclusion. The conclusion and its justifications shall be provided, in writing, to both affected parties.
VII. Additional Information – Helpful Websites

https://apps5.mo.gov/MoWAP/
The DE administered website required for client file tracking and reporting of expenditures.

https://energy.mo.gov/assistance-programs/liwap
The DE website contains a variety of information about the Weatherization Assistance Program for the State of Missouri.

https://energy.gov/eere/wipo/weatherization-assistance-program
The U.S. Department of Energy provides information about the Weatherization Assistance Program on the national level.

https://nascsp.org/wap/technical-assistance-centerwaptac/
This site provides weatherization practitioners and other energy conservation professionals with information related to the Weatherization Assistance Program, its on-going operations, and its partnerships with stakeholders. It also contains federal WAP guidance, Program Notices, and downloads for the NEAT/MHEA audit software.

https://nascsp.org/wap
The National Association for State Community Service Programs website contains information about the Community Services Block Grant and the Weatherization Assistance Program.

http://www.acf.hhs.gov/programs/ocs/liheap/
The U.S. Department of Health and Human Services website contains information about the Low-Income Home Energy Assistance Program (LIHEAP).

http://www.energystar.gov/
The U.S. Environmental Protection Agency’s website about the Energy Star program – a voluntary partnership between the DOE, EPA, product manufacturers, local utilities, and retailers to promote energy efficient products.

http://www.homeenergy.org/
Information on residential energy efficiency, performance, comfort, and affordability.

http://www.bpi.org/standards.aspx
Building Performance Institute, Inc. best practices and standards.
https://ahridirectory.org
Air-Conditioning, Heating and Refrigeration Institute appliance information database.

http://www.weatherizationassistanttraining.org/
NEAT/MHEA online training from the US DOE.

http://wxtvonline.org/
Technical weatherization training videos

https://sws.nrel.gov/
NREL Standard Work Specification (SWS) website

http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl
Electronic version of 2 CFR 200 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

http://oeo.mo.gov/
Missouri website for Minority Business Enterprise and Women Owned Business Enterprise information and where the link to the MBE/WBE directory (below) can be found

https://apps1.mo.gov/MWBCertifiedFirms/
Directory for Minority Business Enterprises and Women Owned Business Enterprises

http://www.sos.mo.gov/
Missouri Secretary of State Website, where the link to business search (below) can be found

https://bsd.sos.mo.gov/BusinessEntity/BESearch.aspx?SearchType=0
Missouri Secretary of State Business search

OA Purchasing:  https://oa.mo.gov/sites/default/files/suspven.pdf
OA Facilities:  http://oa.mo.gov/facilities/project-management/debarred-contractors
Missouri Office of Administration list of debarred contractors

https://sam.gov/SAM/ (You may have to copy and paste this address into your browser)
U.S. Federal website where contractors can be checked for federal debarment
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Section 2 – Client Services

I. Client Solicitation

Each subgrantee should publicize the WAP within its geographic area with special attention given to the recruitment of priority groups through:

- Placement of WAP information on applications for other services
- Public outreach through presentations to local civic groups, churches, schools, and others
- Media efforts through television, radio, newsprint, and social media

II. Client Eligibility

The state income guidelines are set at 200 percent of poverty to comply with the Federal WAP regulations. The annual revision of poverty income guidelines are usually published in the Federal Register in February. DE will forward DOE’s Weatherization Program Notice (WPN) Annual Poverty Income Guidelines and Definition of Income to each subgrantee as soon as it is issued. Subgrantee’s may not begin to use the new guidelines until DOE has released the WPN, even if it has been published in the Federal Register, or released by another federal program that the subgrantee administers. (See Attachment 2 - 1 at the end of this section for income guidelines.)

A subgrantee is authorized to serve clients whose names appear on Low-Income Home Energy Assistance Program (LIHEAP) lists. The Missouri Department of Social Services – Family Support Division LIHEAP client list should be used by a subgrantee when its waiting list has an insufficient number of clients within any priority group or geographic area to meet the agency’s approved client targets.

A. Definition of Income

Income refers to total annual cash receipts before taxes from all sources, with the exceptions listed in Attachment 2-1. Income data for a part of a year may be annualized in order to determine eligibility.

B. Income Verification

All household income received in the three calendar months prior to the date of the application must be recorded by the subgrantee to verify income eligibility (unless the income is certified by another federal program, such as LIHEAP or HUD, or the client is self-employed). For paystubs, always use the check date/payment date. If the application is dated April 24, for instance, all household income received in January, February, and March of that year would need to be documented. Income must be verified within three months of the application date. If not, the application must be rejected.

NOTE: All household income must be considered, regardless of the wage earner’s age. (Please see Attachment 2-1 for more information.)

Income documentation is required for all wage earners who reside in the home. If an individual adult (over the age of 19) claims no income, a written statement declaring such, which is signed by that individual, is sufficient documentation and must be kept in the client
file, as well as uploaded to MoWAP. If no one in the home claims any income, a notarized zero-income form must be completed and signed by the applicant. **NOTE: If the applicant and all other household members are 19 years or younger, and they state that they have no income, then a notarized zero-income form must be completed and signed by the applicant.**

All household income sources must be entered on the MoWAP client file. MoWAP verifies the client’s annualized income eligibility using the Poverty Income Guidelines published in DOE’s WPN.

**NOTE:** When calculating income based on a client's Social Security benefit letter, any pharmacy or medical insurance premium deduction (such as Medicare) is considered an income exclusion and should not be included in the income calculation. (See Attachment 2-8 for step-by-step instructions on how to obtain an on-line Social Security benefit statement.)

**Bank Statements may not be used for income verification, and tax returns are only allowed for household members who are self-employed.** Year-end tax documents such as W2s, 1099s, K-1s, etc., may not be used for income verification.

For the purposes of this program, a self-employed person will be defined as one who has income as an owner or partner in a business, or from rental real estate, royalties, farming, or other endeavors reported on any of lines 12, 14, 17, 18, or 21 on Schedule 1 of their 2018 Federal form 1040 tax return. If a household member claims to be self-employed, look at line 6 on page 2 of the Form 1040 (Please see Attachment 2-9.1). There is a field after the words “Add any amount from Schedule 1, line 22”. If it is blank, they are not considered self-employed (for the purposes of our program). If there is an amount on that line (positive or negative), then you will need to look at their Schedule 1 (please see Attachment 2-9.2). If there is an amount on any of lines 12, 14, 17, 18 or 21 (positive or negative), then they should be considered self-employed.

Then look back at line 6 on Form 1040, page 2. The amount on the far right of line 6 is the annual income you should use for the person listed on Form 1040, page 1 where it says, “Your first name and initial”. If there is also a name in the space that says, “If joint return, spouse’s first name and initial”, then the amount on line 6 is the combined, total income for both of those people.

These numbers will be modified, if necessary, when the 2019 Federal Form 1040 is released.

Households that contain a member who has received cash assistance payments under Title IV - *Grants to States for Aid and Services to Needy Families with Children* (Temporary Assistance for Needy Families – TANF) or Title XVI – *Supplemental Security Income for the Aged, Blind and Disabled* (SSI) of the Social Security Act at any time during the 12-month period preceding their application date are automatically eligible for weatherization assistance. **Social Security Disability Insurance (SSDI) is not SSI and must be included in the household income.**
Households that have qualified for or received LIHEAP assistance in the 12-month period preceding their application date may use their LIHEAP eligibility as verification of income. The only allowable documents to use as proof that the client was verified “income eligible” for LIHEAP assistance are printouts of either the LIHEAP E1PY Payment Information screen or the LIHEAP E1RG Registration Information screen, which the Missouri Department of Social Services/Family Support Division has made available to each subgrantee through that subgrantee’s LIHEAP program. See Attachment 2-7.1 for example of these documents. DSS does require that the subgrantee’s Weatherization program has a separate, signed authorization from the client stating that the client will allow the LIHEAP program to release that information. Please see attachment 2-7.2 for an authorization template.

NOTE: If the LIHEAP E1PY Payment Information screen shows zero income for the household, a zero income form does not have to be completed. However, the E1PY form must show that a LIHEAP payment was made within the 12-month period preceding the application date.

If the LIHEAP E1RG Registration Information screen is used, the STATUS field must show either “Eligible”, “Approved Payment in Process”, or “Approved” in order to use that printout for income verification. If the STATUS field says “Pending in Progress”, you will have to wait until an eligibility determination has been made by LIHEAP. If the STATUS field says “ineligible” or “denied”, then you can’t use LIHEAP as the source for eligibility documentation.

C. Income Reverification

Income must be reverified if the initial verification is a year old before the home becomes a “home in progress”. A home in progress is a home for which weatherization or HVAC measures have actually commenced (work start date). Completion of an energy audit does not constitute a work start date; nor does the hanging of smoke or carbon monoxide detectors.

In addition, if the home does not become a “home in progress” within six months of the energy audit date, the subgrantee must return to the home and perform an on-site inspection to determine if any conditions have changed, and re-run the computerized audit. (See WAP Technical Manual, Section X, subsection B for more information.)

In order to reverify a client’s income, the agency must have the client complete a Reverification Application (found under the Reports tab in MoWAP) and update the number of household members living in the home. All household income for the three calendar months prior to the date of the Reverification Application must be recorded by the subgrantee to reverify the income eligibility (unless the income is certified by another federal program, such as LIHEAP or HUD).

The new household and income information must be updated in MoWAP. Other application documentation, such as proof of home ownership or utility bills are not required for reverification. The agency will use the current WAP income guidelines to determine
eligibility. The reverification date must be entered into MoWAP, and both the original and the reverification applications, along with the original and reverification documents, must be kept in the physical client file and uploaded to MoWAP.

III. Client Selection

DE has implemented a web-based reporting system (MoWAP) to assist with reporting, tracking, data retention, etc. This system assists with client selection through a standardized, points based waiting list that includes the following factors to determine waiting list priority: elderly, persons with disabilities, children, number of household members, household income, primary fuel type, date of application, and optional criteria such as January fuel cost, and “Other”, which would include emergency type of situations such as “no heat” or “disaster”. If the January fuel cost is used as criteria for the optional client file points, it must be used for all client files throughout the grant period.

A. Prioritized Client Selection

Using the information in the client file, MoWAP automatically sorts the client file queues and develops a waiting list report using a two-part selection method: demographic priority and client selection points. MoWAP will determine the order of the files using the demographic priority data first, and then sorting those by the client selection points. The selection method provides the subgrantee the means to assure services to those who are particularly vulnerable.

1. Subgrantee Client Selection Process

a. Subgrantees must select clients based on the MoWAP waiting list report.

b. Subgrantees may modify the MoWAP selection process and advance a client on the waiting list only in the following circumstances:

- The subgrantee needs to weatherize a home in a certain county to ensure an equitable distribution of weatherization funds among all of its counties.
- The subgrantee needs to weatherize the home of a client who is a customer of a utility for which DE administers that utility’s weatherization program, in order to expend that utility’s funds before the end of the grant. This may only be done in the last six months of the utility’s grant period without written authorization from DE.
- The client meets any of the conditions for emergency services as outlined in Subsection III, B on page 16.

No other deviations may be made to the waiting list without written authorization from DE. Any deviation from the MoWAP waiting list requires a note describing which one condition above justified the move. The note must be placed in the client’s physical client file, and a copy must be uploaded to the MoWAP client file.

MoWAP determines demographic priority and the number of client selection points based on the rules and formulas listed in the next section.
2. **Demographic Priority**

DOE requires households containing the following demographic categories to be given priority in receiving weatherization services:

a. The elderly (any individual 60 years of age or older);

b. Children (any dependent who is not more than 19 years of age)

c. The handicapped (as defined in Section 7(6) of the Rehabilitation Act of 1973); and persons with disabilities (as defined in Section 1614(a)(3)(A) or 223(d)(1) of the Title XVI of the Social Security Act).

Demographic priority is indicated in MoWAP by either a green or red icon next to the demographic priority field on all client file queues.

3. **Client Selection Points**

Client selection points (the secondary criteria) are determined by the number of household members, primary fuel type, very low income, the time spent on the waiting list, and the optional points for the January fuel cost and other. MoWAP uses the following calculations to determine the client selection points.

a. **Points for number of household members**

   1 – 2 members = 0 points  
   3 – 4 members = 5 points  
   5 – 6 members = 10 points  
   Over 6 members = 12 points

b. **Points for Primary Fuel Type**

   Natural Gas = ccf/therms for January multiplied by .27  
   Electricity = kWh for January multiplied by .027  
   Propane = Gallons for January multiplied by .36  
   Fuel Oil = Gallons for January multiplied by .38  
   Wood = 60 points

c. **Points for Very Low Income**

   Household Income / Income Eligibility: \( t + ((m-1) \times p) \) multiplied by the client’s percentage of poverty

   - If result < 80% = 10 points  
   - If result < 65% = 15 points  
   - If result < 50% = 20 points

d. **Points for Waiting Time**

   Points = the number of months since the date of application multiplied by 2.
e. Points for Fuel Cost as High Percentage of Income (optional)*

January fuel cost / (Household Income / 12) = X
If X > .5 (50%) then add 20 points

*If the January fuel cost is used as a criteria for the optional client file points, it must be used for all client files throughout the grant period.

f. “Other”

This is a user input field where up to 20 points can be used to account for no heat or other emergency situations.

B. Emergency Services / Health and Safety

Subgrantees may provide emergency services (those that are DOE allowed measures) on an immediate basis to clients who can provide a letter from a board certified physician, certified nurse practitioner, or certified physician’s assistant stating that the occupant’s life would be endangered due to physical conditions found in the client’s home. For additional technical information regarding emergency services, please reference the WAP Technical Manual, Section II, Subsection B, Topics 5, 6, and 7.

During the months of November through March, clients that do not have a functioning heat source may receive immediate assistance, or be given a higher priority on the waiting list. If a household does not have a functioning heat source, or there is a health and safety problem that may warrant shutting off a combustion appliance (and the home does not fall within the required minimum subgrantee deferral policy (see WAP Technical Manual, Section II, Subsection D)), then a physician’s statement is not required. The subgrantee must verify that these conditions (non-functioning or hazardous heat source) exist at the client’s home.

Documentation of the need for emergency services and physician letters (if applicable) must be uploaded to the MoWAP client file. The Work Order Measure Type for emergency services must be reported as “Emergency Replacement/Repair” in the MoWAP client file.

Use of WAP funds for emergencies and/or health and safety issues must also adhere to the following policies:

- Maximum cost limitations will be followed.
- Only clients who are (1) eligible for WAP services and (2) on the subgrantee’s waiting list may receive services.
- See Section III, Subsection L, Topic 3, Air Conditioner and Heat Pump: Health and Safety Replacement or Installation, in the WAP Technical Manual regarding policies concerning the replacement of air conditioners and heat pumps for health and safety issues.
IV. **Conflict of Interest Policy**

Per DNR Administrative Policies and Procedures:

No party to this subgrant, nor any officer, agent, or employee of either party to this subgrant, shall participate in any decision related to such subgrant which could result in a real or apparent conflict of interest, including any decision which would affect their personal or pecuniary interests, directly or indirectly.

The subgrantee is advised that, consistent with Chapter 105, RSMo, no state employee shall perform any service for consideration paid by the subgrantee for one year after termination of the employee's state employment by which the former state employee attempts to influence a decision of a state agency. A state employee who leaves state employment is permanently banned from performing any service for any consideration in relation to any case, decision, proceeding, or application in which the employee personally participated during state employment.

Subgrantee and State employees or their relatives shall not engage in any activity or employment in which there is significant potential for or the appearance of a conflict of interest with functions of LIWAP. Conflict of interest is any activity or employment which would tend to influence a decision; create a bias or prejudice which would favor one side or the other in conflict with the employee’s duties; or which conflicts with the accomplishment of LIWAP’s mission.

**Preferential treatment, or the appearance of preferential treatment in 1) determining eligibility; 2) altering the time frame in which the client is served without just cause; 3) installing excessive measures or measures that are not normally installed by that subgrantee; or 4) expending an amount of funds on the home that is significantly in excess of the subgrantee’s average cost per home, could constitute a conflict of interest.**

A “relative” is defined as an employee’s spouse, child, grandchild, parent, grandparent, brother or sister (including half-brother and half-sister), their spouses, and the parent, brother, sister or child of an employee’s spouse; or a Domestic Partner (defined, for the purposes of this policy only, to mean: an adult (18 years of age or older) of the same sex or opposite sex who: (i) is not related to the employee under the definitions above; and (ii) who shares a primary residence, or otherwise is in a relationship of mutual financial support with the employee; and (iii) who intends to remain in such relationship for the indefinite future.

For purposes of this policy, “conflict of interest” describes any circumstance that would cast doubt on an employee’s ability to act with objectivity in the performance of the duties of the LIWAP. Activities which could raise a question of conflict of interest include, but are not limited to, the following:

1. Having a direct connection to the weatherization process of one’s own home, or a relative’s home.
2. Having multiple duties within the subgrantee organization without oversight (segregation of duties).
3. Outside employment with a contracting firm that provides LIWAP services.
Subgrantee or State employment does not constitute an automatic bar from receiving LIWAP services. Subgrantees with an employee, board member, or contractor (or an employee’s, board member’s, or contractor’s relative) wishing to receive LIWAP services must contact DE in writing (email is acceptable) for approval immediately upon receiving the employee’s/board member’s application, or the employee’s/board member’s relative’s application. DE must be notified immediately upon becoming aware of a conflict involving a contractor. After the audit, the subgrantee must submit the NEAT/MHEA Input Report and Recommended Measures to DE for approval before any materials are purchased for the home, and prior to any work being done on the home. If no conflict is determined, DE will provide written approval to the subgrantee to proceed with weatherization. That approval must be placed in the client file and uploaded to MoWAP. DE may not provide reimbursement for homes weatherized in which there was a conflict of interest. If the employee leaves employment with the subgrantee at any time after DE has been notified, the subgrantee must continue to treat the home in the same manner as if the employee had not left.

The subgrantee must also follow any part of its own conflict of interest policy that is not addressed in the DE conflict of interest policy.

V. Dwelling Characteristics

A. Documentation Requirements

A subgrantee shall maintain a geographic cross-reference file that documents the WAP services performed on specific homes and shall consult this file prior to weatherizing a home to determine if the home has been previously weatherized. The subgrantee is required to record, on a high-quality, long-lasting material, in two locations, the name of the homeowner, the date the home was weatherized, and the agency job number.

In a site-built home, this information shall be attached to the electrical panel (preferred), attic rafter, basement floor joist, domestic water heater, or heating system. For mobile homes, this information shall be attached to the electrical panel (preferred), water heater compartment, or heating system compartment. Until the information has been recorded, the home is not considered “completed.” Subgrantee energy auditors shall not authorize WAP services before checking the above locations for proof of prior service.

People applying for reweatherization (homes weatherized prior to September 30, 1994) must be placed on the waiting list in an order commensurate with the time of reapplication. Before further WAP services are approved, re-certification for income eligibility is required.

B. Dwelling Eligibility

1. Single Family

Single family dwellings, whether they are site built or mobile homes, or whether they are owner-occupied or tenant occupied, are eligible for weatherization as long as the occupants of the home meet the income guidelines, provided all of the following apply:
a. The home is not for sale, in foreclosure, vacant, and is not designated for clearance or acquisition; (See Subsection V, C and D in this section.)

b. The home is not located in an area that has been identified by the Federal Emergency Management Agency (FEMA) as a flood plain. (See Subsection V, F in this section.)

c. No condition in the home violates the subgrantee’s home deferral policy.

2. Multi Family

Multi-family dwellings are buildings that do not fall under the DOE definition of a single-family unit, which is “a structure containing no more than one dwelling unit”.

Buildings with two or more dwelling units may be weatherized, however special approval from DE is required for buildings with more than four units under a single roof. (See Subsection VII, A in this section.)

3. Re-weatherization

According to the federal regulations, homes previously weatherized before September 30, 1994 are eligible to be re-weatherized. Homes weatherized under this provision are counted as homes completed. On the MoWAP Intake screen the, “Previously Weatherized” dropdown box should be marked as, “Yes” and then the, “Date Last Weatherized” field must be completed. However, DOE reminds local agencies to be prudent in selecting previously weatherized homes to revisit due to the fact there remains more than 28 million federally eligible households that have received no Weatherization services to date.

4. Proof of Home Ownership

Proof of ownership is required to be provided by the client at the time of application. The document submitted must specify the location of the property being weatherized. This may be the legal description, or a common (street) address. At least one of the following documents must be provided:

a) For Site-built Homes
   - A recorded Missouri Deed
   - A recorded mortgage agreement for real estate
   - A current, paid property tax receipt (dated less than one year prior to the application date) which contains the name of the applicant and the legal address of the property
   - A current homeowner's insurance policy
   - A Contract for Deed -- A Contract for Deed is an allowable document to provide proof of home ownership if the contract is recorded with the Recorder of Deeds Office in the county where the home is located. If the Contract for Deed is not recorded, then the home must be considered a rental unit and rental procedures and policies would apply. (See VII. Rental Properties, Section 2).
b) For Mobile Homes:
- A Missouri Certificate of Title
- A recorded Missouri Deed for the property the mobile home sits on.
- A recorded mortgage agreement for the mobile home (must include the V.I.N.).
- A current homeowner’s insurance policy.
- A current, paid personal property tax receipt (dated less than one year prior to the application date) which contains the name of the applicant and the V.I.N. of the mobile home. NOTE: a mobile home may not be listed on a personal property tax receipt. In this circumstance a Personal Property Assessment List from the County Assessor’s office with the mobile home’s V.I.N. would need to accompany the paid personal property tax receipt.

c) Probate Property Transfer
Probate Property Transfer is when an elderly person (or people) deeds property to his or her children in an effort to prevent probate issues. If the applicant has deeded the home to his or her children for this purpose, and is currently occupying the home, the property may be treated as “owned property” for purposes of weatherization. The applicant must provide a written statement (which is signed by the applicant and any children listed on the deed) that the home was transferred for probate reasons, and that they will not charge rent or displace the applicant after weatherization services have been provided. The application and statement must be reviewed and approved by DE before the energy audit has been performed.

5. Weatherizing Shelters
A shelter is defined in 10 CFR 440.3 as 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.

Subgrantees must request written approval from DE to weatherize shelters for the homeless, group homes or homes providing transitional living if the buildings are owned or rented by a not-for-profit agency and are used exclusively to provide temporary living quarters for the homeless, battered women or other WAP-eligible people as defined under 10 CFR 440.3.

To calculate the number of units, use either of the following methods:
- Square footage: Divide the total square footage of living space by 800 and round to the nearest whole number. To determine allowable funding, multiply the rounded number by the current allowed expenditure per home.
- Each Floor: Count each floor as a separate dwelling unit.

C. Homes Designated for Acquisition or Clearance
Homes located in areas designated for acquisition or clearance by a Federal, State or local program shall not be weatherized.
D. Homes for Sale, Homes in Foreclosure, and Vacated Homes

If the subgrantee discovers at any time before work is completed on the home:
1) that the home is for sale;
2) that the home is in foreclosure;
3) that the client is planning to vacate the property before or shortly after completion of the weatherization work; or
4) any other information that would indicate that the client may not be living in the home in the near future;
all work on the home must stop immediately, and DE must be notified. Work may not resume on that home until DE has given instructions on how to proceed.

E. Homes Damaged By an Act of God

WAP funds may be used to weatherize a home previously weatherized if the home has been damaged by a fire, flood or events outside human control, providing the repair of damages to the WAP materials is not paid for by insurance. DE must be notified before any work begins on the home.

If a home has been partially damaged, damaged materials that were installed by the WAP may be replaced. The subgrantee should identify this as a home on which additional work was required and charge the cost of materials to “Materials on Homes Completed”. However it may not be reported as a new completion.

If the home has been significantly damaged, restored or completely rebuilt, it may be completely re-weatherized and reported to DE as a newly completed home. People applying for re-weatherization must be placed on the waiting list in an order that corresponds to the time of reapplication. Before further WAP services are approved, recertification for income eligibility is required.

F. Flood Plain

Federal funds may not be used to weatherize a home located in an area that has been identified by the Federal Emergency Management Agency (FEMA) as a flood plain if the community in which the home is located has chosen not to participate in the National Flood Insurance Program (NFIP) (Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234.87 Statute 975).

FEMA identifies a community as a village, town, city or county. If a community with an identified flood plain is not a participant in the NFIP, the community is “sanctioned,” meaning that federal funds may not be used for projects located within the flood plain area. However, a home located in a sanctioned community, but not within a flood plain, may be weatherized. Therefore, individual eligibility for WAP services in the area depends upon community participation in the NFIP and the location of the home in reference to a flood plain.

VI. Disaster Plan

Declaration of a disaster for WAP purposes is determined by a Presidential or Gubernatorial order declaring either a Federal or State emergency. It may be the result of natural or man-made factors. The DE Weatherization Assistance Program, through its subgrantee network, will assist state and community authorities in normalizing areas affected by a disaster by providing WAP resources, in a limited capacity, to assist Missouri low-income citizens in recovering and rebuilding after the disaster. As per DOE Weatherization Program Notice 12-07, the use of DOE WAP funds is limited to eligible weatherization activities and the purchase and delivery of weatherization materials. The Weatherization Program will adhere to the following guidelines when responding to any disasters in which the low-income population has been affected. These guidelines are intended to maximize the assistance we are able to provide while protecting the limited resources of the program.

Disaster-mitigation planning activities shall be implemented as soon as practical after the declaration of a disaster. A WAP subgrantee shall not commit WAP resources (labor or financial) until it receives approval from the DE.

WAP funds used for disaster related activities will be allocated based on the extent of the disaster in each subgrantee area. WAP disaster funds may be utilized from the subgrantees’ or DE’s unspent allocation. Funds must supplement, not supplant, other funds available for disaster assistance. All funds received by the client to cover damages must be considered prior to the allocation of WAP resources. Attachment 2-2, the Disaster Certification form located in the Missouri Weatherization Program Operational Manual, should be completed for each client requesting disaster assistance.

Safety measures, such as levees or other protections, should be in place prior to mitigation activities. Agency staff should consult with local utilities to ensure electric, gas and sewer hazards have been corrected or repaired.

A. Allowable Disaster Activities

Allowable expenditures under WAP include:

1. The cost of incidental repairs to a dwelling unit if such repairs are necessary to make the installation of weatherization materials effective

2. The cost of eliminating health and safety hazards, elimination of which is necessary before the installation of weatherization materials (10 CFR 440.18(d)(9); 10 CFR 440.18(d)(15)). To the extent that the services are in support of eligible weatherization (or permissible re-weatherization) work, such expenditure would be allowable. For example, debris removal at a dwelling unit so that the unit can be weatherized would be an allowable cost. Debris removal from a dwelling unit that is not to be weatherized would not be an allowable cost. Please note that the current year’s average cost per home limit from DOE continues to apply.
NOTE: Permissible re-weatherization as per DOE guidelines state: In the event of a declared Federal or State disaster, weatherization crews may return to a unit reported as a completion to DOE that has been “damaged by fire, flood or act of God to be re-weatherized, without regard to date of weatherization”, 10 CFR 440.18(f)(2)(ii). Local authorities must deem the dwelling unit(s) salvageable as well as habitable and if the damage to the materials is not covered by insurance or other form of compensation.

3. Weatherization personnel can be paid from DOE funds to perform functions related to protecting the DOE investment. Such activities include: securing weatherization materials, tools, equipment, weatherization vehicles, or protection of local agency weatherization files, records and the like during the initial phase of the disaster response. Using DOE funds to pay for weatherization personnel to perform relief work in the community as a result of a disaster is not allowable.

4. Local agencies may use weatherization vehicles and/or equipment to help assist in disaster relief provided the WAP is reimbursed according to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR 200.

B. Eligibility Requirements

WAP subgrantees must ensure that applicants for disaster assistance

- Meet the current eligibility requirements.
- Are located within the designated disaster area.
- Have been directly affected by the disaster. Homes located in a FEMA-sanctioned area are not eligible for assistance.

Applicant homes must be certified as habitable, and a disaster certification form must be completed, signed and retained in the client file. The owner of a rental unit must list the property with Section 8 or provide other proof that the unit will remain exclusively for the low-income. Landlord contributions may be requested or required, as applicable.

Client income eligibility may be based on one month's income if all other income documentation was lost in the disaster. WAP rules require that priority be given to identifying and providing weatherization assistance to elderly persons, persons with disabilities, families with children, high residential energy users, and households with high energy burdens (10 CFR 440.16(b)). However, it would be permissible to consider households located in the disaster area as a priority as long as the households are eligible and meet one of the priorities established in regulation and are free and clear of any insurance claim or other form of compensation resulting from damage incurred from the disaster.

C. Equipment Procurement

All purchased items should meet minimum energy-efficiency ratings as detailed in 10 CFR 440, Appendix A. Subgrantees must comply with all requirements specified in 2 CFR 200 and 10 CFR 440 and the requirements specified in the DNR General Terms and Conditions for Federal Subgrants, and the Missouri Weatherization Program Operational Manual's Competitive Procurement Standards.
D. Additional Non-DOE Funding

If additional funds are received from the department or other non-DOE fund sources, a subgrantee may allocate up to $10,000 per unit.

E. Disaster Expenditures Accountability and Reporting

Disaster expenditures must be accounted for and reported separately from other costs. The monthly MoWAP reimbursement must show these expenses under "disaster". The costs will be included in the averages.

VII. Rental Properties

A. Special Requirements

The Division of Energy permits rental units to be weatherized using special considerations. A building containing rental units may be weatherized if it is in compliance with income criteria and:

1. The subgrantee has written permission from the owner or his/her agent to perform weatherization services. Such written permission shall also state that the occupants’ rents will not be increased because of the weatherization services. The form must be uploaded in to the MoWAP client file for each unit that is weatherized. (See Attachment 2-5 for the Landlord/Authorized Agent Agreement and Certification form.)

2. Not less than 66 percent (50 percent for duplexes and four-unit buildings, and certain eligible types of large multi-family buildings) of the dwelling units in the building:

   • Are units which house income-eligible families; or
   • Are units which will house income-eligible families within 180 days under a local government, state, or federal program for rehabilitating a building, or making similar improvements, to the building.

In WPN 16-5, DOE offered flexibility by adding certain eligible types of large multi-family buildings to the list of dwellings that are exempt from the requirement that at least 66 percent of the units must be occupied by income eligible persons. In these large multi-family buildings, as few as 50 percent of the units, would have to be certified as eligible before Weatherization can be offered. This exception would apply only to those large multi-family buildings where an investment of DOE funds would result in a significant energy-efficiency improvement because of the upgrades to equipment, energy systems, common space, or the building shell. By providing this flexibility, local agencies will be better able to select the most cost effective investments and enhance their partnership efforts in attracting leveraged funds and/or landlord contributions. This flexibility does not apply to any other type of multifamily unit.

Multi-family buildings with more than five units under the same roof require approval of the computerized audit from both DE and DOE (through DE).
B. Contributions

Landlords are encouraged (but not required) to provide a minimum of a five percent (5%) cash contribution of estimated labor and material project costs before weatherization work begins on a home (this includes single family units and two to four unit multifamily buildings.)

However, for large multi-family structures (those with five or more units under one roof), the State has determined the owner/landlord will be required to contribute a minimum of a twenty-five percent (25%) cash contribution of the estimated weatherization project cost.

Contributions received from the owner/landlord are not to be reported as Program Income. Contributions must be applied to the cost of the home being weatherized (labor and material costs) in order to reduce that home’s weatherization expenditures. The landlord contribution is entered on the MoWAP client file during the Pre-Audit stage.

C. Undue Enhancement

10 CFR 440.22 states that “No undue or excessive enhancement shall occur to the value of [rental] dwelling units.” DE recognizes the potential for the value of rental properties to be excessively or unduly enhanced through weatherization services, thereby benefitting the owner of the property more than the low-income tenant(s).

However DOE has determined that the eligibility for heating systems, cooling systems, water heaters, and refrigerators which cost test as energy conservation measures in rental units may not be restricted or treated differently than owner occupied properties.

Therefore, as of July 1, 2019, the installation of heating systems, cooling systems, water heaters, and refrigerators are eligible as energy efficiency measures in rental properties, following the same requirements as owner occupied units. The verification of property ownership for owner occupied units will still be necessary, as will landlord agreements, as the owner of the property must give their written agreement for the property to be weatherized.

Individual subgrantees may not be more restrictive with what energy efficiency measures are eligible in a rental property compared to an owner occupied property. However, subgrantees may be more restrictive with health and safety measures in rental properties. The subgrantee may elect to restrict certain health and safety improvements to rental properties; however, this must be spelled out in the subgrantee deferral policy. For example, the agency may defer a rental unit if the landlord has not provided the client with a safe heating system. However, if the rental unit has an existing operating heating system and it is evaluated as cost effective to upgrade, then the unit must be replaced, just as in an owner occupied unit.
If a subgrantee decides to restrict certain health and safety measures in rental units, they must provide details of the restrictions in their approved deferral policy, and consistently apply that restriction to all rental units.

D. Dispute Resolution Procedures Involving Rental Units

In the event the client believes the Owner/Authorized Agent Certification agreement has been violated, he or she may notify the subgrantee providing WAP services. The subgrantee must make an effort to apprise the landlord of the situation. If the landlord does not agree to correct the alleged violation, the subgrantee must defer to DE. DE will make all efforts to contact the landlord and resolve the complaint. If the situation cannot be resolved at the DE level, DE recommends that the subgrantee advise the client/tenant to contact Legal Services of Missouri. (See Attachment 2-6 for Legal Services of Missouri). The subgrantee will be responsible for following up with the client to determine if the complaint was resolved. DE must be notified when a resolution is reached.

VIII. Client Education

Client education is an effective method of improving the impact of WAP measures. These efforts include fact sheets, brochures, the State DE WAP website, and one-on-one contact. Subgrantees play a vital role in expanding client education activities at the local level. Local activities include client workshops, providing Energy Saver Booklets, client interviews and instruction when auditing and quality control inspecting the home, the explanation of information found in the Lead and Mold EPA pamphlets, local newspaper articles, and radio and television spots. Additional examples of on-site client education include demonstrating to the client how to properly operate appliances installed such as ventilation fans and smart thermostats, and changing furnace/air conditioner filters, etc.
Section 3 – Reporting and Recordkeeping

I. Reimbursement and Client File Requirements

The purpose of this section is to inform subgrantees of specific documentation needed for each weatherization reimbursement and client file. This section also provides general guidance to subgrantees on how to comply with requirements specified in 10 CFR 440.16(g) on reporting completed homes. The State and each WAP subgrantee receiving federal financial assistance will keep records and make reports as required by 10 CFR 440.24 and 10 CFR 440.25.

DE has developed a web-based program called MoWAP to assist with reporting, tracking, data retention, etc. MoWAP can be accessed at Missouri Weatherization Assistance Program - MoWAP. This program allows for subgrantees to track client files through all stages of weatherization. Required forms and documentation must be uploaded into the reimbursement and the individual client file.

DOE funds are indirectly utilized on all units through auditing, testing, inspections, use of DOE funded equipment and/or vehicles, or DOE funded training. Because of this, a minimum of $100 in labor/material expenditures per unit must be reported on a DOE reimbursement. See DOE WPN 12-1 for more information. In addition, a minimum of 10% of material/labor expenditures per unit must be charged to each of the split-funded non-DOE fund sources administered by DE. See Section 4, Subsection 1, D, 5.

II. Required Documentation to be Uploaded on the MoWAP Reimbursement

Each reimbursement must contain the following documents:

A. General Ledger/Working Papers

The general ledger/working papers (including labor and material charged to the reimbursement) must be uploaded to MoWAP. If there are reported homes that are split funded, there should be a breakdown by fund source sheet uploaded.

B. Expenditures

The expenditures on the reimbursement and the general ledger/working papers must be reviewed to ensure that they are allowable per grant guidelines. The expenditures on the reimbursement must be posted to the general ledger/working papers. The total on the general ledger/working papers must match the total expenditures on the MoWAP reimbursement. Any reason for variances must be noted on the general ledger/working papers.

C. Reported Homes

The general ledger/working papers should include references to the homes attached on the reimbursement, and include contract labor, crew labor, and materials. This must match the MoWAP reimbursement.
III. Required Forms and Documentation to be Uploaded on the MoWAP Client File

Each reported client file must contain the following uploaded documents:

**NOTE:** Unless there are specific DE approved circumstances, these documents must be uploaded to each client file in MoWAP individually and not uploaded as multiple documents under the “All Required Documents” option. However, DE understands that it may be more time consuming to upload all documents individually. For that reason, the following documents may be combined under “All Required Documents” when uploaded to MoWAP:

- Application, Social Security Card, Proof of Income Documentation
- Reverification Application and Reverification of Income Documentation
- The Landlord Agreement Form and Landlord Contribution
- The NEAT/MHEA Input Report and Recommended Measures
- The Mechanical Systems Audit Form, Combustion Appliance Spillage Test Form, Diagnostic Field Form, and Baseload Replacement and Ventilation Audit Form, and (if applicable) Incidental Repair Justification Form
- The Daily CAZ Testing form(s)
- The Invoices and Individual Bids documents

Combined documents should be listed under the “Description” field on the MoWAP document upload screen. All other required documents should be uploaded separately.

If a document does not apply to the client file (e.g. Incidental Repair Justification Form on a home with no incidental repairs), please **do not** upload a blank document.

A. The Application Form

This form is generated by MoWAP. Completed applications can be generated after the client file has completed the intake stage. Blank applications are available under the reports tab of the main menu. Signed application forms must be uploaded to the client file.

B. Applicant Social Security Card

A copy of the applicant’s social security card, or a third party form, (W2, SS/SSI letter, etc.) that clearly shows the social security number must be uploaded to the client file.

C. Proof of Income Documentation

All income documentation for the household must be uploaded to the MoWAP client file, including, but not limited to:

- Paycheck stubs for all household members who receive wages
- Award letters for all government payments (Social Security, Veterans benefits, etc.)
- Federal 1040 tax returns (only for household members who are self-employed)
- LIHEAP E1PY screen printouts
- Notarized zero-income forms (if no one in the home receives any income)
- Signed statements of zero income (from anyone in the home over the age of 19 who claims that they do not receive any income)
• Workers’ compensation or unemployment payment documents

Detailed information on income can be found in Section 2, Subsection II, B, beginning on page 11 of this document.

D. Reverification Application (if applicable)

If client reverification was required (see Section 2, Subsection II, C for requirements) the reverification application, as well as the original application, must be uploaded.

E. Reverification of Income Documentation (if applicable)

The same types of documentation listed in Subsection II, C (above) must be used to determine if the household is still income eligible. These documents, as well as the original income documents, must be uploaded.

F. Proof of Home Ownership

A detailed list of acceptable proof of ownership documents can be found in Section 2, Subsection V, B, 4, beginning on page 19 of this manual. These documents must be uploaded to the client file.

G. Landlord Agreement Form and Proof of Contribution (if applicable)

This form (Attachment 2−5.1) provides authorization from the client's landlord to weatherize the client’s home, and agree to specific requirements as outlined in Section 2. Completed landlord agreement forms can be generated on MoWAP after the client file has completed the intake stage. Blank landlord agreement forms are available under the reports tab of the main menu. Completed landlord agreement forms must be uploaded to the client file. If the landlord provides a contribution, a copy of the proof of contribution (check or agency receipt) must be uploaded to the MoWAP client file.

H. Utility Bill(s)

A copy of the client’s utility bill(s), that clearly shows the client’s name and account number, must be uploaded to the client file. The service address on the utility bill must match the address of the weatherized home.

I. Section 106 Documentation (if applicable)

The Section 106 Project Information Form and associated response letter(s) must be uploaded to all client files reviewed by the State Historic Preservation Office.

J. Project Photographs

One clear color photograph showing the front of the building or structure taken from the street, sidewalk or front yard must be uploaded to all client files. **For homes with like-kind door replacements that are exempt from Section 106 review by activities, but not exempt by age, a picture of the original and replacement doors must be uploaded.**

K. Client Interview & Auditor Assessment Form

This technical form is completed and signed by the auditor at the time of the initial audit. (See LIWAP Technical Manual Attachment 2.2)
L. NEAT and MHEA Audit Data

The NEAT/MHEA Input Report and the NEAT/MHEA Recommended Measures that document all energy efficiency and incidental repair measures installed in the home must be uploaded to the client file. **The Recommended Measures should not be run after the Quality Control Inspection without DE approval.**

M. Mechanical Systems Audit Form

This form contains all required diagnostic testing information for the combustion appliances. This also includes the combustion gas analyzer printouts. (See LIWAP Technical Manual Attachment 2.5)

N. Combustion Appliance Spillage Test Form (if applicable)

This form if applicable, is completed both during the initial audit and the quality control inspection. (See LIWAP Technical Manual Attachment 2.3)

O. Diagnostic Field Form

This technical form is filled out partially during the initial audit, and completed during the quality control inspection. (See LIWAP Technical Manual Attachment 2.4)

P. Baseload Replacement and Ventilation Audit Form

This form contains information regarding a home’s existing refrigerator (and new refrigerator model information if a new refrigerator is installed), incandescent lighting, shower heads and mechanical ventilation. (See LIWAP Technical Manual Attachment 2.6)

Q. Incidental Repair Justification Form (if applicable)

This form contains information regarding the justification for the measure and the ECM that the incidental repair is associated with. (See LIWAP Technical Manual Attachment 2.7)

R. ASHRAE 62.2 Form

This form is an excel spreadsheet which is used to determine ventilation requirements for a home. It must be completed electronically and uploaded to the client file. The auditor and QCI will each complete this spreadsheet, however only the final version is required to be uploaded. (See LIWAP Technical Manual Attachment 2.8)

S. Work-Order Change Notices (if applicable)

This form is an agency-developed form that should include all additions or deletions to the job. The auditor, crew supervisor, QCI, or other designated subgrantee personnel should sign and date the form. **The change notices must be documented on the MoWAP client file work order.**

T. Individual Bid Documents

Bid documents for all home-by-home bids (HVAC replacements only) including a copies of the winning bid, all non-winning bids, and DE approval if less than three bids were received.
U. Invoices, Bills for Materials and Labor Charges

Contractor invoices must be submitted on the contractor’s letterhead and should include the following information: company name, contact information, dates of service, job number and/or client’s name, quantity of material and labor by unit, description of service with individual measures documented (as defined by NEAT/MHEA), and costs broken out by material and labor. In addition, for all HVAC equipment (including window air conditioners), hot water heaters, ASHRAE fans, and refrigerators, invoices must include the make, model number and serial number of the equipment. ASHRAE fans do not require a serial number. Invoices must be uploaded to the client file and costs should easily be tracked to the contractor’s bid documents. (See attachment 3-5 for a contractor invoice example.)

For agencies with weatherization crews, and no inventory, invoices for all materials purchased for the home must be uploaded to the client file. For agencies with weatherization crews, that do have inventories, an inventory sheet that identifies the quantity and price of materials used for the home must be uploaded to the client file. These prices must be able to be tracked back to the original invoice price in which they were purchased. Please note that all materials purchased for the Weatherization Program should be tax exempt.

For agencies with weatherization crews, a labor worksheet or other documentation must be uploaded to the client file to document how the labor costs for each measure charged to the home were calculated. The worksheet must include the crew members that worked on the home, each crew member’s hourly wage, and the specific hours each crew member worked on the housing unit broken out by measure. Crew members must keep track of the time they spend working on each reported measure. (This does not include drive time or material purchasing time; those hours are to be charged to the Program Operations Support Cost budget category.)

V. Daily CAZ Test Form

This form must be filled out every day that work is completed at every home. However, for an all-electric home, the form need only be filled out at the end of the first day, or may be filled out by the auditor prior to work beginning on the home. All copies of the CAZ test must be uploaded to MoWAP, but they may be uploaded together. (See LIWAP Technical Manual Attachment 2.9) See attachment 3-7 in this manual for instructions on reporting daily CAZ testing related expenses.

W. Quality Control Inspection Form

This form contains information from the quality control inspection of the completed home. (See LIWAP Technical Manual Attachment 2.1)

X. DE Approvals (if applicable)DE Approval (if applicable)

Documentation of approval for case-by-case exceptions to policies granted from DE must be uploaded to the client file.
Y. Emergency Services/Health and Safety (if applicable)

For detailed information about what is required to be uploaded, please see Section 2, subsection III, B.

IV. Required Forms and Documentation for the Physical Client File

All of the forms above, which are required to be uploaded to the MoWAP client file, must also be kept in the physical client file. In addition, the following forms must be kept in the physical client file:

A. Agency Work Order Form

This form is an agency-developed form identifying the estimated materials and work to be completed, and a list of actual costs for materials and labor for the completed job. The work order form can also be printed from the NEAT and MHEA Audit software. This form should be signed and dated by a weatherization auditor.

B. Clean and Tune Work Order Form (if applicable)

V. Required Forms and Documentation for Contractor Files

A contractor file must be kept for every business or non-employee individual that you send to a client’s home to do work, conduct inspections, or collect samples.

A. Completed Contract

A completed contract which has been signed by the contractor and countersigned by the agency.

B. Evidence that the contractor has met one of the three following criteria:

1. The respondent has successfully completed a contract with the agency in the past;

2. The respondent has submitted names of other purchasers with whom they have provided service and performed satisfactorily; OR

3. The respondent has posted a performance bond.

C. Proof of Insurance:

1. Comprehensive General Liability Insurance at a minimum of $300,000 Combined Single Limit for Bodily Injury and Property Damage, per occurrence and aggregate.

2. Vehicle Insurance at a minimum of $300,000 bodily injury per person / $500,000 bodily injury per accident / $300,000 property damage per accident for a Split Liability Limit (SLL) policy OR $800,000 for a Combined Single Limit (CSL) policy.

3. Workers’ Compensation Insurance Coverage as required by law.
D. A current business license and/or occupational license(s) as required by local statutes.

E. Verification that the contractor is registered with and maintains good standing with the Missouri Secretary of State’s office. See website: http://s1.sos.mo.gov/

When looking to see if a company is in “good standing” with the Secretary of State’s office, look for the following words/phrases under “status”: **Good Standing** or **Active**

Words/phrases under “status” that indicate that a company is NOT in Good Standing are: **Inactive; Canceled; Admin Cancel; Term/Cancel; Dissolved; Expired; or Forfeited**

If you see the word **Fictitious**, it simply means “a name under which any person shall do or transact any business in this state which is other than the true name of such person.” (MO Secretary of State’s website). If a person opens ABC Plumbing under his or her Social Security number, then it would be a “fictitious” business name, because business is transacted under a name other than the true name of the person. Therefore, a business with a status of **Fictitious Active** would be in good standing, while a business with a status of **Fictitious Expired** would NOT be in good standing.

F. Evidence that the contractor is not on the state or federal debarment lists. See websites: [http://oa.mo.gov/facilities/project-management/debarred-contractors](http://oa.mo.gov/facilities/project-management/debarred-contractors); [https://www.sam.gov/portal/SAM/](https://www.sam.gov/portal/SAM/)

G. Evidence of OSHA-10 Certification for all of the contractor’s employees.

H. Proof of EPA Certified Firm Certification and Certified Renovator and Lead Safe Work (LSW) training documentation, if any LSW is to be performed (Wx contractors only; not HVAC or electrical contractors).

The contractor’s file should be reviewed annually to update insurance information, re-check the debarment and Secretary of State's registration lists, and verify that all other information is up-to-date.

See Attachment 3-6 for a checklist with these requirements.

VI. **Definition of a Home in Progress, a Completed Home, and an Amended Home**

A. Home in Progress

A home in progress is a home for which weatherization measures have actually commenced. The commencement of work does not include the hanging of smoke or carbon monoxide detectors. **Completion of an energy audit does not constitute commencement of work.**

B. Completed Home

A completed home, or unit, is a home which complies with all aspects of 10 CFR 440.16(g), which states, “No dwelling unit may be reported to DOE as a completed until all weatherization materials have been installed, and the subgrantee, or its representative, has performed a quality control inspection(s) including any mechanical work performed, and certified that the work has been completed in a workmanlike manner and in accordance with the priority determined by the audit procedures.”
In addition, before a home is considered complete, that home must be attached to a reimbursement submitted through MoWAP and approved for payment by DE staff through the MoWAP system.

No dwelling unit may be reported as a completed unit until it meets the above criteria. Before reporting a completed home, DE requires all homes pass a quality control inspection by subgrantees and that all invoices associated with the home have been received. Units with estimated expenses will not be reimbursed. Expenses associated with a home that fails a DE inspection may be withheld from the Subgrantee's subsequent reimbursement until the home passes a subsequent inspection.

C. Amended Home

Generally, there should be no amendments made to a home after 12 months from the time the job has been reported to DE. Due to WPN 11-03 (see Attachment 3-3), subgrantees may not charge the WAP for additional work on homes weatherized after January 10, 2011.

Correction amendments for financial revisions to client files are still allowed.

VII. Reporting Homes

A. Quality Control Inspected Homes

Homes may only be reported as complete if they have passed a Quality Control Inspection (QCI) per 10 CFR 440.16(g), and WPN 15-4.

B. Non Quality Control Inspected Homes

Homes that cannot pass a QCI must be completely rejected in MoWAP. Any expenses associated with the home can be reported under the Program Operations Support Costs budget category. Completely rejected client files associated with expenses that are reported on a reimbursement must have all applicable required documents uploaded. If a reimbursement contains expenses related to a rejected client file, the name and job number must be entered by the agency in the reimbursement comment box prior to submitting.

Homes may be unable to have a final QCI inspection due to reasons such as:

- The client dies after work has been completed but before the final inspection has been completed.
- The client moves after work has been completed but before the final inspection has been completed.
- The client fails to show up for (or refuses to schedule) the final inspection.
- The client doesn’t get a measure installed that they want, and becomes uncooperative/abusive.
C. Procedures for Reporting Non-Quality Control Inspected Homes

Homes that do not receive a final QCI inspection, due to extenuating circumstances, cannot be reported as a completed unit. Expenses may be reimbursed as Program Operations Support Costs, but the home is not reported as a completed unit.

- Contact requirements remain the same. An agency must keep documentation that they attempted to contact a client three times within a 14 day period, with two of the attempts being a minimum of 7 days apart, with no success.

- After 3 contact attempts with no success, the QCI inspector will note on the Quality Control Inspection Form that they could not complete the final inspection and make a note in the MoWAP client file comment section why the home could not be final inspected. The QCI inspector will not sign or date the Quality Control Inspection Form and a note that the final inspection was not performed (and why it couldn’t be performed) will be entered into the comment section of the form. In the MoWAP client file, the actual costs from the invoices should be entered on the client file work orders, and no additional information should be entered in the final inspection section.

- After it is determined that the agency’s QCI inspectors will not be able to complete a final inspection, the client file should be deferred in MoWAP.

- Although the home will not be reported as a completed home on a MoWAP reimbursement, the physical client file must be retained, and must contain all the required documents that were completed to the time of deferral (application, income, home ownership, utility bills, NEAT/MHEA recommended measures, invoices, etc.).

- The labor and material costs for the non-QCI inspected home will be reported under the Program Operations “Other” budget category. A note must be made on the comment section of the MoWAP reimbursement screen identifying what home was unable to be inspected. Include the client’s name and MoWAP job number. Also indicate how much labor and material costs are being charged to the grant (or grants, if split funding the expenses for the home).

- The uploaded general ledger must clearly identify the labor and material expenses being reported for the non-QCI inspected home.

- A home will be considered Weatherized, and ineligible for future Weatherization services, if 60% of estimated costs (based on the NEAT/MHEA) have been expended on the home and a Quality Control Inspection cannot be completed.

VIII. Leveraging Activities

Federal regulations allow weatherization funds to be used for leveraging activities. Under leveraging, subgrantees work at developing relationships with property owners, utility companies and other entities that generate non-Federal resources for the program. Non-Federal resources are used to supplement the program and expand energy efficiency services and/or increase the number of dwelling units completed for weatherization eligible clients.
NOTE: Leveraged funds may not be used to buy-down non-cost effective measures.

Subgrantee agencies may request up to, but no more than, five percent (5%) of their DOE grant allocation for leveraging purposes. Subgrantee requests for leveraging must include specific planned leveraging activities, targeted partners (e.g. landlords, utilities or other agencies), and estimated outcomes including dollar amounts. If agencies do not initiate meaningful leveraging activities, the funds may be considered as state carryover and may be redirected to other agencies.

Utility funds for weatherization obtained by the DE through utility regulatory cases or other actions may not be reported by subgrantees as leveraged funds.

Landlord contributions are technically a form of leveraged funds but they are not a part of the grant and are not reported under leveraging activities.

Contributions received from the owner/landlord are not to be reported as Program Income and should be applied to the cost of the home being weatherized in order to reduce that home's weatherization expenditures. Landlord contributions must be used to reduce the cost of the home in which the contribution was made.

DE and DOE encourage subgrantees to form partnerships with other Federal programs, as defined in 10 CFR 440.16(e). These funds, partnered with Weatherization funding, will supplement the Weatherization program and are not considered leveraged funds.

IX. Monthly Reporting

10 CFR 440 authorizes DOE to collect such reports as it deems necessary to carry out its responsibilities.

All agencies are required to submit a monthly reimbursement request through MoWAP to the DE Weatherization Program by the 10th day of each month. All homes to be reported for that month must be on a reimbursement that is submitted by the 10th. An agency may choose to submit an additional reimbursement later in the month for administration or support costs, but no homes may be submitted after the 10th without prior authorization from DE. If an agency has no homes to report and is requesting no financial reimbursement, e-mail notification is required to be sent to DE.

The final reimbursement request must contain any receipts from the sale of equipment and/or vehicles that have not been used to offset program operation costs or equipment purchases. These documents must be uploaded to the reimbursement.

X. Quarterly Reporting

Failure to submit progress and financial reports on time may result in cancellation of the subgrant agreement or other penalties as determined by DNR.

All agencies are required to submit all quarterly reports for federal subgrants to the DE by the 15th day of the month following the quarterly reporting time frame. Agencies are required to submit the following quarterly reports:
• Other Fund Sources Report (Attachment 3-1)
• Woman Business Enterprise/Minority Business Enterprise (WBE/MBE) Report and Instructions (Attachment 3-2)

The quarterly reporting time frames are as follows:

• 1st Quarter July 1 – September 30, DUE October 15th
• 2nd Quarter October 1 – December 31. DUE January 15th
• 3rd Quarter January 1 – March 31 DUE April 15th
• 4th Quarter April 1 – June 30 DUE July 15th

If the 15th of the month falls on a weekend or State holiday, the due date will be the subsequent business day.

XI. Annual Single Audit Report
A complete Single Audit Report is due annually to DE within nine months from the end of the agency’s fiscal year or thirty days from the date the final report is submitted to the recipient by the independent auditor. (See Section 4 and Attachment 4-2 for specific instructions.)

XII. Annual Vehicle and Equipment Inventory Report
All agencies are required to submit an annual Vehicle and Equipment Inventory Report by December 1 of each year. (See Attachment 3-4 for specific instructions.) Any vehicle or equipment that is stolen or damaged must be reported to DE immediately.

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Section 4 – Financial Management

The objective of the Financial Management Section of the Weatherization Operations Manual is to outline the fiscal policy used by DE in the management of the Low Income Weatherization Assistance Program formula grant. The requirements are as follows:

I. Budget Submission and Revision

A. Submission

1. Budgets (See attachment 4-1 for budgeting instructions.)

   Prior to awarding a subgrant, the following documentation must be submitted to the DE through MoWAP:

   a. Detailed budget.
   b. Production services goals.
   c. Personnel descriptions with percent of position that is being funded through the grant.
   d. Cost Allocation Plan
   e. Indirect rate negotiation information (if applicable).
   f. Proof of commercial liability insurance, real and personal property insurance, automobile insurance, workers’ compensation insurance, and environmental/pollution occurrence insurance.

2. DOE subgrants require the following additional documentation:

   a. Leveraging Plan - The subgrantee is required to submit a plan documenting how leveraging funds will be managed. Approval of the leveraging plan is required prior to incurring costs in this budget category. The leveraging plan will include, but is not limited to, specific planned activities; meetings with targeted partners (e.g. landlords, utility, other agencies); and estimated outcomes, including dollar amounts.

   b. Training and Technical Assistance (T&TA) Plan - The subgrantee is required to submit a plan documenting how T&TA funds will be managed. Dollar amounts must be associated to each training activity outlined in the plan. Approval of the T&TA Plan is required prior to incurring costs in this budget category. The T&TA Plan will include, but is not limited to, agency-specific priorities for training and technical assistance (e.g. major turnover of energy auditors will require investment in basic weatherization training, blower doors, heating systems, the NEAT/MHEA).

3. Revisions

   Budget revisions, as explained in 2 CFR 200.308, must be submitted to DE through MoWAP. 2 CFR 200.308 details the circumstances that require budget revisions and when prior approval is required. Changes in the production schedule are considered as changes in the scope of work and require approval by DE.
B. Budget Categories

1. Administrative Funds

   a. Allocation: Each program year, DE allocates five percent (5%) of new funding to be allocated as administrative funds to the WAP agencies using the funding formula. A subgrantee allocated less than $350,000 in total WAP funds may request up to an additional five percent (5%) in administrative funds. However, the additional funds are not in addition to the base grant, but will be taken from the program operations category. To qualify for increasing the administrative funds, the subgrantee must justify its need. The following items will be considered: (1) an approved indirect rate, (2) previous year expenditure for the WAP and (3) the planned purchase of equipment to manage the WAP.

   b. Carryover: DE will authorize WAP agencies to carry over administrative funds in an amount equal to a subgrantee's unspent administrative funds from the previous program year, providing the rate of administrative expenditures to total expenditures is not greater than the amount allowed in the budget section of the grant award. Discrepancies between the financial audit and reported expenditures will be adjusted in the next supplemental or regular budget period.

   c. Total Administrative Budget: The total administrative budget is the sum of the new administrative funding allocated under the base grant, the amount of administrative funds carried over from the previous year and any increase approved as outlined above.

   d. Administrative Restrictions:

      1) The WAP portion of the agency's single audit costs are not to be included as an administrative expense unless financial audit costs are included in the indirect cost pool of a negotiated approved, indirect cost rate. This expense is to be budgeted in the "Financial Audit" budget category.

      2) Non-administrative carryover funds may not be converted to the administration funds category.

      3) If a subgrantee's expended administration funds exceed twenty percent (20%) of total WAP expenses at the end of any reporting period, DE may require written justification from the subgrantee.

2. Insurance

   All subgrantees must secure appropriate insurance coverage for their agency and their weatherization personnel. All insurance must be procured by the competitive bid process and must include these types:

   - **Vehicle/Equipment Insurance** to protect program property from damage and loss. All vehicles (and equipment where appropriate) must have personal and property liability insurance. Should the cost of the insurance exceed the value of the vehicle or equipment, replacement coverage need not be carried. Vehicle/equipment insurance is to be recorded in the Program Operations budget category.
Commercial Liability Insurance for agency coverage, and for personnel who perform on-site work and pre- and post-inspections. Both personal injury and property damage, and completed product liability insurance must be included in this policy. Liability insurance is to be recorded in the Insurance budget category.

Pollution Occurrence Insurance (POI) is required to be carried by each subgrantee. POI insurance is to be recorded in the Insurance budget category.

Real and Personal Property Insurance to cover all weatherization assets owned by the program from damage and loss. Property insurance is to be recorded in the Program Operations budget category.

Workers’ Compensation Insurance is required to be carried by each subgrantee. Workers’ compensation insurance is to be recorded in the Program Operations budget category.

3. Financial Audit

10 CFR 440.23 permits a separate budget category for financial audits. Unless financial audit costs are included in the indirect cost pool of a negotiated, approved, indirect cost rate, it is recommended to budget that expense in the “Financial Audit” budget category. This will help to not over-burden the limited administrative cost category.

4. Leveraging

Subgrantees may budget up to, but no more than, five percent (5%) of their grant allocation for leveraging activities. A leveraging plan is required to be submitted with each budget. Leveraging activities include paying for agency staff or hiring consultant staff to explore and develop partnerships with property owners, utility companies and other entities that generate non-federal resources for the program. Other allowable activities include: holding leveraging meetings; preparing technical materials/briefs or facilitating voluntary match funds from a non-Federal source. The leveraged resources should expand energy efficiency services and/or increase the number of DOE-eligible dwelling units weatherized. The work done with leveraged resources must be consistent with an approved energy audit and utilize cost-effective measures. Leveraging efforts will not always be successful, but subgrantees should aim to produce more than one dollar leveraged for each DOE dollar expended.

Utility funds that are administered by DE through utility regulatory cases or other actions may not be reported by subgrantees as leveraged funds.

NOTE: Leveraged funds may not be used to buy down non-cost effective measures.

5. Training and Technical Assistance (T&TA)

Expenses charged to this category are used to fund training to support weatherization, subject to restrictions found in 2 CFR 200 and DOE program guidance. A T&TA plan is required to be submitted with each annual budget. T&TA activities are intended to maintain or increase the efficiency, quality and effectiveness of the Weatherization
Assistance Program at all levels. Such activities should be designed to maximize energy savings, minimize production costs, improve program management and crew/contractor "quality of work", and reduce the potential for waste, fraud and mismanagement.

Any expenditures for membership in professional organizations must be approved by DE in advance, and be included in the T&TA plan that is submitted with the subgrantee’s budgets.

6. Program Operations

Program operations is defined as all expenses that directly support low-income weatherization operations. These include, but are not limited to, support (personnel and other expenses), labor and materials directly related to weatherizing homes, vehicle and property insurance, telephone and office supply expenses not allocated as administrative expenses under the agency cost-allocation plan and rental of office space.

C. Carryover Restrictions

Administrative, Leveraging and T&TA funds may be carried over in their respective categories or converted into Program Operations.

Program operations funds may be carried over, but shall not be converted to administrative, leveraging or T&TA funds.

Federal WAP funds not spent by the end of a program year may be recaptured. However, fifteen percent of total WAP subgrant funds may be carried forward. If a subgrantee determines the need to carry over monies in excess of fifteen percent of grant funds, approval must be obtained from DE. Before state approval may be granted, a detailed request that explains the necessity of the carry over funds and the circumstances that caused the subgrantee to carry over an amount greater than fifteen percent must be submitted. The request should also describe the corrective measures that will be taken to ensure that carry over funds will not exceed fifteen percent in the following year and have assurances that WAP clients have not or will not be deprived of WAP services. Funds in excess of fifteen percent of the base subgrant may be redistributed as determined by DE.

Carryover funding will not be allowed at the end of a federal grant cycle. All unexpended funds will be lapsed.

D. Cost Limits

1. Average Cost per Home

DOE establishes a national average expenditure limit per home each program year. This average is identified in the State WAP plan and can also be found at the Weatherization Assistance Program Technical Assistance Center (WAPTAC) under Program Guidance at https://nascsp.org/wap/technical-assistance-centerwaptac/.

DE reserves the right to approve or reject certain costs as allowed expenditures. Costs for program operations that exceed the established annual average cost per home, as specified in 10 CFR 440.18(b), may be repaid to DE if the statewide average is more than the amount specified in 10 CFR 440).
At the close of the program year, if the statewide average is less than the maximum allowed by program rule, but a subgrantee's average is above the maximum, DE reserves the right to recapture excess expenditures. Subgrantees may submit a request for waiver to DE, attention: Weatherization Program Director and Administrator.

During the program year, if DE determines that the average cost per home will exceed the maximum allowable annual average cost per home, additional cost restrictions may be imposed. Implementation of these limits will be based on data gathered by DE regarding actual cost averages and may be imposed on one or all subgrantees as needed. The State will notify the subgrantee of the cost restrictions to be implemented and procedures for implementing the restrictions. Upon receipt of such notification, the subgrantee will be required to implement this procedure for all homes for which materials have not been ordered or for which a job order has not been issued to a contractor.

2. **Incidental Repair Cost Limits**

All incidental repairs must be justified in the client file with the Incidental Repair Justification Form (LIWAP Technical Manual Attachment 2.7) with an explanation for their need and the associated relationship to a specific cost effective weatherization measure or group of measures. Incidental repairs, as defined in 10 CFR 440, means those repairs necessary for the effective performance or preservation of weatherization materials. The Incidental Repair Cost Limit for site-built and mobile homes is $600 in materials. A subgrantee is required to request prior approval from DE for any incidental repairs requiring more than $600 in materials before commencing work on the project. The request and approval/disapproval documentation should be uploaded to the MoWAP client file. Refer to LIWAP Technical Manual Section XII, Subsection D: Incidental Repairs for additional information.

3. **Health and Safety Cost Limits**

A statewide limit for the average cost per home for Health and Safety abatement costs has been set at twenty percent of program operation expenditures. DE recognizes that some hazards will be beyond the scope of the resources of the program to abate. Dwellings that contain such hazards will be deferred if a serious hazard is likely to be aggravated by the weatherization process or cause harm to the technicians working on the home. If conditions are found that endanger the occupants and are beyond the scope of the WAP, a subgrantee should take whatever actions necessary to inform the occupants and appropriate authorities. Additional health and safety information is available in the Weatherization Master File under Health and Safety Plans (See the link to Appendix A of this manual).

4. **Minimum Material and Labor Expenditures per Funding Source**

It is required that a minimum of $100 in labor and/or material expenditures per unit must be reported on a DOE reimbursement. Exceptions to this policy will be allowed for end of grant reimbursements or other special circumstances pre-approved by DE on a case-by-case basis. Please remember that all units reported to DE for reimbursement must be split funded with DOE funds. (See Section 3, page 29.)
When split funding units with two or more funding sources that DE administers, it is required that a minimum of **10% in labor and/or material expenditures per unit** must be charged to each of the non-DOE fund sources that the unit is being split with. Exceptions to this policy will be allowed for end of grant reimbursements or other special circumstances pre-approved by DE on a case-by-case basis.

**NOTE:** In accordance with the Memorandum of Understanding (MOU) between DE and the Missouri Department of Social Services regarding the LIHEAP transfer, any LIHEAP funds expended **must** be tied to a client name. Therefore, LIHEAP funds may not be used to pay for any measures on a vacant unit in a multi-family structure.

E. E-Verify

E-Verify is a web-based system that allows enrolled employers to confirm the eligibility of their employees to work in the United States. E-Verify employers verify the identity and employment eligibility of newly hired employees by electronically matching information provided by employees on the Form I-9, Employment Eligibility Verification, against records available to the Social Security Administration (SSA) and the Department of Homeland Security (DHS).

E-Verify is a voluntary program. However, employers with federal contracts or subcontracts that contain the Federal Acquisition Regulation (FAR) E-Verify clause are required to enroll in E-Verify as a condition of federal contracting. Please see [https://www.e-verify.gov/](https://www.e-verify.gov/)

As a requirement of issuing grants to subgrantees, the subgrantees are required to submit documentation affirming their organization’s enrollment and participation in the E-Verify federal work authorization program.

1. If the Missouri Office of Administration (OA) has the agency’s E-Verify document on file (and it is not expired) then the agency does not have to provide further information. To determine if an agency has their E-Verify documentation on file with OA, click on the “Affidavits for Work Authorization link”:
   [https://oa.mo.gov/sites/default/files/affidavits.pdf](https://oa.mo.gov/sites/default/files/affidavits.pdf)

2. If the E-Verify Work Authorization Affidavit is about to expire, an **Affidavit of Work Authorization** must be completed and notarized (see attachment 4-4). This document must be scanned and emailed to the Weatherization Program Office. Staff from DNR will then forward that information to OA.

3. If an agency does not have their E-Verify documentation on file with OA, the agency will be required to submit documentation affirming the organization’s enrollment and participation in the E-Verify federal work authorization program (pursuant to Section 285.530, RSMo). Documentation shall include:

   a) The **E-Verify Employment Eligibility Verification** page listing the entity name and entity ID OR a page from the **E-Verify Memorandum of Understanding (MOU)** listing the entity name and the MOU signature page completed and signed, at minimum, by the entity and the Department of Homeland Security – Verification Division. **Sample** documentation can be found at:
http://oa.mo.gov/purchasing/vendor-information/e-verify-information. If the signature page of the MOU lists the entity’s name and entity ID, then no additional pages of the MOU are required to be submitted. Should an agency need assistance in obtaining documentation they can contact the E-Verify federal work authorization program. (Website: https://www.e-verify.gov/ ; Phone: 888-464-4218; Email: e-verify@dhs.gov)

b) The completed, notarized **Affidavit of Work Authorization** (see attachment 4-4).

c) These documents must be scanned and emailed to the Weatherization Program Office. Staff from DNR will then forward that information to OA.

F. Sales and Use Tax Compliance

As a requirement of issuing grants to subgrantees, DE is required to check the status of the Sales and Use Tax Compliance against the SAM II payment information for each agency. Please see the following link to the Department of Revenue’s (DOR) webpage for additional information: https://dor.mo.gov/business-sales/hb600.php

DE is able to check the status of each of the agencies Sales and Use Tax Compliance in SAMII. However, if no information is found in SAM II the agency must request a “Vendor No Tax Due” statement from DOR (see attachment 4-5).

The Missouri Department of Revenue will issue a “Vendor No Tax Due” statement when a business is properly registered and has all of its sales/use tax paid in full. If taxes are due, depending on the payment history of the business, a cashier's check or money order may be required for payment before a certificate of no tax due can be issued.

A Vendor No Tax Due can be obtained by contacting the Missouri Department of Revenue, Taxation Division, P.O. Box 3666, Jefferson City, MO 65105-3666. You may also call (573) 751-9268, fax (573) 522-1160, or email taxclearance@dor.mo.gov.

Once the agency has obtained the “Vendor No Tax Due” statement from the DOR, please scan of copy of the document and email it to the Weatherization Program Office so that the agency’s records can be updated in DE’s accounting system.

II. Funding

A. Subgrant Advance

The purpose of advance funding is to provide funds to cover the lag between the time a subgrantee incurs an expense and is reimbursed by the State. DE may withhold reimbursement requests in order to liquidate the advance. All advances must be fully expended by the end of the grant period in which the advance was requested. Advancements must be requested through MoWAP.
B. Subgrant Advance Policy

The actual amount of advance funding will be based on the amount of expenditures the subgrantee expects to make in the first 60 days of the advance period. The advance will be reconciled with actual expenditures within the first 90 days of the advance. However, this does not preclude the subgrantee from submitting additional advance funding requests after the initial advance has been at least 66.7% reconciled with actual expenditures. Any subsequent advance funding requests must be in 60 day or less increments, and must be reconciled with actual expenditures on or before the next 90 days of the grant period. No ensuing advance funding requests will be approved until the previous request has been at least 66.7% reconciled with actual expenditures. A less restrictive reconciliation schedule may be considered by DE on a case by case basis. There must be a zero agency fund balance (i.e., a full reconciliation of advances to expenditures) at the end of the grant period. Also, please be aware that advance funding is subject to federal cash management rules that can be found in 2 CFR 200.305. Required documentation for upfront funding must be uploaded to the advancement request on MoWAP. The following are the basic requirements that must be followed:

1. If advance funding is authorized, those funds must be deposited into an insured, interest bearing account.

2. Advance funding requests cannot exceed twenty five percent of the total grant amount unless the recipient demonstrates good cause.

3. Recipients of advance funding must maintain or demonstrate the willingness to maintain written procedures that minimize the time elapsing between the transfer of funds and disbursement by the subgrantee and that the subgrantee has a financial system that meets standards for fund control and accountability.

4. The timing of cash advances shall be as close as administratively feasible to the actual disbursements by the subgrantee.

5. Interest must be earned from the day the advance is deposited until it is withdrawn to make a payment and, if any advance funding remains after payment (positive cash balance), it will continue to draw interest until it is withdrawn for another payment.

6. If interest earned on the advance exceeds the $500 threshold established in 2 CFR 200.305, the amount over $500 must be repaid to the Federal Department of the Treasury.

7. The initial advance will be reconciled with actual expenditures within the first 90 days of the advance. Any subsequent advance funding requests must be in 60 day or less increments, and must be reconciled with actual expenditures on or before the next 90 days of the grant period. No advance funding requests will be approved until the previous request has been at least 66.7% reconciled with actual expenditures. There must be a zero agency fund balance (i.e., a full reconciliation of advances to expenditures) at the end of the grant period.
8. Reconciliation of the advance funding will begin the first month of the 90 day (three months) reconciliation cycle. Payment requests will be reduced by 33.3% of the advance funding amount in the first month, 33.3% in the second month and the remaining 33.4% in the third month of the 90 day reconciliation cycle. If payment requests do not cover the advance funding amount, then payment requests will not be paid until the advance can be reconciled with actual expenditures.

To support the amount of requested advance funding, the following documentation must accompany each request:

- **Vehicles and Equipment** – Submit bid documentation and copies of approval letters from DOE and DE for all vehicle purchases or equipment that costs over $5,000 per unit, for the expected purchases that will be completed during the period for which advance funding is being requested. In addition, provide information regarding the number of vehicles the agency plans to keep (year and approx. miles), those the agency plans to get rid of (year/miles), number of existing staff and number of new hires to show the need for the additional vehicles.

- **Training** – Submit type of training, cost, and employee(s) or contractor(s) that will be attending training during the period for which advance funding is being requested.

- **Names and addresses of the homes** that will be weatherized during the period for which advance funding is being requested.

- **Dates when weatherization work** is scheduled to begin on each of the homes.

- **If energy assessments** have been performed on the homes, include the projected cost of completing the weatherization work. Costs should include support, materials and labor.

- **Additional space costs** – Submit copy of lease/rent or space allocation agreement.

- **Any additional documentation** that the agency considers important to support the request for advance funding.

- **Written procedures** that outline advance funding requirements in accordance with 2 CFR 200.305.

Advance funding requests are to be completed through the MoWAP system. This is done through the Advancements Screen which can be accessed from the main menu. Supporting documentation for the advancement must be uploaded on the Advancements Screen through MoWAP.
C. Reimbursement

The intent of DE is to process reimbursements in a timely manner if proper documentation is submitted.

DE’s preferred method of payment is reimbursement.

Reimbursement requests shall be submitted through MoWAP. (See Section 3 of this manual for reporting requirements) Reimbursement reporting requirements include uploading the general ledger/working papers for support cost documentation. The expenditures on the reimbursement and the general ledger/working papers must be reviewed to ensure that they are allowable per grant guidelines. The expenditures on the reimbursement must be posted to the general ledger/working papers. The total on the general ledger/working papers must match the total expenditures on the MoWAP reimbursement. Any reason for variances must be noted on the general ledger/working papers. The general ledger/working papers should include references to the homes attached on the reimbursement, and include contract labor, crew labor, and materials. This must match the MoWAP reimbursement.

Upon receipt of the reimbursement request, DE shall perform an analysis of the request and shall initiate reimbursement procedures. The purpose of the analysis is to review revenue and expense categories and identify significant variances from the subgrant budget as well as non-compliance with expense and revenue limits. Client files reported on reimbursement requests are reviewed to ensure compliance with WAP program rules and technical standards. (See Attachment 1-4: MoWAP Client File Review and Reimbursement Checklist.)

Any corrections or revisions noted by DE staff that need to be completed by the weatherization agency before reimbursement can be authorized will be relayed to the agency through MoWAP and email, and documented in the agency monthly report files.

Once DE’s review is complete and reimbursement approved, DE staff will enter and approve reimbursement requests in the SAM II state accounting system for payment.

Agencies must ensure a zero agency fund balance at the end of the grant period, meaning advances must be reconciled to zero. DE will withhold approving reimbursements during the fourth quarter until the agency reconciles their advance fund balance to zero.

III. Weatherization Funded Asset Management

A. Inventory

Materials inventory shall be valued on the Agency’s Balance Sheet using the First In/First Out (FIFO) inventory valuation method.

Agencies may choose either the perpetual or periodic inventory system. If the perpetual system is chosen, the agency must record the results of a reconciliation between a physical inventory and the general ledger carrying value of the inventory at the end of the program year. This documentation should be kept in agency weatherization files in the event monitors/auditors want to review that information.
B. Equipment

Reportable equipment and vehicles are defined as equipment with a cost equal to or greater than $5,000.

The agency must insure its equipment in accordance with the provisions of 2 CFR 200.

DE requires an annual equipment inventory. The results of the annual inventory are due to DE not later than December 1 of the current Program Year. (See Attachment 3-4 for the Vehicle and Equipment Inventory Form.)

For guidance on the disposition of vehicles, equipment, and/or property, see Section 5, subsection III, Part D in this manual.

IV. Closeout of Weatherization Program Years

Subgrantees may only report homes as completed that have all work and a fully passed quality control inspection completed by the end date of the grant period specified in the Terms of Grant Agreement. Only services or supplies received prior to the end of the program year will be reimbursed by DE (i.e., services, office supplies). DE will not reimburse the cost of any material inventory or for homes in progress.

V. Final Reimbursements and Audits

A. Final Reimbursements

Authority to spend subgrant funds is for a specific time period. The final reimbursement must document expenditures as of the last day of the month of the end of the grant period. Each subgrantee must submit an accurate final reimbursement within 30 days following the end of the grant period.

B. Audits (See Attachment 4-2)

A complete audit report is due to DE within nine months from the end of the agency’s fiscal year or thirty days from the date the final report is submitted to the recipient by the independent auditor.

VI. Program Income

DOE defines program income as any funds earned by grantees and/or subgrantees from non-federal sources during the course of performing DOE Weatherization work. The income generated must be used to complete additional dwelling units in accordance with U.S. DOE rules.

Program income is subject to the specific guidance provided in 2 CFR 200.307, and should be treated as an addition to program funds and are subject to the same rules as appropriated funds. DOE will stipulate, in the grant award, that program income is to be treated as an addition to program funds. Property owner (i.e. landlord) contributions and leveraged resources (i.e. utility or State funds) are NOT considered to be "program income" for the purposes of the Weatherization Assistance Program.
VII. Terminology Definitions

**Beginning Fund Balance:** Funds that have been advanced but not expensed from the previous grant.

**Ending Fund Balance:** The sum of the Beginning Fund Balance + Grant Income + Program Income – minus total Expenditures. This is the Total Reimbursed field on the MoWAP Reimbursement/Advancement screen.

**Grant Balance:** The total agency grant amount, minus reimbursable expenditures. This is the “Available” field on the MoWAP Reimbursement/Advancement screen.

**Reimbursable Expenditures:** Allowable costs incurred by the agency within the specified program year. This is the “Current Expenditures” field as displayed on the MoWAP Reimbursement screen.

**Report Month:** The recorded month reported on a reimbursement through MoWAP. Agencies may choose either the current or immediately previous month when reporting reimbursement information through MoWAP.

(See MoWAP Agency User Manual for additional MoWAP definitions.)
Section 5 – Procurement

I. Small, Minority, and Women-Owned Business Enterprises

Positive efforts shall be made by each subgrantee to utilize small, minority, and women-owned business enterprises as a source for supplies and services. An effort must be made to reach small, minority (MBE) and women-owned business (WBE) enterprises at the standard bid time through notification of the bid solicitation, as well as by contacting people who can provide information on these business enterprises (see Competitive Procurement Standards, Part V). Steps the subgrantee must take to solicit small, minority, and women-owned business enterprises include, but are not limited to the following: The subgrantee must (1) make a good-faith effort to solicit bids from all interested and eligible suppliers and (2) shall advertise formal bids in at least two daily newspapers of general circulation in such places as are most likely to reach prospective bidders. The following is the website for MBE/WBE participants: https://apps1.mo.gov/mwbcertifiedfirms/.

II. Procurement of Building Insulation Products Containing Recovered Materials

(Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976)

A subgrantee using federal WAP funds must put into effect affirmative procurement programs to procure items made from the highest percentage of recovered materials practicable, considering competition, availability, technical performance, and cost, if procurement contracts for such items exceed $10,000. In addition, EPA guidelines effective February 17, 1990, specify insulation products purchased in bulk lots exceeding $10,000 must meet the intent of this Act. (See Subsection X, C of this section for more information.)

III. Procurement, Management, Leasing, and Disposal of Non-Expendable Property

Purpose: This section is to inform Missouri Weatherization subgrantees of the procedures that must be followed in the procurement, management and disposal of vehicles and equipment. Specific requirements are described below.

A. Vehicle and Equipment Purchase Guidelines

All agencies seeking to purchase vehicles or weatherization equipment greater than $5,000 in value must receive prior written approval for the purchase by providing DE with a purchase justification for each request. **NOTE: All vehicle purchases, even if purchase price is below $5,000, require both DOE and DE approval before the vehicle may be purchased.**

The purchase justification should be submitted on the, “Vehicle/Equipment Purchase Lease Request” form (see Attachment 5-6). All portions of this form are to be completed. Additional supporting information should also be submitted at the time the request is made. This purchase request form must also be submitted if an agency wishes to purchase a surplus vehicle or equipment from another agency at a cost of $5,000 or more.

Only under special circumstances, and with DE’s prior approval, shall agencies purchase used vehicles or equipment at a cost of more than $5,000.
Subgrantees must comply with all requirements specified in 10 CFR 440 and 2 CFR 200, and the requirements specified in the Scope of Services and the Missouri Weatherization Program Competitive Procurement Standards. Also, for further information see Subsection V, Competitive Procurement Standards, and Subsection VI, Solicitation in this section).

All vehicles/equipment must be purchased no later than 60 days prior to the close of the program year.

For approval of all vehicles and equipment purchases over $5,000, the minimum information required by DOE and DE includes the following:

(Items 1-6 should be completed in letter format.)

1. Name of requesting Grantee and subgrantee

2. Where the vehicle will be used and how it will be used. Specify, full or part time use in Weatherization Program.

3. A statement of whether this is a replacement or an expansion for ramp-up, number of new employees planned or already hired that will be using the vehicles, and if this is a replacement, how is the trade-in being addressed?

4. Brief description of how the procurement will be done, and the confirmation that agency, State and Federal procurement guidelines will be met. See 2 CFR 200.317-326 – Procurement Standards.

5. What funding source(s) budget category will be used, (ex. DOE Weatherization Program Operations Funds). **Subgrantee T&TA funds are not an allowable option.**

6. Statement that lowest bid will be selected, or a sufficient justification of the “best value selection” if the lowest bid was not recommended for DOE approval.

7. Copies of bid specifications (vehicle description with options requested) and a bid analysis indicating at a minimum, each bidder, the bid price, a determination whether the proposal met the bid specification.

8. Copies, or invoices, of the sealed bid newspaper advertisements (for vehicle or equipment purchases $25,000 or greater.

9. The Vehicle/Equipment Purchase, Lease Request Form, must accompany the purchase request. (See Attachment 5-6.)

In addition, subgrantees should consider and weigh the options concerning leasing versus purchasing. If a lease-purchase option is proposed, even if the purchase price is as small as one dollar, DE and DOE must approve the transaction in advance.

Subgrantees are eligible to purchase from Missouri’s surplus property as well as utilize the State’s contracts for vehicle purchases and other equipment such as computers, blower doors, infrared thermal imaging cameras, combustion analyzers, ambient carbon monoxide meters, and gas leak detectors.
B. Property Management

Subgrantees must complete and submit the Vehicle and Equipment Inventory Report (Attachment 3-4) to DE by December 1st of each year.

The subgrantee will comply with all procedures specified in 10 CFR 440 and 2 CFR 200.

Sufficient insurance must be provided for all non-expendable property.

C. Leasing

Agencies that lease equipment, buildings, or vehicles from leasing companies; or agencies that lease equipment, buildings, or vehicles to their Weatherization Assistance Program, must comply with the following:

The subgrantee must itemize the cost of leasing in the subgrant application and submit justification for the lease of equipment, buildings, or vehicles. The method of lease should be outlined in the justification and on the Vehicle/Equipment/Building Purchase/Lease Request (i.e., whether the agency plans to use a leasing company/dealership or the agency is leasing to the Weatherization Program). The form should be submitted to DE when requesting approval.

The subgrantee must choose the method with the lowest cost to the program (i.e., leasing company/dealership or agency lease to program).

Justification for the lease should contain at least three telephone or informal bids from leasing companies/dealerships (the informal bid process may be used if the lease is between $3,000 and $24,999; if it is $25,000 or more, then a formal bid process must be used). A written comparison justifying the cost-effectiveness of lease vs. purchase must be submitted to DE. When leasing/renting properties, bids should be of comparable square footage. The vehicle/equipment to be leased must be of the same quality as the vehicle/equipment purchase specification. The leasing of equipment must be as an alternative to reduction of support costs. The Vehicle/Equipment/Building Purchase, Lease Request form must be filled out completely. All documentation must be submitted to DE for prior approval.

D. Property Disposition

For purposes of this section, property is defined to mean equipment and vehicles purchased in accordance with DOE weatherization rules.

Per DOE, current fair market value refers to whatever the subgrantee can sell the property for or what a buyer is willing to pay. The sale of property and any proceeds received is subject to monitoring by both DE and DOE. Thus, it is the responsibility of the subgrantee to maintain very detailed and clear records for documentation. Subgrantees will have 90 days from the date of the Approval letter from DE and/or DOE to dispose of the property. The subgrantee will notify DE after the sale by submitting an Equipment/Vehicle Disposal Report.
For additional reference, see 2 CFR 200.313(e)(2), Department of Energy Financial Assistance Rules, as amended, the requirements specified in the DNR Terms and Conditions; and the Missouri Weatherization Program’s Competitive Procurement Standards.

1. Process Steps (Sale of Equipment):
   a. Determine if property is to be disposed of through sale or transfer
   b. Determine price of property when purchased
   c. Determine current fair-market value of property
   d. Contact DE
   e. Complete and electronically submit required forms and documentation to DE and receive prior approval, if required, before proceeding with disposal (See Table 1).
      • For property requiring DOE approval, the subgrantee must wait for DE written notification in order to proceed with disposal.
   f. Subgrantee must announce surplus property as available to the weatherization network first, with a deadline given to respond if interested, before selling on the open market.
      • If no subgrantee in the weatherization network expresses interest in the property, the subgrantee may dispose of the property through open sale.
   g. Subgrantees must make a good faith effort to sell a vehicle at current fair market value (advertised auction, sealed bid, etc.) and ensure the sale price is reasonable (subgrantees have the ability to set a minimum bid price).
      i. The subgrantee should follow their agency’s internal policy of disposing of excess property concerning how the items should be sold, such as sealed bid, advertised auction, etc.
      ii. Subgrantees should document what offers they received, and assign a value based on those offers.
      iii. Subgrantees may set a minimum bid price.
   h. The subgrantee will notify DE after the sale of the property by submitting an Equipment/Vehicle Disposal Report (Attachment 5-5) which allows DE to update inventory records.

2. Process Steps (Sale of Vehicles):
   a. This process follows the exact steps as disposition of equipment with one exception: All vehicles, no matter the original cost, must receive DE approval before being disposed of.
   b. Subgrantees must make a good faith effort to sell a vehicle at current fair market value (advertised auction, sealed bid, etc.) and ensure the sale price is reasonable (subgrantees have the ability to set a minimum bid price).

3. Proceeds from Property Sale
   a. Proceeds of $5,000 or more from sale:
      This policy applies to all sales regardless of the original purchase price or current fair market value.
      • Proceeds from the sale must be returned to the U.S. Treasury (See Returning funds to the U.S. Treasury for specific details).
• The agency is permitted to deduct and retain $500 for selling and handling expenses.
• The retained selling and handling proceeds must be placed in the grant source from which the property was purchased.

b. Proceeds of less than $5,000 from sale:
• All proceeds from the sale must be returned to the funding source under which the property was purchased. The funds returned will be used to reduce net program support expenditures in the current program year and will be documented as such in the Agency audit.

4. Returning Funds to the U.S. Treasury
   a. DE will provide the subgrantee with technical assistance in the completion of this process.
   b. The check should be made out to the U.S. Department of Energy and sent to the U.S. Department of Energy, Finance Division, 15013 Denver West Pkwy, RSF-DOE, Golden, CO 80401. DE will work with the subgrantee to identify the person(s) at DOE whose attention the check and letter should be routed. An electronic copy of the check and letter should be sent to DE and DOE.
   c. The DOE letter should identify the Grantee Name (Missouri Department of Natural Resources’ Division of Energy), Award Number (subgrantee should get this from DE), Subgrantee Name, reason for return, and the amount of funds withheld by the subgrantee for selling and handling expenses.

5. Process Steps (Transfer of Equipment To Other Federally Funded Programs):
   a. If the subgrantee no longer needs the property in the project or program for which it was acquired, they shall request approval from DE to transfer the property to another federally funded program.
   b. The property title, if applicable, must be retained by the subgrantee. As long as the property continues to have a fair market value of $5,000 or more, the use management and disposition requirements will apply to the property.
   c. The subgrantee must continue to account for the property in their inventory as long as the property continues to have a fair market value of $5,000 or more, in accordance with DOE’s financial assistance regulations.
      i. Property records must be maintained to include a description of the property, a serial number or other identification number, the source of property, who holds title, the acquisition date, the cost of the property, percentage of federal participation in the cost of the property, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.
      ii. At least annually, the subgrantee must take a physical inventory and reconcile the results with the property records.
         • Any differences between quantities determined by the physical inspection and those shown in the accounting records must be investigated by the subgrantee to determine the causes of the difference.
         • The subgrantee must, in connection with the inventory, verify the existence, current utilization, and continued need for the property.
d. If the subgrantee no longer needs the property in the project or program for which it was acquired or on other federally sponsored activities, the subgrantee may transfer the property to another subgrantee upon receipt of approval from DE.

e. Once the current fair market value is less than $5,000, the property may be retained, sold, or otherwise disposed of with no further obligation to DOE.
   i. For equipment see Process Steps (Sale of Equipment).
   ii. For property see Process Steps (Sale of Vehicles).

6. Process Steps (Transfer of Equipment To Other Weatherization Subgrantees):
   DOE has stated that they do not insert themselves in the relationship between a grantee and subgrantee; so as long as the vehicles/equipment stay within the general program that it was purchased under (LIWAP), the grantee may allow transfer between subgrantees.

   a. A written request must be submitted to DE for approval when a subgrantee wishes to transfer property that, when originally purchased cost $5,000 or more (per unit item), to another subgrantee in the Missouri LIWAP network.
   - **All vehicles, no matter the original cost must receive DE approval before they can be transferred to another subgrantee.**

   b. It will be the subgrantees’ choice of whether or not title of the property is to remain with the original subgrantee or if it will be transferred to the receiving subgrantee of the property.

   c. A very detailed, signed, and dated agreement between the two subgrantees must accompany the request to DE.

IV. Management of Weatherization Materials and Contracted Service

**Purpose:** The purpose of this section is to inform Missouri Weatherization subgrantees of procedures that must be followed in the management of weatherization materials. Specific requirements are described below.

**A. Procurement**

Subgrantees must comply with all requirements specified in 10 CFR 440 and 2 CFR 200, and the requirements specified in the DNR Terms and Conditions, Missouri Weatherization Program Competitive Procurement Standards.

**B. Selection**

**For materials and contracted service, only the lowest and best bid may be accepted**
(See Subsection V, Competitive Procurement Standards.)

For material items, if the lowest and best bid is not accepted, and the total cost of the items is less than $25,000, then documentation must be maintained in the files to explain the reason the lowest and best bid was not accepted.

For contracted service, the lowest and best bid must be accepted unless approved by DE in writing.

**C. Management**

Full accountability for all materials purchased is required.
Inventory is an asset, not an expenditure.

All materials not on a completed home are a part of inventory. This includes materials: 1) in the warehouse(s); 2) on vehicles; 3) on or at partially completed homes; or 4) on homes not reported in current or past months.

The inventory system must have a record that details the movement of material through the various stages of its handling. The record system shall be considered a part of the books of record for accounting and audit purposes.

The chart of accounts in the books of record must contain provision for 1) the total materials available during the year (i.e. carry-over inventory plus new purchases); 2) current inventory (monthly); 3) loss/gain (adjusted monthly); and 4) the materials on homes complete and reported.

The record system must also track the materials from purchase through installation on a completed home. Each step shall be documented, and signatures will be obtained to verify transmittal of material. The following steps are critical control points: 1) receipt of material (bulk or field purchase); 2) entry of material into the warehouse records; 3) movement of material to rolling or other subsidiary-type warehouses; 4) movement from warehouse (any type) to a specific job; and 5) installation on a job or return to a warehouse.

Bulk purchased materials must be recorded in a perpetual inventory system. Agencies must use the First In/First Out method for valuation purposes unless an Agency is granted specific and written permission to utilize a different system.

Specific job purchases (windows, contract installation or small field purchase) must be valued at actual cost.

Inventory must be reconciled monthly.

1. Determining loss/gain is a systems check as well as a physical count. Complete an accounting/inventory review to determine if losses are occurring at a stage other than physical loss.

2. Loss is charged to the program and not to an individual job. All loss that a DE monitor determines has been improperly charged to a job will be disallowed. The cost will be backed out of charges assessed to the job, and the agency will be responsible for bearing the cost with corporate funds. Continual violation will lead to stiffer penalties.

Agencies that contract for services may only charge loss to the program under special circumstances.

1. Agencies that contract for a specific type of service (i.e. insulation) but install some materials can charge loss for materials that were directly under the control of agency staff.
2. Loss may be charged for items ordered, which cannot be installed due to an act of God, for a specific house. As an example, if storm windows are ordered for a home that burns down prior to installation, the cost of the windows may be assessed to the program.

D. Disposal of Surplus/Salvage Weatherization Materials

Subgrantees must announce surplus/salvage weatherization materials as available to the weatherization network first before selling on the open market with a deadline given to respond if interested. If no subgrantee expresses interest in the property, the subgrantee may dispose of the property through open sale. The subgrantee should follow their agency’s internal policy of disposing of excess vehicles/equipment concerning how the items should be sold, such as sealed bid, auction, scrap, etc.

Cash receipts from the sale of surplus or salvage materials should then be added to the subgrantee’s cash assets and shall be used to reduce material expenditures. These funds should be used during the current program year to reduce material expense and should be documented as such in the agency audit. Please see Subsection III, D, Property Disposition, in this section for specific disposition instructions.

V. Competitive Procurement Standards

The intent of these procurement standards is to provide general procurement guidance to the Missouri Weatherization Program subgrantees. The standards include Request for Quotation (RFQ) procurement documents. These competitive procurement standards are in accordance with state or federal guidelines.

A. General Conditions

All purchases shall be made by competitive procurement except the purchase of like items within a 12-month period with a total value of less than $3,000.

The Invitation for Bid (IFB) competitive procurement instrument (or a similar representation) must be used for all purchases of $25,000 or greater. The only exception is procurement of heating system contractors as detailed elsewhere in this Operations Manual.

Agencies are encouraged to solicit competitive bids from small, minority and woman owned business enterprises.

Agencies are encouraged to purchase products manufactured in the United States, when possible.

When purchasing materials or equipment from a vendor that has a physical business location and address in Missouri, then that vendor must be registered and maintain good standing with the Missouri Secretary of State Office and other regulatory agencies, as may be required by law. However, if an agency is purchasing materials or equipment from a vendor outside of Missouri and that vendor does not have a physical business or address located in Missouri, then that is considered interstate commerce and that vendor is not required to be registered with the Missouri Secretary of State Office. All contractors providing labor on homes, even if located outside of Missouri, must be registered and maintain good standing with the Missouri Secretary of State Office.
NOTE: If a sole proprietor is doing business under a name other than the owner’s true name a, “Fictitious Name” filing must be made with the Secretary of State’s Office and renewed every five years. If the sole proprietor is operating under their own true name, then registration with the Secretary of State’s Office is not required.

Agencies are urged to seek legal guidance on IFB and contract creation, and on bid interpretation.

Agencies must utilize written, internal procedures for weatherization service and material procurement. These written procedures must be updated as needed and should include the following: 1) agency personnel in charge of the procurement process; 2) development of the procurement document; 3) pre-bid conference; 4) bid announcement/publicity; 5) handling of bidder questions prior to bid opening; 6) detailed bid opening procedures; 7) handling of bidder questions following bid opening; 8) documentation of bid opening procedures; 9) bid corrections; 10) bid withdrawals; 11) bid protests; 12) bid qualification process; 13) bid evaluation process; 14) bid tabulation process; 15) sole-source procedures and rebid; 16) preliminary award announcement; 17) final award and announcement; 18) review for contract compliance; 19) notification and documentation of contractor problems; 20) contract cancellation/termination; 21) breach of contract notification and response procedures; 22) re-award or rebid following contract cancellation/termination; 23) contract fulfillment and normal closure; 24) contract extension/negotiation; 25) IFB amendment or withdrawal; 26) resolving bid ties; 27) post award orientation meetings; 28) process used for telephone bids; 29) procedures for addressing material testing standards or specifications questions 30) bid bonds; 31) performance bonds; 32) contract performance evaluation; 33) bidders lists; 34) bids from sole proprietors, partnerships and corporations; and 35) implementation and review of the agency’s affirmative procurement program for building insulation products containing recycled products.

B. Determining the Procurement Method

1. Under $3,000 – No Bid Required

All purchases shall be made by competitive procurement except those that are a single or repetitive purchase of like items within a 12-month period, with a total value of less than $3,000. **Note: All vehicle purchases, even if the purchase price is below $3,000, require both DOE and DE approval before the vehicle may be purchased.**

2. $3,000 – $24,999 Informal/Telephone/Written Bids Required

Single or repetitive purchases of like items or services, within a 12-month period, with the total value of $3,000 to $24,999 must be procured through the competitive process by informal/telephone/written bids. The agency must obtain a minimum of three competitive bids. (See Sole Source; Sole Response; and “No bid” Response, Subsection VII, B of this section) However, informal/telephone/written bids are to be completed each time the item(s) is (are) needed. Purchases within this dollar-value window may also be procured by sealed, written bids. However, if the cumulative purchases in a 12-month period exceed $24,999, then a formal, bid process must be completed.

The agency may wish to use the Bid Tabulation form. (See Attachment 5-12, Form G.)
It is a best practice for the agency to require telephone bidders to submit written bids to the agency before the end of five working days in order to be eligible for a contract award.

Before any work is awarded, a contract between the agency and the contractor must be signed by both parties, which includes all of the clauses and disclaimers required by the Program Operational Manual. (See Subsection V, C, 1, b, (19) in this section.)

All informal bid documentation (not related to a specific home, such as a RFQ for a furnace, because that bid documentation should be included with the specific client file it pertains to) should be maintained in the agency’s general/master bid files.

3. $25,000 or more - Formal, Sealed Bids Required

Purchases of items or services, within a 12-month period, with a total value of $25,000 or greater must be procured through the formal competitive bid process. These purchases must be completed by advertised, sealed, written bids. The agency must obtain a minimum of three (3) competitive bids. (See Subsection VI, B, Ensuring Competition and Subsection VII, B, Sole Source, Sole Response and “No Bid” Response in this section.)

C. Procedures for Bidding Contract Work on an Annual Basis

1. Development of the Procurement Document (see Section 5 attachments for Criteria for an IFB-RFQ Checklist)

   a. Format

   (1) Purchases of items or services, within a 12-month period, with a total value of $25,000 or greater MUST be procured through the formal competitive bid process (i.e. advertised, sealed, written bids) unless specific authorization stating otherwise has been given by DE.

   (2) For all purchases $25,000 or greater, subgrantees must utilize the IFB procurement instrument (or a similar electronic reproduction) for formal, sealed bid purchases. (See Attachment 5-8, Form A).

   (3) When procuring furnace contractors for replacement, repairs, and clean and tune work on gas or oil forced-air heating systems, wall units and floor units, agencies may use the appropriate sample RFQ procurement instrument and RFQ form pages provided in the Section 6 attachments.

   (4) The structure of a procurement document should follow this general pattern: 1) the Solicitation/Contract form; 2) general information; 3) bid evaluation criteria; 4) the bid form pages (with instructions to the bidder); 5) technical and/or material specifications; 6) special requirements; 7) contractual clauses; 8) contract administration information; and 9) attachments
b. Content of the IFB

(1) **Firm, Fixed Price**: Cost plus percentage of cost purchasing is not allowed. Program expenditures cannot be made on the basis of a seller’s cost plus a percentage. All bids and contracts must be based on a firm, fixed price.

(2) **Estimated Quantities**: IFBs for weatherization services or materials should include estimates of the total quantity of each item to be purchased or estimates of the amount of services to be needed during the life of the contract for items for which the agency is able to reasonably determine estimated usage. Using a quantity of "A1" is inappropriate for items or services for which usage can reasonably be estimated. The one exception is Heating System General Repair Items.

The estimated quantities are required to be included in the bid package, although they are not required to be part of the mathematical calculations on the pricing pages. For example, the estimated quantities may be provided to bidders as an attachment to the bid. The estimated size of individual orders, when applicable, may also be included. Bidders must be informed that the quantities are estimates, and the agency is not obligated to purchase the exact amount.

(3) **Quality Standards**:

(a) The agency must require vendors and contractors to comply with all material standards and specifications stated in the IFB, whether they are federally mandated standards or established by the agency. The IFB must state that this is a requirement and failure to comply may result in disqualification of the bid or termination of the contract.

(b) The agency must use the material standards specified in 10 CFR Part 440. The agency must identify the specification numbers for items being bid and include the phrase, “or subsequent ASTM, ANSI or F.S. approved standards which supersede this specification.” (NOTE: This may be included in the IFB as a clause rather than repeated with each specification number.)

(c) The agency must abide by the list of approved weatherization materials in the Weatherization State Plan.

(d) The agency should require all bidders to submit material certification documentation. If submission of this data is required, the IFB must inform contractors and vendors that failure to submit material certification documentation when requested can result in disqualification of the bid or termination of the contract.

(e) Quality standards for material specifications may be set where federal specifications are not set. The specific characteristics of the item must be clearly described.
(f) Standards and specifications may be set for reasonable programmatic needs. Standards shall not be set that limit competition for non-programmatic reasons.

(g) Standards and specifications must be clear and accurate. If a brand name is used for descriptive purposes, the purchaser must clearly describe the specific features sought that the specific brand possesses. It is not sufficient to state “Brand-X or equivalent”.

(h) Substitution is defined as an item that materially conforms to the specifications listed, but is physically or technically different from the item bid. The IFB must state the conditions under which substitutions will be allowed. Substitution shall only be made with the advanced written consent of the agency. Any product provided that does not meet the listed specifications shall be replaced by the contractor at no expense to the agency. If the contractor is unable to make an acceptable adjustment or replacement, the agency shall interpret this as a breach of contract and may seek damages for default.

(4) **Content Standards:** Agencies to whom the EPA recycled content regulation applies must include appropriate content standards and other requirements, in accord with Part I.

(5) **Performance Standards:** Standards regarding performance by the supplier may be set relative to agency needs. Performance standards must be reasonable and based on program requirements. Examples of such standards are delivery time and place, billing procedures, etc.

(6) **Bid Evaluation Criteria:** The IFB must clearly state the criteria the agency will use to evaluate the responsiveness of the bid. These criteria must, at a minimum, cover the following points:

(a) All original bids must be typed or handwritten in indelible ink

(b) All original bids must be submitted to the agency in a sealed envelope with “Sealed Bid” clearly marked on the outside.

(c) The IFB will be awarded to the lowest-priced, responsive and responsible bidder.

(d) To be eligible for evaluation, the bid must meet the stated standards for materials and comply with all conditions listed in the bid.

(7) **Bid Closing/Return:** All procurement instruments must clearly state the time and date of the bid closing/deadline and the physical location where bids are to be received. (For proper handling of received bids, see subsections VI and VII of this section.)
(8) **Sealed Bid-Photocopy:** The purpose of the sealed bid-photocopy is to provide verification of original bid prices in the event of a dispute. If the agency chooses to require all bidders to provide a sealed photocopy of the original bid, this photocopy must be:

(a) Provided by all bidders;

(b) Provided at the same time as the original bid;

(c) Sealed in an envelope with the words “Sealed Bid B Photocopy” clearly marked on the outside of the envelope.

(9) **Bid Opening:** All IFBs must clearly state the time, date and location of the bid opening. There must be a public opening of the bids, and public access to the bids must be provided. (Note: procurement documents, such as RFQs, are not opened publicly.)

(10) **Extent of Federal Financial Support:** Section 511 of Public Law 101-166, covering the publication of the extent of federal financial support, applies to weatherization procurement-related documents, regardless of the dollar amount of the procurement action, according to the DOE.

Each subgrantee is required to add the following information to weatherization procurement documents (IFBs and RFQs): (1) the total dollar amount of the weatherization program funds granted to the subgrantee during the current year and (2) the federal percentage of participation related to the total subgrant.

(11) **Lien Waivers:**

(a) With owner-occupied residential property of four units or less, according to Missouri Statute 429.013, full payment to the contractor for improvement, repair or remodeling of these structures “shall be a complete defense to all liens filed by any person performing work or labor or furnishing material, fixtures, engines, boilers or machinery” unless the owner has signed a “Consent of Owner” form for the contractor. The agency should caution clients not to sign any form or document presented to them by the contractor.

(b) With other residential property, according to Missouri Statute 429.012, the labor and materials provided by a contractor may be subject to a mechanic’s lien from unpaid suppliers of materials or services to the contractor, but only if the contractor has provided the agency and the property owner with a notice in 10-point bold type stating, in essence, that failure of the contractor to pay those persons supplying him/her with materials or services can result in the filing of a mechanic’s lien. The notice has to be provided either when the contract is signed, when the first materials are delivered, or with the first invoice. Providing this notice “shall be a condition precedent to the creation, existence or validity of any mechanic’s lien in favor of such original contractor”.

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(c) Agencies may wish to require winning contractor(s)/vendor(s) to supply signed lien waivers from their suppliers prior to beginning work under the contract.

(d) Agencies must include the following language in all bids/contracts: “Under no circumstance will any lien ever be placed on any client home.”

(12) Organizational Structure: An agency may require each bidder to identify the business he or she represents as a sole proprietorship, partnership or corporation. If required, the owner of the sole proprietorship, all partners of the partnership or the chairperson of the board, chief executive officer, financial director and procurement director of the corporation must be clearly identified in the bid documents. (See Conflict of Interest policy, Section 2 Subsection IV.)

(13) Bid Bonds: An agency may require bidders to submit bid bonds. The bid bond is a monetary guarantee and assurance that the bidder will not withdraw his bid from consideration prior to contract award.

The agency shall determine an appropriate amount, equally assessed from all bidders, which will achieve this purpose. Bid bonds not forfeited to the agency during the bidding process shall be returned to the appropriate bidder. Agencies may require bid bonds in the form of any type of guaranteed surety such as a bond, cashier’s check or treasurer’s check.

(14) Performance Bonds: In determining a bidder’s capability to perform, agencies must require the winning bidder(s) to submit a performance bond unless one of the following criteria is met: (See Attachment 5-9, Form B - Bidder Qualification Review) (1) the bidder has successfully completed a contract in the past with the agency or (2) the bidder has submitted name(s) of other purchasers for whom they have successfully completed a contract.

If the bidder does not meet either of the above criteria, agencies will require the winning bidder(s) to submit a performance bond. The performance bond is a monetary-type surety, held by the agency, which the vendor/contractor forfeits to the agency in the event of breach of contract or contract termination. Performance bonds may be in the form of any type of guaranteed surety such as a bond, cashier’s check or treasurer’s check.

It is recommended that the agency base any performance bond amount on the anticipated loss in production and damages that the agency would face should the supplier/contractor default. (Recommended guideline is ten percent of the contract amount).

(15) Renewal Clause: The agency has the option to include renewal language in a bid/contract. Weatherization supplies/services can be renewed yearly or up to a maximum of three (3) years. **This is the original contract year, plus two additional years.** If the agency chooses to include a renewal in the bid, the agency must select either a price or percentage-type of renewal and provide the appropriate space(s) in the bid document. It is recommend the bid/contract...
contain language that: (1) any renewal is based on successful completion of previous term of the contract as determined by the agency; (2) renewal is mutually agreeable by both parties; (3) renewal must be in writing, signed and dated by both parties and (4) renewal price/percentage will be included in the bid evaluations when determining the lowest price of the initial bids.

(16) **Breach of Contract/Termination** (2 CFR 200 Appendix II, A): All contracts must have provisions that: 1) allow for remedies in case of breach of contract; and 2) allow for termination of contract and detail conditions for the settlement of all claims.


(18) **Copeland Anti-Kickback**: All contractors must be required to provide assurance of compliance with the Copeland “Anti-Kickback” Act (18 USC 874) and (29 CFR 3).

(19) **Required Contract Clauses**: The following language must be included in the IFB:

(a) No interest shall be paid from funds administered by DE for any reason.

(b) The activities of the contractor’s staff and associates shall be fully coordinated with the activities of the agency. As the work of the contractor’s staff and associates progresses, advice on matters of immediate concern to the agency and related to the specific scope of work covered by the contract shall be made available to the agency during the period of the contract.

(c) The contractor shall not assign any interest in the contract and shall not transfer any interest, whatsoever, in the same (whether by assignment or novation/substitution), without the written consent of the agency.

(d) The contract shall be construed according to the laws of the State of Missouri.

(e) No official or employee of the agency, or official or employee of the contractor or its governing body, or any public official of the State of Missouri who exercises any functions or responsibilities in the review or approval of the undertaking or in the fulfillment of the obligations of the terms and conditions of contract shall, prior to the completion of the term of contract, voluntarily acquire any personal interest, direct or indirect, in the contract, proposed contract or contract subject.
(f) The contractor covenants that he has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of the specified services. The contractor further covenants that in the performance of this contract, no person having any such known interest shall be employed.

(g) The contractor acknowledges that funds expended for the purposes of the contract are appropriated by State and/or Federal sources and, therefore, the contract shall automatically terminate without penalty or termination costs if such funds are not appropriated. In the event that funds are not appropriated for the contract, the contractor shall not prohibit or otherwise limit the agency’s right to pursue and contract for alternate solutions and remedies as deemed necessary by the State and/or Federal agency for the conduct of its affairs. The requirements stated in this paragraph shall apply to any amendment or the execution of any option to extend the life of the contract.

(h) The contractor agrees that the agency and/or clients of the agency shall not be liable for the debts of the contractor or any other firm or organization affiliated with the contractor in the fulfillment of the terms of this contract.

(i) The bid/contract may be invalidated by the agency and/or the State of Missouri, DE.

(j) The State of Missouri, DNR-DE Weatherization Program is not a party to this bid or contract and shall be held harmless in any dispute arising from this bid or contract.

(k) None of the work or services specified in this contract shall be subcontracted by the contractor without the prior written consent of the agency and DE. Approval to subcontract shall in no way release the contractor of his responsibility to fulfill all terms and obligations under this contract.

(l) The contractor agrees that all work shall be performed in strict compliance with all applicable laws, ordinances, OSHA guidelines, EPA’s Lead; Renovation, Repair, and Painting Final Rule (RRP), rules, and regulations, of federal, state, county or municipal governments or agencies, now in force or that may be enacted hereafter. The final inspection report of the agency shall not be deemed to be a warranty or representation that all such laws, ordinances, rules and regulations have been complied with by the contractor.

(m) Under no circumstance will any lien ever be placed on any client home.

(n) The contractor must be registered and maintain good standing with the Missouri Secretary of State’s Office and other regulatory agencies, as may be required by law or regulations.

(o) The contractor agrees to abide by the subgrantee’s conflict of interest policy, and will make the agency aware of any relationship which exists between the contractor and any household member of a home which has been awarded to that contractor.
(p) Per DOE guidelines, the following clause must be in all Weatherization and HVAC contractor contracts: “All work performed with funding administered by the Department of Natural Resources’ Division of Energy


(20) Other Applicable Federal Regulations: In addition to the other items mentioned in this document, agencies are required to follow all other parts of 2 CFR Part 200, which are applicable to nonprofits or local governments. This includes, but is not limited to, access to records, records retention, patents and copyrights.

2. Preparation of the Heating Systems Clean, Tune, and Repairs RFQ for Use

When bidding Heating System services, agencies have the following bidding options (if the expected cost is less than $25,000 over a 12-month period, for an agency’s entire service area):

a. Informal telephone or written bids for Clean and Tunes and General Repair items as needed. (This method is not recommended for agencies that need a large number of Clean and Tunes and general repairs performed.)

b. Formal written bid of Clean and Tunes only. (In this case, General Repairs would be telephone bid on an as needed basis.)

c. Formal written bid of Clean and Tunes and General Repair items.

If an agency expects to spend more than $25,000 in Heating System services for its entire service area over a 12-month period, the agency must bid Heating System Services using the formal competitive bid process.

d. The agency may use the sample Clean and Tune RFQ procurement instrument provided in the Section 5 attachments.

e. Agency staff are responsible for ensuring that quotation prices are reasonable. The basis for determining reasonableness include, but are not limited to, comparison with prior year costs and comparison with other weatherization agencies.

f. Complete the blank spaces in the RFQ to provide necessary information to vendors (time limits, service area, re-works and client complaints).

g. Include the county name with the page number on the three pricing pages (e.g., 1-Saline, 2-Saline, 3-Saline). Do this only on the pricing pages. This will enable the agency to provide separate pricing pages for each county rather than separate RFQs,
thus reducing administrative costs. For example, if a contractor indicates interest in four counties, fasten the four sets of pricing pages matching those counties to the RFQ, and give the document to the contractor, rather than giving him or her four separate RFQs.

h. Provide an estimated quantity of Clean and Tunes on the RFQ cover page. It is recommended that the estimated quantity of clean and tunes be based on the number of clean and tunes done during the previous program year and adjusted based on current-year estimated production.

i. A quantity of “A1” may be used for General Repair items due to difficulty in estimating usage. If an agency chooses to use an estimated quantity greater than one, it is recommended that the estimated quantities for general repair line items be based on the repairs called for during the previous program year and adjusted based on current year estimated production.

j. If the agency uses telephone solicitation, an RFQ for each bidder must be completed at the time of the telephone conversation, identifying the contractor and the contractor’s prices. This RFQ must be signed by the contractor if he or she is the winning respondent.

3. **Preparation of the Furnace/Air Conditioner Replacement RFQ for Use.**

When bidding furnace or air conditioner replacement, agencies have the following bidding options (if the expected cost is less than $25,000 over a 12-month period, for an agency’s entire service area):

a. Informal telephone or written bids for furnace or air conditioner replacement as needed. (This method is not recommended for agencies that need a large number of Clean and Tunes and general repairs performed.)

b. Formal written bids for furnace and air conditioner replacement.

If an agency expects to spend more than $25,000 in furnace or air conditioner replacements for its entire service area over a 12-month period, the agency must bid furnace and air conditioner replacements using the formal competitive bid process.

c. The agency may use the sample Furnace RFQ procurement instrument provided in the Section 5 attachments.

d. Complete the blank spaces in the RFQ to provide necessary information to the vendors.

e. If the agency uses telephone solicitation, an RFQ for each bidder must be completed at the time of the telephone conversation, identifying the contractor and the contractor’s prices. This RFQ must be signed by the contractor if he or she is the winning respondent.
4. Quality Standards for Heating System Clean and Tune, Repairs and Replacements

Service and materials must meet or exceed the specifications listed in 10 CFR 440 Revised Appendix A, or subsequently approved standards that supersede those specifications.

D. Financial Audit Bid Requirements

See 2 CFR 200.509 – Auditor Selection.

VI. Solicitation

A. Type of Procurement

1. Under $3,000 - No Bid Required

All purchases shall be made by competitive procurement except those that are a single or repetitive purchase of like items within a 12-month period, with a total value of less than $3,000. **Note: All vehicle purchases, even if the purchase price is below $3,000, require both DOE and DE approval before the vehicle may be purchased.**

2. $3,000-$24,999 - Informal/Telephone/Written Bids Required

Single or repetitive purchases of like items or services, within a 12-month period, with the total value of $3,000 to $24,999 must be procured through the competitive process by informal/telephone/written bids. The agency must obtain a minimum of three (3) competitive bids. (See Sole Source; Sole Response; and “No bid” Response, Part VII, B of this section) However, informal/telephone/written bids are to be completed each time the item(s) is (are) needed. Purchases within this dollar-value window may also be procured by sealed, written bids. However, if the cumulative purchases in a 12-month period exceed $24,999, then a formal, bid process must be completed.

The agency may wish to use the, “Bid Tabulation” (See Attachment 5-12, Form G)

The agency may wish to require telephone bidders to submit written bids to the agency before the end of five working days in order to be eligible for a contract award.

Before any work is awarded, a contract between the agency and the contractor must be signed by both parties, which includes all of the clauses and disclaimers required by the Program Operational Manual. (See Subsection V, C, 1, b, (19) of this section.)

All informal bid documentation (not related to a specific home, such as a RFQ for a furnace, because that bid documentation should be included with the specific client file it pertains to) should be maintained in the agency’s general/master bid files.

3. $25,000 or more - Formal, Sealed Bids Required

Unless bids are done on a home by home basis, (see part V,C. of this section) purchases of items or services, within a 12-month period, with a total value of $25,000 or greater must be procured through the formal competitive bid process. These purchases must be completed by advertised, sealed, written bids. The agency must obtain a minimum of three competitive bids. (See Subsection VI, B, Ensuring Competition and Subsection VII, B, Sole Source, Sole Response and “No Bid” Response in this section).
Before any work is awarded, a contract between the agency and the contractor must be signed by both parties, which includes all of the clauses and disclaimers required by the Program Operational Manual. (See Subsection V, C, 1, b, (19) of this section.)

B. Ensuring Competition

The agency must abide by federal requirements for full and open competition. This includes the development and updating of bidders lists and public announcements when appropriate.

The agency shall advertise for proposals in at least two daily newspapers of general circulation, in such places as are most likely to reach prospective bidders, at least fourteen (14) days before proposals for such purchases are to be opened. The agency may also advertise in minority newspapers and may provide such information through other media outlets, such as websites, radio, etc.

C. Pre-bid and Pre-quotation Conferences

Agencies are encouraged to hold pre-bid and pre-quotation conferences, open to all interested parties, to clarify bid procedures and answer any questions about the bid process.

It is suggested that the following items be discussed at the pre-bid conference, and at pre-quotation conferences, if appropriate: 1) how to complete and submit the procurement document; 2) criteria to be used to evaluate bid price; 3) how corrections will be handled; 4) how to obtain information regarding material specifications; 5) nondiscrimination provisions; 6) criteria for past performance or submittal of performance bonds; 7) examination of sample products; 8) right of agency to accept and reject bids; 9) contract alterations; 10) contract termination; 11) remedies in case of default/liquidated damages; 12) warranties and guarantees; 13) indemnities; 14) shipping instructions; 15) covenant against contingent fees; 16) lien waivers; 17) discounts; 18) bid bonds; 19) protests; 20) withdrawals; 21) liability; 22) contractor debarment certification; and 23) contractor registration with the Missouri Secretary of State Office.

D. Handling Bidders’ Questions

The agency must ensure that, during the solicitation phase, information is provided equitably to all bidders.

E. Contractor Debarment Certification

The bidder certifies by signing the agreement that they are not presently debarred, suspended, proposed for debarment, declared ineligible, voluntarily excluded from participation, or otherwise excluded from or ineligible for participation under federal assistance programs. This must be verified by the agency prior to award of the contract. NOTE: Copies of the internet debarment search pages, even if they indicate “No Results Found”, must be kept in the agency’s master/general bid files.

The following is a link to the State of Missouri’s contractor suspension/debarment list: http://oa.mo.gov/facilities/project-management/debarred-contractors.
The following is a link to the Federal Excluded Parties List System: https://www.sam.gov/portal/SAM/. Click the “Search Records” button, then click the “Advanced Search – Exclusion” button.

F. Physical Handling of the Returned IFB/RFQ

The agency must ensure that sealed bids are checked in and logged when received. The log should include identifying the bidder, bid subject, and time and date the agency received the sealed bid on the outside of the envelope. The agency must ensure that the sealed bids (and bid bond, if any) are kept in a secure location (under lock and key) until time for the bid opening.

G. Handling of Sealed Bid – Photocopy

If the agency has required the bidder to submit a photocopy of the IFB, the photocopy must remain inside the sealed envelope in the agency’s files for future review or legal settlement. Bidders who do not provide an appropriate photocopy when required to do so are nonresponsive and ineligible for bid award.

H. Withdrawal of an IFB/RFQ Prior to Opening

Bidders should be allowed to withdraw their bid prior to the Bid Opening, if this occurs before the bid deadline has passed. The bidder may resubmit a bid(s) as long as the resubmitted bid(s) is (are) received prior to the bid deadline. Once a bid has been withdrawn and the bid deadline has passed, resubmission shall not be allowed.

VII. Bid Opening

A. Public Opening

Formal, sealed bids must be opened and read aloud in a public setting. A minimum of three people must be present at a sealed-bid opening. The agency must also provide for public inspection of all bids during and after opening (provided this does not hamper the bid qualification and evaluation process). Copies of the bids, corrections and evaluations/tabulations should be made available immediately to any interested party.

B. Sole Source; Sole Response; and “No Bid” Response

Sole Source purchase exists when: 1) supplies are proprietary and only available from the manufacturer or a single distributor; or 2) based on past procurement experience, it is determined that only one distributor services the region in which the supplies are needed; or 3) supplies are available at a discount from a single distributor for a limited period of time.

An agency must request prior approval, with written justification, from DE prior to making a purchase (commodity or service) from a sole source vendor.

Sole Response exists when: 1) only one bidder has responded to a bid solicitation; or 2) only one bidder has met all of the bid requirements.

1. The agency must document its efforts to ensure competition and maintain that documentation in its records for monitoring purposes.
2. If an agency encounters a sole-response situation, and the bid price is $25,000 or greater, the agency must seek DE approval to accept the bid. A cost analysis must be submitted to DE at the time the agency seeks sole response bid approval. The cost analysis must be submitted on the “Sole Response Approval Request Form” (See Attachment 5-11, Form E or F). Choose the appropriate form because there is one for materials and one for services. Submit the completed form to DE.

3. A “No Bid” response exists when a bidder returns the bid marked as “no bid”. One “no bid” response from a bidder/vendor may be counted toward the requirement for three competitive bids, provided that the “no bid” vendor could have reasonably been expected to provide the commodity/service.

C. Corrections to the IFB

During the bid qualification process, the bidder and/or the agency may, in a public setting, make corrections to the bid for only those items that will in no way affect either the bid prices that have been quoted or the validity of the bid. These corrections are strictly limited to clerical-type information, e.g. wrong or missing dates, failure to submit an address or telephone number, etc. Corrections shall not include any specific or technical requirements listed in the invitation for bid, i.e. submission of the bid by a specified deadline, failure to submit the bid in a marked and sealed envelope, failure to fulfill all bid requirements, etc.

Correctable errors will be allowed in order to prevent an otherwise valid bid from being disallowed due to an unintentional oversight or error on the part of the bidder that does not involve data or information used for comparative or evaluative purposes. The actual correction of an error shall be performed only by authorized agency personnel at the time of the bid opening. All correctable errors must be fully documented by the agency and witnessed, either in the presence of the bidder and two other disinterested persons not affiliated with either the agency or the firm whose bid is corrected, or by a Notary Public.

D. Preliminary Award

A preliminary award may be announced at the bid opening, with the understanding that the bids will need to be closely evaluated before final award will be made.

E. Withdrawal of Bid After Bid Opening

All bidders shall be allowed to withdraw their bid at any time until the award of the RFP has been completed. Once a bid has been withdrawn from consideration after bid opening, corrections or re-submissions shall not be allowed.

A bidder who is chosen as the winner, both parties having signed the bid, is obligated to fulfill the terms of that contract with the agency. Non-fulfillment of any of the terms of the contract shall be deemed as a breach of contract. In the event of such a breach of contract, the agency shall seek remedies as stated in the contract and to the full extent that the law provides, including forfeiture of the entire amount of the bid bond to the agency. The entire amount of the bond shall be retained by the agency and applied to the weatherization program. DE must be notified immediately when bonds are retained by an agency. The agency also may refuse to accept future bids from that vendor for a period not to exceed two years.
VIII. Bid Evaluation and Award

A. Evaluation Criteria

Bid evaluation and award must be based on evaluation methodology clearly stated in the procurement document. DNR-DE may require justification for evaluation methodology.

All bids must be evaluated on the basis of the documents submitted. Prices must be firmly and clearly stated in handwritten or typewritten indelible ink.

IFB award shall be made only to a responsible bidder whose bid is both responsive to the agency’s solicitation and extends to the agency the most advantageous price.

For both material items and contracted services the, “lowest and best” bid must be accepted. In determining the lowest and best award, factors may include, but are not limited to, value, performance, and quality of product. These evaluation criteria factors must be clearly identified in the IFB. If the lowest and best bid is not accepted then documentation must be maintained in the files giving the reason why and the bid must be approved by DE.

For contracted services the agency may choose to award the contracted services to primary, secondary, tertiary, etc., contractors. If the agency makes a decision to award the contracts in that manner, the bid specifications must include the information on how the services will be awarded. In addition, the primary, secondary, and tertiary contracts must be awarded at the same time. The lowest bidder will be the primary contractor, the second lowest bidder will be the secondary contractor, the third lowest bidder will be the tertiary contractor, etc.

NOTE: The agency must always go to the primary contractor each time service is needed.

The agency will be required to utilize the primary, secondary, tertiary, etc. contractor in that order unless one of the following conditions applies:

1. The primary contractor cannot provide the services in the time frame requested by the agency in its IFB. In such event, the agency may award the work to the next lowest bidder (secondary contract). If the next lowest bidder (secondary contract) cannot provide the services in the time frame requested by the agency, the agency may award the work to the third lowest bidder (tertiary contract).

2. The agency has documented, in writing, that they have been receiving unsatisfactory services applicable to the primary (or secondary, tertiary, etc.) contractor’s work performance. The agency must identify the problem(s) and give the contractor a period of time in which they will allow the contractor the ability to correct the problem(s). After an attempt has been made to do this and the problem(s) have not been corrected, the contract may be terminated.

3. If in the opinion of the agency there exists a potential conflict of interest with the primary contractor (or secondary, tertiary, etc.) on a given project, the agency may award the contract to the next lowest bidder (secondary contractor).

Circumstances may arise in which the agency discovers, after award of the primary contract, that the primary contractor cannot provide services in the requested time frame, performs in an unsatisfactory manner or has a conflict of interest. In these situations, the agency may
cancel the contract with the primary contractor and may award a contract to the second-
lowest bidder (secondary contract). If the agency discovers these kinds of issues with the
secondary contractor, the agency shall cancel the contract with the secondary contractor and
may award a tertiary contract.

Point systems for bid evaluations/awards can be utilized if it is clearly explained in the IFB
or RFQ how the bids will be evaluated. Rebates and/or discounts shall not be considered or
allowed in evaluation of the IFB or RFQ.

The agency should use a “Bidder Qualification Review” sheet, similar to the one provided in
Attachment 5-8, Form B, to evaluate the responsibleness and responsiveness of the bid.

The agency may use the “Bid Tabulation” form provided in Attachment 5-11, Form G or an
equivalent form to tabulate the bids received.

Agencies are encouraged to solicit bids from small, minority, and women-owned business
enterprises and to include small, minority, and women-owned business enterprises on bidder
lists. No special preference, however, may be given to a small, minority and women-owned
business enterprises in the bid qualification and evaluation process solely because it is a
small, minority, or women-owned business enterprise.

Subcontracting: If a potential contractor plans to subcontract any weatherization work, the
contractor must receive prior, written approval from the agency and DE. (See DE Terms and
Conditions, appendix D.)

If the bid documents were designed with a renewal option, the bidder’s price or percentage of
change of the renewal option must be included in the price evaluations when determining the
lowest bid price.

B. Responsiveness

IFB: The responsiveness of the bidder refers to whether the bidder filled out the IFB
according to the agency’s instructions and submitted all documentation (if any) required by
the agency for use in bid evaluation. An IFB determined non-responsive is disqualified from
further review.

RFQ: A competitive procurement document, such as an RFQ, may be made responsive by
asking for clarification from the bidder. Clarification refers to communication with a bidder
“for the sole purpose of eliminating minor irregularities, informalities or apparent clerical
mistakes in a proposal.”

C. Responsibleness

The responsibleness of the lowest bidder must be evaluated prior to award. A bidder or
respondent determined non-responsible by the agency is ineligible for contract award.
Evaluation criteria include: 1) financial resources, or ability to obtain them as required during
the performance of the contract; 2) ability to comply with delivery or performance schedules;
3) past performance; 4) a satisfactory record of integrity and business ethics; 5) organization,
experience, controls and skills; 6) facilities and equipment; and 7) eligibility for award under
applicable laws and regulations (for example, equal employment opportunity compliance).
The agency cannot limit acceptable past performance solely to previous work with the agency. (If the supplier has never had a contract with the agency, the supplier must be allowed to show prior performance with other buyers with similar needs).

D. **Protests**

Five working days from the date of notification to bidders of the proposed award shall be allowed for protest by the participating bidders. Final award shall only be made after the five-working-day protest period ends.

The agency must have written procedures for dealing with protests.

IX. **Contract Management**

A. **When an IFB Becomes a Contract**

An IFB becomes a contract when it has been signed by the bidder and countersigned by appropriate agency personnel. After that point, it is appropriate to refer to the document as a contract rather than an IFB or bid. Only agency forms should be used for bids/contracts.

B. **Amendments to the Contract**

Amendments to the Contract, should any become necessary during the course of the Contract, may be made **only** if allowed by a clause in the contract. The clause must state that the amendments will be mutually agreed upon in writing between the contractor and the agency and will be signed and dated by both parties. (The agency may use the sample amendment in Attachment 5-11, *Form I*.) It is the agency’s responsibility to ensure that the price of an amended item is found reasonable.

C. **Breach of Contract**

Breach of Contract occurs when the contractor continues to violate any of the terms or conditions of the contract after being notified by the agency of the lack of compliance and possible consequences.

The agency must have written procedures for dealing with breach of contract, and contract termination and cancellation.

D. **Performance Bond**

The agency shall capture the performance bond when the agency determines that the contractor is in breach of contract, through noncompliance with the terms and conditions of the contract, including, but not limited to, performance standards, technical requirements and contractual clauses.

The entire amount of the performance bond shall be captured and shall be used for weatherization program expenditures.

In the event an agency plans to capture a performance bond, the agency must notify DE in writing immediately.
E. Photocopy of Sealed Bid

If the agency has required a “sealed-bid-photocopy” from the bidder, and that photocopy must be opened, the sealed photocopy shall only be opened in the presence of appropriate parties, which may include the Executive Director of the agency, agency attorney and a Notary Public. If any discrepancy exists between the original bid and the photocopy, the bid or contract shall be immediately disqualified or discontinued (canceled or terminated) by the agency.

X. Guideline for Implementation of the Recycled Products in Insulation Requirement

A. Who and What are Affected by the Regulation

Agencies (both crew and contract), which procured $10,000 or more of building insulation products during the previous fiscal year, are required to develop an affirmative procurement program targeting the purchase of insulation containing recycled products to the maximum extent practical. Other agencies that, during the coming year, make a single purchase of these products exceeding $10,000 will also have to abide by this regulation at the time the purchase is made and for the remainder of the program year.

The $10,000 threshold refers to the total amount of building insulation products purchased by the agency, not to individual types of insulation.

“Building insulation product” is defined as a material designed to reduce heat loss and that is installed between heated and unheated areas of the home. This includes, but is not limited to blanket, board, spray-in-place and loose-fill products used as ceiling, floor, and foundation and wall insulation. The regulation does not apply to air handling, acoustic, and pipe and cold-storage insulation.

B. Procurement Procedures

In order to be in compliance with state plan requirements, agencies to whom this regulation applies must revise applicable portions of their procurement procedures. This includes, but may not be limited to, the material/technical specifications, handling of ties, publicity, and verification of compliance and evaluation of effectiveness.

C. The Affirmative Procurement Program

The Affirmative Procurement Program consists of the four components outlined below:

1. Preference Program

Determine the type of insulation product that will meet the agency’s needs (e.g. fiberglass, cellulose, rock wool, etc.). Specify that type of insulation in the IFB.

The selection of the type of building insulation product may be based on performance characteristics, structural considerations, building codes, availability of competition, etc. In those cases where more than one type of product meets the agency’s needs, the product having the highest minimum content standard should be specified.

Include in the technical specifications portion of your IFB the minimum content standard listed below for that type of insulation.
Inform (via IFB) the bidders that all bidders will be required to provide estimates of the percentage of recycled materials in the products they are bidding, and the winning bidder will be required to provide certification of the recycled content prior to contract award.

There is currently no minimum content standard for fiberglass insulation. Procurement of fiberglass insulation is allowed; however, the agency must base any decision to procure a building insulation product not containing recycled materials on one or more of the following: 1) availability within a reasonable time period; 2) availability at a reasonable price; 3) compliance with federal competition regulations; and 4) technical performance of the product.

These are the only acceptable reasons for not procuring building insulation products containing recycled materials to the maximum extent practical. As always, award the contract to the lowest responsive, responsible bidder. If there is a tie, the contract will be awarded to the tying bidder whose product contains the highest percentage of recycled materials.

2. **Promotion Program**

The regulation requires agencies to publicize the fact that insulation products containing recycled materials are being targeted. Appropriate forums for implementing this requirement include, but may not be limited to, pre-bid conferences, advertisements, brochures, invitations for bid, pertinent correspondence, news releases, etc.

3. **Estimation/Certification/Verification**

The regulation requires agencies to develop estimation, certification and verification procedures. All bidders will be required to provide the agency with estimates of the percentage of recycled materials in the products they are bidding, and the winning bidder will be required to provide certification of the recycled content prior to the contract award.

The agency will verify the percentage of recycled materials contained in the insulation provided by the contractor. This verification can be done by contacting the manufacturer and providing him or her with batch numbers. There must be documentation in the files that this contact has been made. If the insulation provided by the contractor does not meet the requirements stated in the IFB, the contractor is in violation of his or her contract and is subject to the agency’s procedures on contract compliance.

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<thead>
<tr>
<th>Type of Insulation</th>
<th>Percent Recycled (based on weight of core materials)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cellulose</td>
<td>75%</td>
</tr>
<tr>
<td>Rockwool</td>
<td>75%</td>
</tr>
<tr>
<td>Perlite composite board</td>
<td>23%</td>
</tr>
<tr>
<td>PIR/PR rigid foam</td>
<td>9%</td>
</tr>
<tr>
<td>Foam-in-place</td>
<td>5%</td>
</tr>
<tr>
<td>Phenolic rigid foam</td>
<td>5%</td>
</tr>
</tbody>
</table>
4. **Annual Review and Monitoring**

The regulation requires agencies to conduct an annual review and monitoring of the effectiveness of its affirmative procurement program. The review must be documented in the agency’s files.

The annual review and monitoring shall cover the following points:

a. the quantity and dollar amount of building insulation with recovered content purchased and the quantity and dollar amount of all building insulation purchased;

b. an assessment of the effectiveness of the promotion program;

c. an assessment of barriers to the purchase of insulation with recovered content (e.g. unavailability, resistance to use, etc.);

d. any other information the agency feels is pertinent to assessment of the affirmative procurement program, or any information requested by DE.

To assist the agency in meeting these requirements, Attachment 5-11, *Form J*, is a sample form that covers the above points.

THE REMAINDER OF THIS PAGE IS INTENTIONALLY LEFT BLANK FOR FUTURE EXPANSION
THIS PAGE IS INTENTIONALLY LEFT BLANK FOR FUTURE EXPANSION
ATTACHMENTS
Low-Income Weatherization Assistance Program

Service Areas

- **Community Services, Inc. of Northwest Missouri (CSI)**
  - Phone: 660.582.3113
  - Website: www.communityservicesinc.org

- **Community Action Partnership of North Central Missouri (CAPNCM)**
  - Phone: 660.200.8544
  - Website: www.capncm.org

- **Community Action Partnership of Northeast Missouri (CAPNE MO)**
  - Phone: 660.665.9865
  - Website: www.capnemo.org

- **North East Community Action Corp. (NECAC)**
  - Phone: 573.324.2231
  - Website: www.necac.org

- **Community Action Agency of Greater Kansas City**
  - Phone: 816.355.8688
  - Website: www.caagkc.org

- **Missouri Valley Community Action Agency (MVCAA)**
  - Phone: 660.866.7476
  - Website: www.mvcaa.net

- **Central Missouri Community Action (CMCA)**
  - Phone: 573.443.8706
  - Website: www.showmeaction.org

- **Urban League of Metropolitan St. Louis, Inc. (ULMSL)**
  - Phone: 314.615.3600
  - Website: www.ulmsl.com

- **Community Action Agency of St. Louis County (CAA STL C)**
  - Phone: 314.863.0015
  - Website: www.caa.stlc.org

- **Jefferson Franklin Community Action Corp. (JFCAC)**
  - Phone: 636.789.2666
  - Website: www.jfjac.org

- **West Central Mo. Community Action Agency (WCMCAA)**
  - Phone: 660.473.2185
  - Website: www.wcmcaa.org

- **Missouri Ozarks Community Action, Inc. (MOCA)**
  - Phone: 573.765.3263 or 800.875.3254
  - Website: www.moc.asorine.org

- **East Missouri Action Agency (EMAA)**
  - Phone: 573.431.5191
  - Website: www.eastmoaa.org

- **Economic Security Corp. of the Southwest Area (ESC)**
  - Phone: 417.781.0352
  - Website: www.escswa.org

- **Ozarks Area Community Action Corp. (OACAC)**
  - Phone: 417.882.4314
  - Website: www.oacac.org

- **South Central Mo. Community Action Agency (SCMCAA)**
  - Phone: 573.325.4255
  - Website: www.scmcaa.org

- **Ozark Action, Inc. (OA1)**
  - Phone: 417.255.9147
  - Website: www.oaiwp.org

- **Delta Area Economic Opportunity Corp. (DAEOC)**
  - Phone: 573.379.3651
  - Website: www.daeoc.com

* Formally known as Green Hills Community Action Agency
** Formally known as Northeast Mo. Community Action Agency
Weatherization Assistance Program – Administrative Office Locations

01 – CSI
Community Services Inc of Northwest Missouri
Executive Director: Bonnie Patterson
PO Box 328, 1212-B South Main
Maryville, MO 64468-0328
Phone: 660-582-3113
www.communityservicesinc.org
WX Director: Glenn Miller
gmiller@csinwmo.org
cell: 660-582-3113

02 – DAEOC
Delta Area Economic Opportunity Corporation
Executive Director: Joel Evans
99 Skyview Dr
Portageville, MO 63873-9180
Phone: 573-379-3851
www.daeoc.com
WX Director: Jessica Yeley
jaustin@daeoc.com
Phone: 573-379-3851

03 – EMAA
East Missouri Action Agency
Executive Director: Keri McCrorey
403 Parkway Drive, PO Box 308
Park Hills, MO 63601-3170
Phone: 573-431-5191
www.eastmoaa.org
WX Director: Dave Scheck
dscheck@eastmoaa.org
Phone: 573-431-5191

04 – CMCA
Central Missouri Community Action
Executive Director: Darin Preis
807-B N Providence Rd
Columbia, MO 65203-4359
Phone: 573-443-3500
www.showmeaction.com
WX Director: Candy West
candy-west@showmeaction.org
Phone: 573-443-3500

05 – ESC
Economic Security Corporation of the Southwest Area
Chief Executive Officer: John Joines
PO Box 207, 302 Joplin
Joplin, MO 64802-0207
Phone: 417-781-0352
www.escswa.org
WX Director: Ryan Peterson
rpeterson@escswa.org
Phone: 417-781-4437

06 – CAPNCM
Community Action Partnership of North Central Missouri
Chief Executive Officer: Chris Small
1506 Oklahoma Avenue
Trenton, MO 64683-2587
Phone: 660-359-3907
www.capncm.org
WX Director: Russell Reeter
reeter@capncm.org
Phone: 660-359-3907

07 – CMCA
Central Missouri Community Action
Executive Director: Darin Preis
807-B N Providence Rd
Columbia, MO 65203-4359
Phone: 573-443-3500
www.showmeaction.com
WX Director: Candy West
candy-west@showmeaction.org
Phone: 573-443-3500

08 – ULMSL
Urban League of Metropolitan St Louis
President/CEO: Michael McMillan
3701 Grandel Square
St Louis, MO 63108-3627
Phone: 314-615-3600
www.ulstl.com
WX Director: Linda Harris
linda@urbanleague-stl.org
Phone: 314-615-3631

09 – JFCAC
Jefferson Franklin Community Action Corporation
Executive Director: Jill Lombardo
PO Box 920, #2 Merchant Drive
Hillsboro, MO 63050-0207
Phone: 636-789-2686
www.jfcac.org
WX Director: Dave Rose
drose@jfcac.org
Phone: 636-789-2686

10 – MCA
Missouri Community Action
Executive Director: John Joines
PO Box 207, 302 Joplin
Joplin, MO 64802-0207
Phone: 417-781-0352
www.escswa.org
WX Director: Ryan Peterson
rpeterson@escswa.org
Phone: 417-781-4437

11 – CAASTLC
Community Action Agency of St Louis County
Executive Director: Cenia Bosman
2709 Woodson Road
Overland, MO 63114-4817
Phone: 314-863-0015
www.caastlc.org
WX Director: George Robnett
grobnett@caastlc.org
Phone: 314-446-4416
12 – MOCA  
Missouri Ozarks  
Community Action  
Executive Director: David Miller  
PO Box 69, 306 S Pine St  
Richland, MO 65556  
Phone: 573-765-3263  
www.mocaconline.org  
WX Director: Melinda Smith  
msmith@mocaconline.org  
Phone: 573-765-3263

13 – MVCAA  
Missouri Valley  
Community Action Agency  
Executive Director: Angie Stoll  
1415 S Odell Ave  
Marshall, MO 65340-3144  
Phone: 660-886-7476  
www.mvcaa.net  
WX Director: Lori McKinney  
mckinneyl@mvcaa.net  
Phone: 660-886-7476

14 – NECAC  
North East  
Community Action Corporation  
Executive Director: Donald Patrick  
PO Box 470, 16 North Court St  
Bowling Green, MO 63334-0470  
Phone: 573-324-2251  
www.necac.org  
WX Director: Joe Findley  
kschneidler@necac.org  
Phone: 573-324-2251

15 – CAPNEMO  
Community Action Partnership of Northeast Missouri  
Exec. Director: Jeanie Smallwood  
PO Box 966, 215 N Elson  
Kirkville, MO 63501-0966  
Phone: 660-665-9855  
www.capnemo.org  
WX Director: Eric Amini-Rad  
eamini-rad@capnemo.org  
Phone: 660-665-9855

16 – OAI  
Ozark Action Incorporated  
Executive Director: Terry Sanders  
710 East Main St  
West Plains, MO 65775-3307  
Phone: 417-256-6147  
www.oaiwp.org  
WX Director: Terry Sanders  
housedoctor@oaiwp.org  
Phone: 417-256-6147

17 – OACAC  
Ozarks Area Community Action Corporation  
Executive Director: Carl Rosenkranz  
215 S Barnes Ave  
Springfield, MO 65802-2204  
Phone: 417-864-3492  
www.oac.ac  
WX Director: Todd Steinmann  
tsteinmann@oac.ac  
Phone: 417-865-7797

18 – SCMCAA  
South Central Missouri  
Community Action Agency  
Executive Director: Ann Smith  
PO Box 6, Old Alton Rd  
Winona, MO 65588-0006  
Phone: 573-325-4255  
www.scmcaa.org  
WX Director: Gary Nichols  
gnichols@scmcaa.org  
Phone: 573-325-4255

19 – WCMCAA  
West Central Missouri  
Community Action Agency  
Executive Director: Chris Thompson  
PO Box 125, 106 West Fourth St  
Appleton City, MO 64724-1402  
Phone: 660-476-2185  
www.wcmcaa.org  
WX Director: Chris Richardson-McQueen  
crichardson@wcmcaa.org  
Phone: 660-476-2185

36 – CAAGKC  
Community Action Agency of Greater Kansas City  
Executive Director: Clifton Campbell  
6025 Prospect Ave  
Kansas City, MO 64130  
Phone: 816-358-6868  
www.choose-hope.org  
WX Director: Michael Collins  
mcollins@caagkc.org  
Phone: 816-743-8324
<table>
<thead>
<tr>
<th>Agency</th>
<th>Counties Served</th>
</tr>
</thead>
<tbody>
<tr>
<td>CSI (01)</td>
<td>Andrew 002, Atchison 003, Buchanan 011, Clinton 025, Dekalb 032, Gentry 038, Holt 044, Nodaway 074, Worth 113</td>
</tr>
<tr>
<td>CMCA (07)</td>
<td>Audrain 004, Boone 010, Callaway 014, Cole 026, Cooper 027, Howard 045, Moniteau 068, Osage 076</td>
</tr>
<tr>
<td>NECAC (14)</td>
<td>Lewis 056, Lincoln 057, Macon 061, Marion 064, Monroe 069, Montgomery 070, Pike 082,Rails 087, Randolph 088, St. Charles 092, Warren 109</td>
</tr>
<tr>
<td>SCMCAA (18)</td>
<td>Butler 012, Carter 018, Dent 033, Reynolds 090, Ripley 091, Shannon 101, Wayne 111</td>
</tr>
<tr>
<td>DAEOC (02)</td>
<td>Dunklin 035, Mississippi 067, New Madrid 072, Pemiscot 078, Scott 100, Stoddard 103</td>
</tr>
<tr>
<td>ULMSL (08)</td>
<td>Franklin 036, Jefferson 050, St Louis City 115, Warren 109</td>
</tr>
<tr>
<td>JFCAC (09)</td>
<td>Adair 001, Clark 023, Knox 052, Schuyler 098, Scotland 099</td>
</tr>
<tr>
<td>CAPNEMO (15)</td>
<td>Hickory 043, Morgan 071, St. Clair 093, Vernon 108</td>
</tr>
<tr>
<td>MOCA (12)</td>
<td>Camden 015, Crawford 028, Gasconade 037, Laclede 053, Maries 063, Miller 066, Phelps 081, Pulaski 085</td>
</tr>
<tr>
<td>OAI (16)</td>
<td>Douglas 034, Howell 046, Oregon 075, Ozark 077, Texas 107, Wright 114</td>
</tr>
<tr>
<td>CAASTLC (11)</td>
<td>Clays 007, Benton 008, Cass 019, Cedar 020, Henry 042, Hickory 043, Morgan 071, St Clair 093, Vernon 108</td>
</tr>
<tr>
<td>MOCA (12)</td>
<td>Camden 015, Crawford 028, Gasconade 037, Laclede 053, Maries 063, Miller 066, Phelps 081, Pulaski 085</td>
</tr>
<tr>
<td>OAI (16)</td>
<td>Douglas 034, Howell 046, Oregon 075, Ozark 077, Texas 107, Wright 114</td>
</tr>
<tr>
<td>WCMCA (19)</td>
<td>Bates 007, Benton 008, Cass 019, Cedar 020, Henry 042, Hickory 043, Morgan 071, St Clair 093, Vernon 108</td>
</tr>
<tr>
<td>MOCA (12)</td>
<td>Camden 015, Crawford 028, Gasconade 037, Laclede 053, Maries 063, Miller 066, Phelps 081, Pulaski 085</td>
</tr>
<tr>
<td>OAI (16)</td>
<td>Douglas 034, Howell 046, Oregon 075, Ozark 077, Texas 107, Wright 114</td>
</tr>
<tr>
<td>ESC (05)</td>
<td>Barton 006, Jasper 049, McDonald 060, Newton 073</td>
</tr>
<tr>
<td>MOCA (12)</td>
<td>Camden 015, Crawford 028, Gasconade 037, Laclede 053, Maries 063, Miller 066, Phelps 081, Pulaski 085</td>
</tr>
<tr>
<td>MVCAA (13)</td>
<td>Carroll 017, Chariton 021, Johnson 051, Lafayette 054, Pettis 080, Ray 089, Saline 097, OACAC (17)</td>
</tr>
<tr>
<td>Agency: __________________________</td>
<td>Reviewer’s Name: __________________________</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>Do expenses match the uploaded general ledger? Y N</td>
<td>Are the T&amp;TA expenses valid? Y N</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Client name: __________________________</th>
<th>MoWAP Job No: __________________________</th>
<th>MoWAP Job No: __________________________</th>
</tr>
</thead>
<tbody>
<tr>
<td>Application Form Date: __________________________</td>
<td>Social Security Number Documentation Date: __________________________</td>
<td>Reverification Application Date: __________________________</td>
</tr>
<tr>
<td>Proof of Income/Correct?</td>
<td>Reverification of Income Date: __________________________</td>
<td>Proof of Ownership</td>
</tr>
<tr>
<td>Landlord Agreement Was there a LL contribution? No Yes $ __________________________</td>
<td>Utility Bill(s)</td>
<td></td>
</tr>
<tr>
<td>Section 106 Documentation</td>
<td>Section 106 Documentation</td>
<td></td>
</tr>
<tr>
<td>Project Photograph (front of home)</td>
<td>Project Photograph (front of home)</td>
<td></td>
</tr>
<tr>
<td>Client Interview and Auditor Assessment form</td>
<td>Client Interview and Auditor Assessment form</td>
<td></td>
</tr>
<tr>
<td>Audit Date: __________________________ Was auditor correct in MoWAP? Yes No</td>
<td>Audit Date: __________________________ Was auditor correct in MoWAP? Yes No</td>
<td></td>
</tr>
<tr>
<td>NEAT/MHEA Input Report &amp; Recommended Measures (Date last run: __________________________</td>
<td>NEAT/MHEA Input Report &amp; Recommended Measures (Date last run: __________________________</td>
<td></td>
</tr>
<tr>
<td>Did all ECM's Cost Test? Yes No</td>
<td>Did all ECM's Cost Test? Yes No</td>
<td></td>
</tr>
<tr>
<td>Incident Repair Form</td>
<td>Incident Repair Form</td>
<td></td>
</tr>
<tr>
<td>ASHRAE 62.2 Form (Final) Final blower door number: __________________________</td>
<td>ASHRAE 62.2 Form (Final) Final blower door number: __________________________</td>
<td></td>
</tr>
<tr>
<td>If &quot;Continuous Mechanical Ventilation Required&quot; was above 15, was mechanical ventilation installed? Yes No</td>
<td>If &quot;Continuous Mechanical Ventilation Required&quot; was above 15, was mechanical ventilation installed? Yes No</td>
<td></td>
</tr>
<tr>
<td>Work Order Change Form - Uploaded to MoWAP and on Work Order</td>
<td>Work Order Change Form - Uploaded to MoWAP and on Work Order</td>
<td></td>
</tr>
<tr>
<td>Individual Bid Documentation (HVAC replacements only)</td>
<td>Individual Bid Documentation (HVAC replacements only)</td>
<td></td>
</tr>
<tr>
<td>Daily CAZ Test forms</td>
<td>Daily CAZ Test forms</td>
<td></td>
</tr>
<tr>
<td>Quality Control Inspection Form</td>
<td>Quality Control Inspection Form</td>
<td></td>
</tr>
<tr>
<td>QCI Date: __________________________ Was QC Inspector correct in MoWAP? Yes No</td>
<td>QCI Date: __________________________ Was QC Inspector correct in MoWAP? Yes No</td>
<td></td>
</tr>
<tr>
<td>DED Approvals / Emergency Services / Doctor Notes</td>
<td>DED Approvals / Emergency Services / Doctor Notes</td>
<td></td>
</tr>
<tr>
<td>Do Energy Savings appear correct? kWh less than 13,500/MMBtu less than</td>
<td>Do Energy Savings appear correct? kWh less than 13,500/MMBtu less than</td>
<td></td>
</tr>
</tbody>
</table>

NOTES: ____________________________________________________________________________

_________________________________________________________________________________

_________________________________________________________________________________

_________________________________________________________________________________
Client File Checklist

Name: ___________________________________________ Job Number: ___________________________________________

___ Application Form - MoWAP should match information found on client application
___ Proof of Income/Correct?
___ Income Verification Date - Was income verified within 3 months of the date of application?
___ Re-verification Application* (must be completed if income verification date is 1 year at time of work starting on the home.) Update MoWAP if household members change.
___ Re-verification of Income* (must be reverified if income verification date is 1 year at time of work starting on the home.)
___ Proof of Home Ownership*
___ Landlord Agreement * and **
___ Landlord Contribution * and **
___ Client Soc Sec number documentation
___ Utility Bill(s) - Ensure if home is both electric and gas to upload both utility bills. If file is being split funded with a utility grant make sure the client is a customer of the utility.
___ Client Interview Form - Ensure the auditor has signed and dated and that names and dates match the Final Inspection form and what is entered in MoWAP.
___ Project Photograph (front of home) clear and in color
___ Section 106 Docs* (Needed if home is 45 years or older and windows or doors are replaced. Like-kind doors don't need SHPO review; upload photos of old and new door.
___ NEAT/MHEA Input Report *
___ NEAT/MHEA Recommended Measures Report**
___ Bid documentation and bid tabulation sheet * and **
___ Work Order Change Form - Uploaded to MoWAP and entered on the MoWAP Work Order screen*
___ Work Start and End Dates - Ensure the work start and end dates entered in MoWAP match the work start and end dates on the crew/contractor invoices.
___ Incidental Repair Form* - Ensure the form is uploaded to MoWAP and that the incidental material costs are be broken out on Funding Source Breakdown*
___ Invoices - Ensure that contractor invoices contain the following: make/model/serial number, material and labor break down and work start and end dates (these dates should be entered in the MoWAP Work Order screen.)
___ MoWAP Work Order Screen - Ensure that the measures, SIR's, and the estimated costs entered match the current NEAT/MHEA. Also ensure that the actual costs match contractor/crew invoices.
___ MoWAP Funding Source Breakdown - Ensure that the Contractor and Crew Labor costs are broken out correctly. Ensure that the material costs match contractor/crew invoices and the MoWAP Work Order totals.
___ Mech Systems, Combustion App Spillage*, Diag Field, Baseload/Vent Forms**
___ Daily CAZ Test Form(s)**
___ ASHRAE 62.2 Form - Ensure that the Final ASHRAE 62.2 form is uploaded and not the initial form.
___ Pre and Post CFM - Ensure the pre and post CFM numbers are correct. If the post CFM reading is higher than the pre CFM reading an explanation is required.
___ Quality Inspection Form (Final Inspection form) - Make sure the QCI has signed and dated the form and that the auditor and audit date matches the Client Interview form.
___ Client moved up on waiting list - Provide an explanation as to why the client was moved up on the waiting list in MoWAP and in the physical client file.
___ DED Approvals* - Upload any DED/DE approvals for a specific client file.
___ Emergency Services/Dr. Notes*
___ No QCI Inspection - Upload documentation of attempts, note in MoWAP the client name and job number and costs being reported in Program Operations. Client file must be completed with all documents uploaded as much as possible *
___ Energy Savings appears correct (kWh < 20,000 / MMBtu < 100)
___ Reimbursement - General Ledger/Working Papers Uploaded - Homes on the reimbursement should be identified on the general ledger/working papers.

* If applicable to the client file ** Can be combined together when uploaded to MoWAP

NOTES:
OBJECTIVES

1. To determine that internal controls were adequate and functioning properly at the Low-Income Weatherization Assistance Program (LIWAP) Subgrantee.
2. To determine that the LIWAP Subgrantee was in compliance with laws, regulations, rules, contracts, grants, policies and procedures including the following:
   - Policies of the subgrantee;
   - Missouri Weatherization Assistance Program Operations Manual;
3. To determine that all receipts, disbursements, and cash balances of the LIWAP Subgrantee were accurately reported in the accounting records.
4. To determine that payments to the LIWAP Subgrantee were for eligible costs and were properly documented and approved.
5. To verify the accuracy of data used in reporting.

<table>
<thead>
<tr>
<th>Tab</th>
<th>Procedures – I. Pre-work</th>
<th>Initials, Date, &amp; Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>I A</td>
<td><strong>Pre-work:</strong> Review the <em>risk assessment</em> determine the scope of the monitoring visit and the number of client files to be reviewed.</td>
<td></td>
</tr>
<tr>
<td>I B</td>
<td><strong>Pre-work:</strong> Print out and review the Positions and Processes Questionnaire that was completed by the subgrantee.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Tab</th>
<th>Procedures – II. Entrance Conference</th>
<th>Initials, Date, &amp; Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>II</td>
<td>Meet with subgrantee staff to discuss the scope of the engagement and the status of the program’s activities. Subgrantee staff should be offered the opportunity to be present at the entrance conference. Put notes from the entrance conference in the subgrantee monitoring binder.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ask the two conflict of interest questions at the bottom of the entrance conference outline.</td>
<td></td>
</tr>
</tbody>
</table>
### III A

**Pre-work:** Open the Agency Measure Approvals spreadsheet [here](#). Click on the Conflict of Interest tab. Highlight all of that subgrantee’s clients that don’t have a month and year in the last column. Also highlight all of that subgrantee’s clients who have a month and date after the subgrantee’s last monitoring visit.

During the monitoring visit, review the highlighted client files for any signs of preferential treatment.

<table>
<thead>
<tr>
<th>Tab</th>
<th>Procedures – III. Operations A. Conflict of Interest</th>
<th>Initials, Date, &amp; Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>III A</td>
<td><strong>Pre-work:</strong> Open the Agency Measure Approvals spreadsheet <a href="#">here</a>. Click on the Conflict of Interest tab. Highlight all of that subgrantee’s clients that don’t have a month and year in the last column. Also highlight all of that subgrantee’s clients who have a month and date after the subgrantee’s last monitoring visit. During the monitoring visit, review the highlighted client files for any signs of preferential treatment.</td>
<td></td>
</tr>
</tbody>
</table>
### III B 1
**Pre-work**: Obtain the subgrantee’s Financial and Procurement Policies & Procedures to determine if they comply with the requirements of 2 CFR 200. Review for the following:

<table>
<thead>
<tr>
<th>Financial Controls</th>
<th>Financial Controls</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tripartite Board</td>
<td>References to 2 CFR 200</td>
</tr>
<tr>
<td>Travel Policy</td>
<td>Required contract clauses</td>
</tr>
<tr>
<td>Annual Audit</td>
<td>Conflict of Interest</td>
</tr>
<tr>
<td>Stale Checks</td>
<td>Bank Reconciliations</td>
</tr>
<tr>
<td>Check Signers</td>
<td>Purchasing approvals &amp; limits</td>
</tr>
</tbody>
</table>

If the policies are delivered electronically and a copy has been placed in the subgrantee’s monitoring folder, it is not necessary to print out a hard copy for the binder.

### III B 2
Obtain a list of all subgrantee bank accounts held, in which weatherization funds were deposited during the engagement period.

If *advanced* federal funds exceeded $250,000, obtain a pledged security agreement/repurchase agreement.

Review all weatherization bank authorization forms and obtain a list of authorized check signers during the review period.

- Review the bank authorization signature cards for board of directors’ authorization.

- Review the bank authorization signature cards to ensure terminated employees and ex-board members were removed from check signing authority.

- Are there adequate procedures for approving and recording interbank transfers? (Policies & Procedures)

- Is the blank check stock adequately secured? (View at agency)
### III B 3

**Pre-work:** Document the bank reconciliation process. Determine who completes the monthly bank reconciliation and who approves the bank reconciliation. Review the bank reconciliation for one month within the period being monitored for all accounts that involve weatherization funds. (If the sub-grantee’s receives advances, review the bank statement for December 31 of the previous year and determine if the subgrantee received more than $500 in interest on the advanced funds for that calendar year.) Determine that the reconciliations were prepared accurately and approved properly.

- Are all bank statements reconciled in accordance with the subgrantee’s financial policies and procedures? Was it approved in a timely manner? (Minimum of 30 days).
III B 4  

**Pre-work:** Using the subgrantee’s budgets, reimbursements, and advancements from MoWAP, the SAM II Access reports, and the revenue report that was provided by the subgrantee, fill in columns 5 and beyond of the *LIWAP Monitoring with Rev & Exp Test.xlsx* spreadsheet and determine if the subgrantee’s records of payments from the grants match those of DE and SAM II.

- Determine if the subgrantee is spending a significantly higher percentage of admin funds than were budgeted or than are allowed.
- Determine if the subgrantee is spending their admin funds at a significantly faster rate than the rest of the grant.

(The highlighted cells on line 15 of the spreadsheet will turn red if either of the above conditions exist; otherwise they will be green.)

**Pre-work:** Obtain the sub-grantee’s indirect rate and cost allocation plan from MoWAP and review it (these should be in the uploaded documents of every budget). If the indirect rate has been approved by the federal cognizant agency, testing is not necessary. Cost allocation plan must be fair and reasonable.

Determine also how the subgrantee distributes expenses across all grants (including agency managed grants).

**Pre-work:** Administrative costs must be allocated based on the principles and procedures established in the cost allocation plan or indirect rate.

- Review the Revenues and Expenditures spreadsheet to determine the percentage of Administrative Expenditures budgeted to actual Administrative Expenditures.
- Compare the amount of Administrative Indirect Rate Expenditures in the test month(s) to the Indirect Rate percentage. See Attachment IR for Indirect Rate calculation.
<table>
<thead>
<tr>
<th>Tab</th>
<th>Procedures – III. Operations C. Expenditures</th>
<th>Initials, Date, &amp; Comments</th>
</tr>
</thead>
</table>
| III C 1 | Determine if the invoices were allocated correctly to the weatherization program, according to their cost allocation plan.  
Verify that all invoices on your list for vehicle expenses (including fuel) are clearly marked with the V.I.N. (or other unique identifier) of the vehicle for which the expense was incurred.  
Verify that the payments match the invoices, were for allowable costs, and check them against the chart of accounts to see that they were coded to the correct account.  
Make a copy of one invoice and its backup documentation for the working papers. Make copies of any payments that did not match the invoice(s), were for costs that were not allowable, or were coded to the wrong account(s).  
- Were all expenditures supported by an invoice, employee reimbursement claim form, or other documentation?  
- Were expenditures posted correctly to the accounting records?  
- Were expenditures approved according to their policies & procedures and positions & processes | |
| III C 2 | **Pre-work:** Review Insurance Coverages – All subgrantees are required to carry the following types of insurance:  
- General Liability Insurance  
- Automobile Insurance (*compare to vehicles on inventory*)  
- Real and Personal Property Insurance  
- Environmental/Pollution Occurrence Insurance  
- Workers Compensation Insurance  
**Pre-work:** (Most policies should be uploaded with the subgrantee’s most recent budget.)  
Request that subgrantee send documentation showing the VIN of each vehicle on their auto policy. | |
## Tab Procedures – III. Operations
### C. Expenditures

| III C 3 | Determine if T&TA expenditures are allowable. *(Pre-work: Print the T&TA report from the MoWAP reportal and compare to backup documentation and the general ledger.)*
| | Print T&TA General Ledger and show where invoice was expensed.
| | Print a copy of one of the T&TA invoices for the binder.

## Tab Procedures – III. Operations
### D. Procurement

| III D 1 | *(Pre-work:)* Obtain a listing of payments to vendors for the fiscal year being monitored. The listing should be summarized by fiscal year, vendor, and amount paid.
| | Identify any vendor receiving more than $3,000, request bid documentation for these purchases, and review for the following:
| | - All purchases must be made by competitive procurement except for single, local purchases or repetitive purchases of like items with total value less than $3,000 in a single year.
| | - Informal telephone bids are required for purchases of $3,000 to $24,999 for repetitive purchases of like items.
| | - Invitation for Bid procurement instrument must be used for purchases exceeding $25,000 for repetitive purchases of like items, unless using the home-by-home contractor pool for HVAC. These purchases must be advertised and use formal, sealed bids. If possible, a minimum of three bids must be received.
| | - If three bids aren’t obtained, look for Attachment F (Sole Response).
### Tab | Procedures – III. Operations 
D. Procurement | Initials, Date, & Comments
--- | --- | ---

#### III D 2
Obtain and examine the bid packages for all contractors, including home-by-home contractor pool for HVAC contractors, to determine if the subgrantee correctly executed the bid process, and retained all necessary documentation. (IFB, newspaper ads or affidavits, list of bidders the IFB was sent to, list of those present at the bid opening with time, date and location of opening, and bid evaluation score sheet.)

Determine how the subgrantee is bidding each type of contract labor and include that in the report.

If three bids aren’t obtained, look for Attachment F (Sole Response).

#### III D 3
Determine how the subgrantee procured their insurance policies. Review the procurement documentation if the policies were bid directly from the insurance company (not an insurance broker).

If an insurance broker was used, **Ask:** How often do you evaluate your insurance broker? (Best Practice) This is to make sure the broker isn’t selecting the most expensive plans for their own commission.

Find out how much the agency was charged for their most recent single audit and when they last bid it out.

Review the bid package (or the contract extension) for the audit if over $25,000 in Wx funds.

Review [2 CFR 200.501-512](#) (Audit Requirements) and [2 CFR 200.317-326](#) (Procurement Standards) with the subgrantee if there are issues found.

**Pre-work:** Review the WAP portion of the sub-grantee’s single audit cost. This is to be included in the Financial Audit budget category unless financial audits have been included in the indirect cost pool of an approved indirect cost rate.

Check to see if the audit was charged out to Weatherization in accordance with the subgrantee’s cost allocation plan.

Ask how many years they have used their current audit firm.
### III E 1

Utilizing the agency’s most current waiting list from the MoWAP reportal, determine how the next clients are selected.

**Ask**: Who are the next clients to be served and how are they selected?

**Pre-work**: Include copies of any outreach materials or presentations used to attract new applicants that were sent in by the subgrantee with the requested documents.

### III E 2

If the subgrantee maintains a weatherization materials inventory, request the most current inventory listing available and evaluate for the following:

- Determine if the subgrantee is using the FIFO method of inventory valuation.
- Determine if the inventory is being valued correctly. Check the prices of at least five items on the inventory listing to the invoices on which they were purchased.
- Determine if the inventory is being charged to the home correctly. Check the inventory costs charged to at least three client files to the costs on the inventory listing.
- Is the inventory stored in a manner which protects the materials from damage?
- Is the inventory stored in an organized manner, and is it safely and easily accessible to those who need the materials?
- Is a control system in place to ensure adequate safeguards to prevent against loss, damage, or theft of property and adequately safeguarded with limited access?
- Is the loss, damage, or theft of property reported to local authorities for investigation? Note instances.

If the inventory was purchased with funds from a grant administered by DE:

- Determine how often an inventory count is performed by the subgrantee, who does the inventory count, and what the process is.
- Perform a physical inventory count for a minimum of five inventory items, if available. Choose the three items with the highest dollar value per unit, plus at least two other randomly selected items.
### III E 3

**Pre-work:** Print out the Access .pdf labeled “Agency Inventory Report” and the Vehicle and Equipment Inventory Report from the sub-grantee’s monitoring folder. Copy the Vehicle and Equipment Inventory Report from the previous years’ monitoring binder, and the Agency Inventory Report from the sub-grantee’s inventory file. Place all four in the current monitoring binder.

**Ask:** Is anyone in the agency using weatherization vehicles or equipment for any purpose outside of DE’s Weatherization Assistance Program? Are any vehicles or equipment being taken home by an employee or anyone else?

If so, get as much information as possible and include it in the monitoring report.

- Were any new vehicles or equipment items purchased during the review period?

If so, obtain from the subgrantee’s inventory file copies of the title, or application for title, and all purchase documentation for vehicles purchased during the review period. Include purchase approval documentation from DOE and DE.

Were the new vehicle or equipment items bid with several vendors providing quotes? Were the proper bid processes followed for the type and value of asset acquired?

- Did the subgrantee sell any vehicles or equipment during the review period?

If so, obtain from the subgrantee’s inventory file copies of all documents from the sale of the vehicle/equipment. Include disposal approval documentation from DOE and DE.

- Verify that the proceeds from the sale of any equipment or vehicles that were purchased with DOE funds, and had a fair market value of $5,000 or more, were returned to the Federal Treasury (less $500 that could be kept to cover sale expenses).

- Verify that any proceeds retained by the subgrantee were deposited into the appropriate weatherization fund account for future use on weatherization projects.

- Check VIN/Serial numbers on the vehicles/equipment against those reported on the inventory list.

- Verify that all vehicles have the required DE signage.

Record the mileage of all vehicles on the Vehicle and Equipment Inventory spreadsheet, and compare to the previous year’s monitoring report to determine if the vehicles were utilized to a reasonable extent.
### III E 4

**Pre-work:** Run the Homes Complete Summary report from the MoWAP Reportal for the DOE grant for the time period being monitored. This will show you which fund sources were used on each home. Select client files to be monitored based on the number of homes completed during the review period and the risk assessment. Enter client job numbers and names in *Client File Test.xls*.

**Pre-work:** Review the selected client files in MoWAP using process found on *Client File Test.xls*.

- Compare each contractors’ bid document to a sampling of their invoices in the client files to ensure materials and labor are being charged in accordance with their bid.

- Review a sampling of the client files to ensure that inventory materials and crew labor are being charged at the correct price/rate.

- Review a sampling of the client files to ensure that the material costs are traced back to the General Ledger.

- Review the DE notes on MoWAP (and emails if notes state an email was sent) for YTD reimbursement requests from the desk review of homes on reimbursement requests.

- Determine if the subgrantee is keeping the information in MoWAP up-to-date as the client file progresses through the weatherization process.

If time permits, one of the monitors should go over the findings with all weatherization personnel that work on the client files, before the exit conference.
## Procedures – III. Operations

### E. Program Compliance

<table>
<thead>
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<th>Procedures – III. Operations</th>
<th>Initials, Date, &amp; Comments</th>
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</thead>
</table>
| III E 5 | **Pre-work:** Obtain the number of homes completed by the subgrantee by county from MoWAP and enter into *LIWAP Monitoring.xlsx*.  
**Pre-work:** Obtain the most current estimated county populations and percent of persons below poverty level from [http://quickfacts.census.gov/qfd](http://quickfacts.census.gov/qfd) and enter into the *LIWAP Monitoring.xlsx* spreadsheet.  
**Pre-work:** Check that the percent of homes complete by county is within +/- 8% of the percent of service area population below poverty. | |
|     | Complete tabs 3, 4, & 5 on the “LIWAP Monitoring with Rev & Exp Test” for III E 6, 7, & 8 below. | |
| III E 6 | **Pre-work:** Calculate the percentage of grant dollars spent as compared to the grant time elapsed for each grant. | |
| III E 7 | **Pre-work:** Calculate the percentage of homes completed by the subgrantee as compared to the number of homes projected to be completed in the subgrantee’s budget for each grant. | |
| III E 8 | **Pre-work:** Calculate the average cost per home for each grant by dividing the total expended in the program operations category by the total number of homes completed. | |
| III E 9 | Review the files of all contractors after bid is done, and verify that each has the following information:  
- Ensure subgrantee has verified that the contractors are in Good Standing with the Missouri Secretary of State and checked both the Federal and State debarment lists for all contractors.  
- Weatherization and HVAC contractor(s) must have commercial general liability insurance, automobile insurance, workers compensation insurance (or waiver), a current, signed contract with the subgrantee, and (for Weatherization Contractors only) lead-safe practice certifications. | |

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*Attachment 1 - 5*  
*104*  
*December 2019*
### III E 10

**Pre-work:** Obtain the two reports which indicate the timeliness of reports submitted by the subgrantee to DE. *(P:/energy/residential/Wx. Monthly Report Tracking) (P:/energy/residential/Wx. Quarterly Report Tracking)*

Review the report and document any trends of late submittals.

Monthly: ___________________ Quarterly: ________________

### IV

**Pre-work:** Print out the previous year’s monitoring report and the subgrantee’s corrective action response and place them in the monitoring binder.

Pull the subgrantee’s single audit report from the financial audits folder in the file room. Copy 1) the cover page to show the audit firm and the year ending date, 2) the Findings and Questioned Costs pages at the back of the report, 3) the subgrantee’s corrective action response, and 4) any communication from or to DE concerning the audit report.

Review the findings and the subgrantee’s response from each.

Document the status of the findings and any actions that the subgrantee has taken to correct the findings. If the subgrantee has not had sufficient time to implement corrective action, the follow-up should state such.

### V

Conduct an exit conference with the subgrantee to discuss the results of the monitoring. Subgrantee staff should be offered the opportunity to be present at the exit conference. Put any notes taken at the exit conference in the subgrantee monitoring binder.
WEATHERIZATION PROGRAM NOTICE 19-3
EFFECTIVE DATE: February 6, 2019

SUBJECT: 2019 POVERTY INCOME GUIDELINES AND DEFINITION OF INCOME

INTENDED AUDIENCE: WAP Grantee Program Managers, WAP Subgrantee Managers

PURPOSE: To provide Grantees with the 2019 Poverty Income Guidelines and Definition of Income for use in the Low-Income Weatherization Assistance Program (WAP).

SUPERSEDES: Weatherization Program Notice (WPN) 19-3 supersedes WPN 18-3.

SCOPE: The provisions of this Guidance apply to all Grantees filing a proposal for financial assistance under the Department of Energy (DOE) WAP.

LEGAL AUTHORITY: Title IV, Energy Conservation and Production Act, as amended, authorizes DOE to administer the WAP. All grant awards made under this Program shall comply with all applicable laws and regulations including, but not limited to, the WAP Regulations contained in Code of Federal Regulations (CFR) 10 CFR Part 440, as applicable.

PROCEDURES: The annual revision of the U.S. Department of Health and Human Services (HHS) poverty income guidelines is published in the Federal Register. However, the publication has been delayed. The guidelines can also be accessed at HHS website.

Attached is a table displaying the revised guidelines showing income eligibility limits at 200 percent of the poverty guidelines per the requirements contained in Section 412(7) of the Energy Conservation and Production Act (42 U.S.C. 6862(7)). Adjusted tables for Alaska and Hawaii are also included. These guidelines are effective as of January 11, 2019, and apply to both farm and non-farm families. American Samoa, Guam, Northern Arapaho, Northern Marianas, Puerto Rico and US Virgin Islands must select the appropriate set of poverty guidelines and include them in their State Plans for review and approval by DOE prior to use.

Grantees shall distribute these tables immediately to their Subgrantees for use in the Program from the effective date of this Guidance until updated in subsequent policy documents. Additionally, this WPN provides Grantees with a definition of income for use in the WAP. This Guidance continues to reaffirm previous guidance by outlining what is expected to be available in terms of source documentation for review when requested by an outside authority.
DETERMINING ELIGIBILITY LEVELS: As defined in 10 CFR 440.3, low-income means that income in relation to family size which:

(1) Is at or below 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget (OMB), except that the Secretary may establish a higher level if the Secretary, after consulting with the Secretary of the United Stated Department of Agriculture (USDA) and the Secretary of Health and Human Services, determines that such a higher level is necessary to carry out the purposes of this part and is consistent with the eligibility criteria established for the Weatherization Program under Section 222(a)(12) of the Economic Opportunity Act of 1964;

(2) Is the basis on which cash assistance payments have been paid during the preceding twelve-month period under Titles IV and XVI of the Social Security Act or applicable State or local law; or

(3) If a Grantee elects, is the basis for eligibility for assistance under the Low-Income Home Energy Assistance Act of 1981, provided that such basis is at least 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget.

QUALIFIED ALIENS RECEIVING WEATHERIZATION BENEFITS: Grantees are directed to review guidance provided by HHS under Low-Income Home Energy Assistance Program (LIHEAP). This Guidance can be found at:


ELIGIBLE RENTAL WEATHERIZATION: A dwelling unit is eligible for weatherization assistance if it is occupied by a family unit that meets the income guidelines set forth within this WPN and meets building eligibility guidelines detailed in 10 CFR 440.22. A Subgrantee may weatherize a rental building containing a sufficient percentage of eligible rental dwelling units or a single-family building or a mobile home provided written permission is obtained from the owner or the owner’s authorized agent. See 10 CFR 440.22(b)

AnnaMaria Garcia

Director
Weatherization and Intergovernmental Programs Office
Energy Efficiency and Renewable Energy

Attachment
DEFINITION OF INCOME

A. 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 C. Gross Income is to be used, not Net Income.

B. CASH RECEIPTS: Cash Receipts include the following:

1. Money, wages and salaries before any deductions;
2. 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);
3. 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;
4. Private pensions, government employee pensions (including military retirement pay), and regular insurance or annuity payments;
5. Dividends and/or interest;
6. Net rental income and net royalties;
7. Periodic receipts from estates or trusts;
8. Net gambling or lottery winnings.

C. INCOME EXCLUSIONS: The following Cash Receipts are not considered sources of Income for the purposes of determining applicant eligibility:

1. Capital gains;
2. Any assets drawn down as withdrawals from a bank;
3. Money received from the sale of a property, house, or car;
4. One-time payments from a welfare agency to a family or person who is in temporary financial difficulty;
5. Tax refunds;
6. Gifts, loans, or lump-sum inheritances;
7. College scholarships;
8. One-time insurance payments, or compensation for injury;
9. Non-cash benefits, such as the employer-paid or union-paid portion of health insurance;
10. Employee fringe benefits, food or housing received in lieu of wages;
11. The value of food and fuel produced and consumed on farms;
12. The imputed value of rent from owner-occupied non-farm or farm housing;
13. Depreciation for farm or business assets;
14. Federal non-cash benefit programs such as Medicare, Medicaid, Food Stamps, school lunches, and housing assistance;
15. Combat zone pay to the military;
16. Child support, as defined below in Section E;
17. Reverse mortgages; and
18. Payments for care of Foster Children.
D. PROOF OF ELIGIBILITY: Grantees and Subgrantees are reminded that proof of income eligibility must be clearly identified in the client file.

1. Availability of Supporting Documentation: For purposes of review and audit, each client file must contain an application from the client that contains the required demographics and income for the entire family living in the residence. The client file must also contain evidence provided by the Subgrantee that the client is eligible to receive Weatherization Assistance Program (WAP) services. This evidence may include, but is not limited to, a memorandum from a third-party certification office stipulating the income levels of the family or source documentation for each income source listed on the application. These documents can be stored electronically or retained in hard copy for each client.

2. Eligibility Determined by Outside Agency/Program: If income eligibility is determined by an outside agency or program, i.e. Low-Income Home Energy Assistance Program (LIHEAP) or the U.S. Department of Housing and Urban Development (HUD), any document used to determine eligibility, such as a copy of LIHEAP eligibility or a copy of the HUD building list, will suffice as evidence of client eligibility. This document and any related documents must be retained in the client file. The HUD eligible building list can be found at:

   http://www.energy.gov/eere/wipo/housing-and-urban-development-multifamilyproperties-eligible-weatherization-assistance

3. Self-Certification: After all other avenues of documenting income eligibility are exhausted, self-certification is allowable. However, 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 the applicant has no other proof of income.

E. CHILD SUPPORT: Child Support payments, whether received by the Payee or paid by the Payor, are not considered Sources of Income to be added to the payee income or deducted from the payor income for the purposes of determining applicant eligibility.

1. Payee: Where an applicant receives Child Support from any state program or individual during an applicable tax year, such assistance is not considered income for the purposes of determining eligibility (i.e., where an applicant receives Child Support, he or she does not add that amount to his or her calculation of income for purposes of determining eligibility).

2. Payor: Where an applicant pays Child Support through a state program and/or to an individual, such assistance is not considered a deduction to Income for the purposes of determining eligibility (i.e., where an applicant pays Child Support, he or she may not deduct said assistance from his or her calculation of Income for the purposes of determining eligibility).
F. **ANNUALIZATION OF INCOME**: Where an applicant only provides income verification for a portion of the applicable tax year, their partial income may be annualized to determine eligibility.

   *Example*: Applicant A only provides income verification for January, February and March. The method of annualizing income to determine eligibility could be to multiply the verified income by four to determine the amount of income received during the year.

   The method of calculating annualized income is to be determined by the Grantee and must be applied uniformly by all Subgrantees.

**RE-CERTIFICATION**: An applicant must be re-certified when eligibility lapses due to the length of time the applicant was waiting to receive Weatherization services. As a reminder, re-certification of eligibility must occur at least every 12 months. The Grantee must outline the method of determining re-certification in their Annual Plan for approval by DOE.
# 2019 Poverty Income Guidelines
## Contiguous States U.S. Grantees
**Effective January 11, 2019**

### Income Levels

<table>
<thead>
<tr>
<th>Size of Family Unit</th>
<th>Threshold</th>
<th>200%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>$12,490</td>
<td>$24,980</td>
</tr>
<tr>
<td>2</td>
<td>$16,910</td>
<td>$33,820</td>
</tr>
<tr>
<td>3</td>
<td>$21,330</td>
<td>$42,660</td>
</tr>
<tr>
<td>4</td>
<td>$25,750</td>
<td>$51,500</td>
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<td>5</td>
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<tr>
<td>8</td>
<td>$43,430</td>
<td>$86,860</td>
</tr>
</tbody>
</table>

For families with more than 8 persons, 100% of poverty level increases $4,420 for each additional person. Therefore, for weatherization at 200% of poverty level, add $8,840 for each additional person.

## 2019 Poverty Guidelines for Alaska

<table>
<thead>
<tr>
<th>Size of Family Unit</th>
<th>Threshold</th>
<th>200%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>$15,600</td>
<td>$31,200</td>
</tr>
<tr>
<td>2</td>
<td>$21,130</td>
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<td>5</td>
<td>$37,720</td>
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<tr>
<td>6</td>
<td>$43,250</td>
<td>$86,500</td>
</tr>
<tr>
<td>7</td>
<td>$48,780</td>
<td>$97,560</td>
</tr>
<tr>
<td>8</td>
<td>$54,310</td>
<td>$108,620</td>
</tr>
</tbody>
</table>

For families with more than 8 persons, 100% of poverty level increases $5,530 for each additional person. Therefore, for weatherization at 200% of poverty level, add $11,060 for each additional person.
## 2019 Poverty Guidelines for Hawaii

<table>
<thead>
<tr>
<th>Size of Family Unit</th>
<th>Threshold 200%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>$14,380</td>
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<tr>
<td>2</td>
<td>$19,460</td>
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<tr>
<td>3</td>
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<td>$29,620</td>
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<tr>
<td>5</td>
<td>$34,700</td>
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<tr>
<td>6</td>
<td>$39,780</td>
</tr>
<tr>
<td>7</td>
<td>$44,860</td>
</tr>
<tr>
<td>8</td>
<td>$49,940</td>
</tr>
</tbody>
</table>

For families with more than 8 persons, 100% of poverty level increases $5,080 for each additional person. Therefore, for weatherization at 200% of poverty level, add $10,160 for each additional person.

Separate poverty guideline figures for Alaska and Hawaii reflect Office of Economic Opportunity administrative practice beginning in the 1966–1970 period. (Note that the Census Bureau poverty thresholds—the version of the poverty measure used for statistical purposes—have never had separate figures for Alaska and Hawaii.) The poverty guidelines are not defined for Puerto Rico or other outlying jurisdictions, as such the U.S. Territories, must indicate in their Annual Plan which poverty guideline will be followed in their service territory.
DISASTER CERTIFICATION

AGENCY ____________________________________________
CLIENT NAME _______________________________________
JOB NUMBER ________________________________________

Prior to any work being performed on your house, the following information must be provided:

- Did you receive any funds from FEMA (disaster money) for damage to your home?
  (yes or no) ________

- Did you receive any funds from FEMA (individual and family grant program) for personal items?
  (yes or no) ________

ALL FEDERAL FUNDS I HAVE RECEIVED HAVE BEEN SPENT ON ALLOWABLE MEASURES.

- Did you receive any funds from insurance or other sources because of the disaster damage?
  (yes or no) ________

  If yes, please provide a list showing:
  - how much money was provided
  - who the money was from
  - what the money was provided for

- Do you plan to continue living in your house? (yes or no) ________

I certify that the above information is true to the best of my knowledge.

Signature of Client ____________________________________________

Date Signed ____________________________________________
PROCEDURES FOR WEATHERIZING FLOOD-DAMAGED MOBILE HOMES

Mobile homes manufactured after 1976 receive a Housing and Urban Development (HUD) certification during the manufacturing process. The designation is a 2- by 4-inch red and silver metal tag attached to the back end of the roadside (back door side) of the home. A mobile home damaged by the flood must be checked to ensure that the HUD label is still on the mobile home. If this label has been removed, work is not authorized. These units can be sold only for parts and scrap metal and cannot be sold or represented as a dwelling unit.

Red plastic 4- by 6-inch, "DD Prohibition of Sale" stickers have been placed on homes determined by the Manufactured Housing Department of the Missouri Public Service Commission to be in non-compliance and are not to be offered for sale as a dwelling unit. If this red plastic sticker is found on a mobile home and the HUD label is still attached to the home, the unit has problems that must be repaired but that will not necessarily be considered a total loss. In these cases, contact the Public Service Commission to determine what work must be done in order to make this home safe as a dwelling unit. The HUD label is removed when the unit is deemed to be damaged beyond reasonable repair.

The city or county may also have inspected these units and may have tagged them with some other type of warning. If this is the case, the owner must be informed that the issues must be resolved with that governmental body (city or county) prior to any weatherization work.

The Manufactured Housing Department of the Missouri Public Service Commission has found that homes that have standing water above the floor level usually have received major damage to the load-bearing system of the dwelling. The walls and floor decking of a mobile home are typically glued to the floor joists with water-soluble glue. If the home has been soaked with water above the floor, virtually nothing will be holding the walls and floor together. Repair of all flood-damaged mobile homes manufactured after January 1, 1974, requires recertification that the dwelling has been brought back into compliance with the construction and safety standards to which it was originally manufactured. Therefore, repair of mobile homes manufactured in 1974 or later is impractical for the Weatherization Program if the floor has been water-soaked and is buckled.

Mobile homes manufactured before 1974 are unregulated. Issues involved in repairing and weatherizing these older homes have not been solved. The State would require site-specific approval if a Subgrantee wants to address weatherizing or repairing such a dwelling.

A mobile home that has flood damage to the heating ducts and/or the underbelly area, but which still has the floor decking intact, can possibly be repaired within the normal scope of the Weatherization Program, depending on what else it needs to be properly weatherized. If there are any questions concerning the safety or livability of flood damaged mobile homes, please contact the State.
WEATHERIZATION PROGRAM NOTICE 12-07
SUPERCEDES WPN 08-5
EFFECTIVE DATE: March 5, 2012

SUBJECT: REVISED GUIDANCE ON WEATHERIZATION DISASTER PLANNING AND RELIEF

PURPOSE: To provide revised guidance on allowable activities using Department of Energy (DOE) Weatherization Assistance Program (WAP) resources in the event of disasters.

SCOPE: The provisions of this guidance relate to Grantees applying for financial assistance under the Department of Energy (DOE) WAP.

LEGAL AUTHORITY: Title IV, Energy Conservation and Production Act as amended, authorizes the Department of Energy to administer the Weatherization Assistance Program. (42 U.S.C.§ 6861, et. seq.) All grant awards made under this program shall comply with applicable law and regulations including the WAP regulations contained in 10 CFR 440.

BACKGROUND: DOE previously released WPN 08-5 which expanded the original guidance issued as WPN 93-12 by including additional opportunities to use WAP resources when a disaster occurs. A review of WPN 08-5 and subsequent oversight of weatherization activities conducted during the Recovery Act period has led DOE to reconsider the additional flexibilities offered in WPN 08-5. This program notice supersedes WPN 08-05.

PROCEDURES: Generally, most Grantees have within their respective governmental structure an active Disaster Relief Office whose primary purpose is to address disaster emergencies through a general Disaster Response Plan. When disasters strike, these offices enact their response plans which include an aggressive effort to identify and secure any resources that may be available to assist in the relief. Grantees are reminded that WAP has a very limited role in any disaster response plan. The use of DOE WAP funds is limited to eligible weatherization activities and the purchase and delivery of weatherization materials.
Use of DOE WAP Funds to address disaster related hazards

Allowable expenditures under WAP include: 1) the cost of incidental repairs to an eligible dwelling unit if such repairs are necessary to make the installation of weatherization materials effective, and 2) the cost of eliminating health and safety hazards, elimination of which is necessary before the installation of weatherization materials (10 CFR 440.18(d)(9); 10 CFR 440.18(d)(15)). To the extent that the services are in support of eligible weatherization (or permissible re-weatherization) work, such expenditure would be allowable. For example, debris removal at a dwelling unit so that the unit can be weatherized would be an allowable cost. Debris removal from a dwelling unit that is not to be weatherized would not be an allowable cost. Please note that the $6,500 per dwelling unit limit continues to apply.

In addition, the regulations require that a Grantee's Weatherization Plan identify and describe the average amount of DOE funds to be used for incidental repairs (10 CFR 440.14(c)(6)(viii)). The grantee must also develop, publish, and implement procedures to ensure that Subgrantees limit expenditure of funds for installation of materials (other than weatherization materials) to abate energy-related health and safety hazards to a list of types of such hazards, permissible abatement measures and their costs necessary (10 CFR 440.16(h)). As such, Grantees should ensure that the limits on the use of WAP funds to address disaster related hazards are included in the approved Grantee Plan.

Weatherization personnel can be paid from DOE funds to perform functions related to protecting the DOE investment. Such activities include: securing weatherization materials, tools, equipment, weatherization vehicles, or protection of local agency weatherization files, records and the like during the initial phase of the disaster response. Using DOE funds to pay for weatherization personnel to perform relief work in the community as a result of a disaster is not allowable.

Local agencies may use weatherization vehicles and/or equipment to help assist in disaster relief provided the WAP is reimbursed according to the DOE Financial Assistance Regulations 10 CFR Part 600.

---

1In the event of a declared Federal or State disaster, weatherization crews may return to a unit reported as a completion to DOE that has been "damaged by fire, flood or act of God to be re-weatherized, without regard to date of weatherization". 10 CFR 440.18(f)(2)(ii). Local authorities must deem the dwelling unit(s) salvageable as well as habitable and if the damage to the materials is not covered by insurance or other form of compensation.
Repriority of weatherization requests coming from the disaster area

WAP rules require that priority be given to identifying and providing weatherization assistance to elderly persons, persons with disabilities, families with children, high residential energy users, and households with high energy burdens (10 CFR 440.16(b)). However, it would be permissible to consider in households located in the disaster area, as a priority as long as the households are eligible and meet one of the priorities established in regulation and are free and clear of any insurance claim or other form of compensation resulting from damage incurred from the disaster.

CONCLUSION: Any previously approved Disaster Response Plans that were developed using WPN 08-5 guidance, as part of the annual Grantee plan or a subsequent amendment, will need to be reviewed and revised as necessary to reflect the changes in this guidance.

AnnaMaria Garcia
Acting Program Manager
Office of Weatherization and Intergovernmental Program Energy Efficiency and Renewable Energy
Weatherization Assistance Program
Landlord/Authorized Agent Agreement and Certification Form

Check One:  
_____ Single-Family Unit  
_____ Multi-Family (2 – 4 Units per Building)  
_____ Multi-Family Complex (Five or More Units per Building)  

_____ # of Units  
_____ # of Units

I, __________________________ certify that I am the owner or authorized agent for the property located at:

(address) ________________________________________________________________

and occupied by (tenant) ____________________________________________________

I authorize the (agency) _________________________________ to weatherize the unit located above in accord with the following provisions:

1. I agree not to raise the rent on the unit(s) weatherized for a period of two years after weatherization is complete without just cause. Normal just cause for rent increases (i.e. increased costs, other building improvements, etc) are allowable.

2. The tenant will not be evicted (during the two-year period after weatherization) due only to weatherization work completed. Eviction for lease violations is allowable.

3. To the best of my knowledge, the unit listed above has not been weatherized by the Missouri Weatherization Assistance Program.

4. I agree that tenant(s) with utility inclusive rent will receive reductions in rent when utilities are reduced as a result of weatherization.

5. Owner shall not sell premises unless the Buyer agrees to assume all obligations contained in this agreement.

6. If the property is a Multi-Family Complex (more than 5 units per building), I agree to provide a minimum of a twenty-five percent (25%) cash contribution of estimated labor and material project costs before weatherization work can begin on the unit(s).

I am contributing $____________________ towards the labor and material costs incurred toward this Weatherization project.

Are the energy utilities included in the rent?   ___YES   ___NO

Please enter the total number of people for all vacant / ineligible units not applying individually:

_____ # of Units
_____ # of Elderly (60 and older)  
_____ # of Disabled
_____ # of Children (19 and younger)  
_____ # of Other

Owner/Agent’s Name: __________________________________________ Telephone: ______________________________

Address: ______________________________________________________________

Signature: __________________________________________ Date: ______________________________

Owner or Authorized Agent

Agency Representative

Signature: __________________________________________ Date: ______________________________

Attachment 2 - 5.1  123  December 2019
Sample Landlord Agreement Cover Letter

Dear _(landlord/owner)_

Your tenant, ______(name of tenant)______ has applied for Weatherization services through ______(full name of agency)_________ (XYZCAA) for their rental unit. Attached is a form authorizing XYZCAA to audit the unit and, if the tenant and property are found eligible, install Weatherization measures that would help make the rental unit more energy efficient. Your signature is required in order for XYZCAA to complete Weatherization services including an audit for energy efficiency and the installation of possible measures such as insulation and air sealing, health and safety (carbon monoxide and smoke detectors, ventilation fans, and clean and tune of furnace), and energy efficient lighting.

The measures to be installed will be determined after the energy audit has been performed and information has been entered into an energy audit software program. Any measure installed (other than health and safety) must meet cost-effective requirements as determined from the energy audit software program. Homes and rental units that were previously weatherized after September 30, 1994 are ineligible for additional weatherization services.

If you have information with regard to the section of the form requesting totals for all vacant/ineligible units, please provide it. If not, XYZCAA will work with your tenants to obtain this required information. This information is required for all rental units weatherized.

Please note that there is no cost to you unless the applicant resides in a multi-family complex of five or more units per building. While there is no requirement to contribute on rentals of up to four units per building, XYZCAA encourages you to consider a voluntary contribution that would be applied to your rental unit(s) being weatherized. This would allow XYZCAA to weatherize additional homes in our service area.

If you have questions regarding your tenant’s application for Weatherization services, or the Landlord Agreement Form, please contact _ (name of agency contact person)_ at ___(agency telephone number)___, or at ___(contact person’s email address)___.

Thank you for considering your tenant’s application for Weatherization services.
LEGAL SERVICES OF MISSOURI

Legal Aid of Western Missouri
1125 Grand Boulevard, #1900
Kansas City, MO 64106
Telephone Number: (816) 474-6750
Website: www.lawmo.org


Legal Services of Eastern Missouri
4232 Forest Park Avenue
St. Louis, MO 63108
Toll Free Number: 800-444-0514
Telephone Number: (314) 534-4200
Website: www.lsem.org

Counties served: Adair, Clark, Franklin, Jefferson, Knox, Lewis, Lincoln, Macon, Marion, Monroe, Montgomery, Pike, Ralls, Schuyler, Scotland, Shelby, St. Charles, St. Louis, City of St. Louis, Warren, and Washington

Legal Services of Southern Missouri
809 N. Campbell Ave.
Springfield, MO 65802
Toll Free Number: 800-444-4863
Telephone Number: (417) 881-0533
Fax Number: (417) 881-2159
Website: http://www.lsosm.org/


Mid-Missouri Legal Services
1201 West Broadway
Columbia, MO 65203
Toll Free Number: 800-568-4931
Telephone Number: (573) 442-0116
Fax Number: (573) 875-0173
Website: www.mmls.org

Counties served: Audrain, Boone, Callaway, Chariton, Cole, Cooper, Howard, Miller, Moniteau, Osage, and Randolph
# LIHEAP - Payment Information

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<th>DCN:</th>
<th>Agency: A04-EMAA</th>
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Register Date: 12-06-2010
Total Net Income: $134.00

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**Primary Supplier Information:**

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<td>Customer Name:</td>
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<td>Energy Source:</td>
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*Message:* Information Found

**Inquiry**

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<th>E1IR</th>
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</table>
**LIHEAP Registration**

**Applicant Information**

- **SSN:** [Redacted]
- **DCN:** [Redacted]
- **Agency:** A18 - USCAA
- **County:** 045 - JACKSON
- **Last Name:** JONES
- **First Name:** [Redacted]
- **MI:** [Redacted]
- **Date of Birth:** 09-11-1979
- **Gender:** F
- **Verified:** YES
- **Fiscal Year (FY):** 2019
- **Program Type:** EA

**Status:** APPROVED

**Benefit Amount:** $395.00

**Primary Supplier Information**

- **Supplier Name:** MISSOURI GAS ENERGY
- **Supplier Number:** 100208000
- **Supplier Response:** Y - YES
- **Supplier Notified Date:** 12-04-2009
- **Process Date:** 12-26-2009
- **Message:** SSN On File - Enter Changes If Necessary.

**Verify:** [Redacted] (Enter YES to Confirm)

**Buttons:** Inquiry, Save, Print, Case Notes

**Case Notes:** (No Case Notes Available)

---

**Case Information:**

- **Case Numbers:** E1RG, E1CN, E1MM, E1AP, E1LW, E1WH, E1AC, E1PY, E1RD, E1ES, E1SI, E1SN, E1NS, E1NA, E1MR, E1DR, E1FM, E1SS, E1SD, E1CN, E1UA, E1CD, E1PN, E1ST, E1CA, E1CO, E1CM, E1HR, E1HR, E1UP

**Case Numbers:** S024, SCLR, S019
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<table>
<thead>
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<tbody>
<tr>
<td></td>
<td>Address</td>
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</table>

<table>
<thead>
<tr>
<th>RE</th>
<th>Applicant Name</th>
<th>Applicant DCN</th>
</tr>
</thead>
</table>

I authorize the release of information regarding my situation described below to representatives of the Missouri Family Support Division. (Circle the applicable situation and explain, if necessary)

- Weatherization
- Lifeline
- Safelink
- Other (Explain)

I (we) hereby release any person, representative of the Missouri Family Support Division, or representative of the LIHEAP contract agency from any liability for information furnished pursuant to this authorization.

<table>
<thead>
<tr>
<th>Applicant Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature of Other (If applicable)</td>
<td>Date</td>
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</tbody>
</table>
Steps for Obtaining an On-Line Social Security Benefit Statement Letter

1. To obtain an on-line Social Security Benefit letter the following items are required:
   • Internet access
   • Valid E-mail address
   • Social Security number
   • U.S. mailing address
   • 18 years of age

2. Go to: www.ssa.gov/myaccount/
   • About half-way down the page, click on the blue box that says "Create an Account"
     - On the next page, again click on the blue box that says "Create an Account"
     - Check the box next to:
       ☐ I agree to the Terms of Service
       • Then click the "Next" button
       • Complete the next pages by entering personal data and answering questions
       • When complete, a Terms of Service page will appear
       • Check the box next to:
         ☐ I agree to the Terms of Service
         • Click the "Next button"
         • The, "My Account" home page will appear. About half way down the page is a blue line of text that says: "Get a Benefit Verification Letter"
         • Clicking anywhere on that line will open another web page with a letter, addressed to that person, which lists all income that the person currently receives from the Social Security Administration
         • By clicking on the appropriate button at the top of the page, the letter can be either printed or saved
For the purposes of this program, a self-employed person will be defined as one who has income as an owner or partner in a business, or from rental real estate, royalties, or farming, reported on any of lines 12, 14, 17, 18 or 21 on Schedule 1 of their 2018 Federal Form 1040 tax return.
### SCHEDULE 1
(Form 1040)

#### Additional Income and Adjustments to Income

- **1-9b** Taxable refunds, credits, or offsets of state and local income taxes
- **10** Alimony received
- **11** Business income or (loss). Attach Schedule C or C-EZ.
- **12** Capital gain or (loss). Attach Schedule D if required. If not required, check here □
- **13** Other gains or (losses). Attach Form 4797
- **15a** Reserved
- **15b** Reserved
- **16a** Reserved
- **17** Rental real estate, royalties, partnerships, S corporations, trusts, etc. Attach Schedule E
- **18** Farm income or (loss). Attach Schedule F
- **19** Unemployment compensation
- **20a** Reserved
- **21** Other income. List type and amount ▶
- **22** Combine the amounts in the far right column. If you don’t have any adjustments to income, enter here and include on Form 1040, line 6. Otherwise, go to line 23.

#### Adjustments to Income

- **23** Educator expenses
- **24** Certain business expenses of reservists, performing artists, and fee-basis government officials. Attach Form 2106
- **25** Health savings account deduction. Attach Form 8889
- **26** Moving expenses for members of the Armed Forces. Attach Form 3903
- **27** Deductible part of self-employment tax. Attach Schedule SE
- **28** Self-employed SEP, SIMPLE, and qualified plans
- **29** Self-employed health insurance deduction
- **30** Penalty on early withdrawal of savings
- **31a** Alimony paid b Recipient’s SSN ▶
- **32** IRA deduction
- **33** Student loan interest deduction
- **34** Reserved
- **35** Reserved
- **36** Add lines 23 through 35

For Paperwork Reduction Act Notice, see your tax return instructions.
The Other Fund Sources Report will be submitted to this office after each quarter of the program year. This report is not cumulative; only document the other fund sources for the above-referenced quarter. Report homes, total expenditures (administration, insurance, program operations, etc.) and landlord contributions that have been reported for the above-referenced quarter.

**OTHER FUND SOURCES REPORT**  
**PY _____ , _____ QUARTER**

AGENCY NAME ____________________________

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<tr>
<th>Other Fund Sources</th>
<th>Total $</th>
<th># Homes</th>
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<tr>
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<tr>
<td>Please list</td>
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</table>

| Utility Companies                   |         |         |
| Please list                         |         |         |
|                                     |         |         |
|                                     |         |         |

| Private Sources (Agency, City, etc.) |         |         |
| Please list                         |         |         |
|                                     |         |         |
|                                     |         |         |

| Landlord Owner Contributions (if the landlord is exempt due to poverty level, please put exempt next to the client name and job number) |         |         |
| Please list job #,                  |         |         |
| Client name                         |         |         |
|                                     |         |         |
|                                     |         |         |

| Grand Total                         |         |         |

*These funds are considered partnership funds, not leveraged as defined in the Subgrantee Selection Section, leveraging activities. Such as CSBG, CDBG, etc. Anything with a CFDA number should go in this section.*
Minority / Women Business Enterprise Reporting

Name: __________________________  Date: __________________________  Quarter: __________________________

The MBE/WBE Report will be submitted to DNR/DE after each quarter of the program year. The report must be completed by all agencies. This report is not a cumulative report; only report the MBE/WBE for the above reference quarter.

**BIDS**

Names of **Woman Business Enterprises** solicited for bids during this quarter.

________________________________________________________________________

________________________________________________________________________

Names of **Minority Business Enterprises** solicited for bids during this quarter.

________________________________________________________________________

**PURCHASES (Commodities & Services)**

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<thead>
<tr>
<th>Name/City of WBE Contractor or Vendor:</th>
<th>Dollar Value of Purchases During this Quarter:</th>
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<tbody>
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<tr>
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<td>$</td>
</tr>
</tbody>
</table>

(Definitions on following page.)

(Instructions on back)
Minority/Woman Business Enterprise Reporting Instructions

**Name:** Insert the name of the organization submitting this report.

**Date:** Insert the date this form is completed.

**Quarter:** Insert the numeral 1, 2, 3 or 4 that corresponds to the program year quarter (Quarter 1: July 1 - Sept. 30; Quarter 2: Oct. 1 - Dec. 31; Quarter 3: Jan. 1 - March 31; Quarter 4: April 1 - June 30).

**Names of WBE’s Solicited for Bids:** Provide names and phone numbers of any Woman Business Enterprises contacted for bids.

**Names of MBE’s Solicited for Bids:** Provide names and phone numbers of all Minority Business Enterprises contacted for bids.

**Names of WBE’s Contractor/Vendor:** Provide names of Woman Business Enterprises awarded bids/contracts.

**Names of MBE’s Contractor/Vendor:** Provide names of Minority Business Enterprises awarded bids/contracts.

**Dollar Value of Purchases with WBE’s During This Quarter:** Provide the total amount of funds actually spent with Woman Business Enterprises.

**Dollar Value of Purchases with MBE’s During This Quarter:** Provide the total amount of funds actually spent with Minority Business Enterprises.
WEATHERIZATION PROGRAM NOTICE 11-03
EFFECTIVE DATE: December 15, 2010

SUBJECT: POLICY REGARDING THE USE OF DOE PROGRAM FUNDS TO PAY FOR CALL-BACK/ADD-ON WORK AFTER REPORTED TO DOE AS A COMPLETED UNIT

PURPOSE: To clarify if and when Grantees and subgrantees may charge the Department of Energy (DOE) Low-Income Weatherization Assistance Program (WAP) for call-backs once a dwelling unit has been final inspected and reported to DOE as a completed dwelling unit.

SCOPE: The provisions of this guidance apply to Grantees or other entities named in the Notification of Grant Award as the recipient of financial assistance under the Department of Energy Weatherization Assistance Program. This guidance applies to all sources of funds in use – American Recovery and Reinvestment Act of 2009 (Recovery Act) and regular appropriated DOE Weatherization funds in 2009, 2010 and beyond.


BACKGROUND: Recent monitoring and auditing of the Program has uncovered numerous instances where DOE WAP funds are being used to perform additional weatherization work after the dwelling unit has been final inspected and reported to DOE as a completed unit. Whether you refer to this additional weatherization work as “call-backs,” “re-works”, “add-ons”, “missed opportunities”, or some other term of art, this type of work should not occur using DOE funds. Under a recent interpretation of WAP regulations by the DOE Office of General Counsel, paying for additional work on homes that have already been reported to DOE is not a permissible use of DOE WAP funds.
GUIDANCE: As a general rule, Grantees and subgrantees may not charge the WAP for additional work on homes that have already been reported to DOE as completed, weatherized units. Once a home is reported to DOE as complete, the required final inspection indicates that all applicable work performed was done so in a workmanlike manner, including all work that may have been contracted out such as furnace work, etc. Performing activities such as routine maintenance, repairs, or warranty-type work is not permitted using DOE funds for work beyond those costs already invoiced. Grantees and subgrantees may use other funds that are not included as a part of their DOE WAP budget plans to pay for the costs associated with these activities.

The only method to address “call-backs” where DOE funds must be used to pay for the additional work is to have these previously completed units taken out of the DOE reporting system and subtract the associated costs from the DOE funds category.

The Project Officer must be notified in writing of the number of units, total costs, and reporting period (monthly and/or quarterly) for any units that are to be backed out of the PAGE system. The Project Officer will then reject the report so that the revised reporting adjustments can be made. Further, Grantees must coordinate with their financial office to ensure the appropriate accounting methods follow Federal cash management procedures.

After making any necessary repairs, the subgrantee must re-inspect the unit and report the completion to the grantee who will then report the unit to DOE, including all final costs for the unit in the month the completed work takes place. In considering this option, it should be noted that this process is time-consuming and should be utilized only on a limited case-by-case basis. Any proposed exception to this guidance must be provided by the subgrantee to the Grantee and submitted to DOE for approval.

Subgrantees that primarily use contractors are likely not to have this issue. The contracts for HVAC or other work using DOE funds must ensure that adequate guarantees of workmanship, implied or otherwise, are part of the bid process. These costs are generally built into the contract including the equipment, workmanship, and the length of time covered by any implied warranty required in the bid specifications.

This program notice affects all units weatherized after January 10, 2011 with any-year’s appropriated funds as well as Recovery Act funds. This date should ensure that Grantees will have time to amend any procedures or plans currently in place with their subgrantees to implement this change.

Note: Under no circumstances can any of the activities described above be covered under the reweatherization provisions of 10 CFR 440.18(e)(2)(iii) of the program regulations.
CONCLUSION: DOE intends to revisit this issue during the updating of the program regulations scheduled to begin early next year. At that time, DOE will request comments on how best to address any proposed changes to the regulations, including this matter. If there are additional questions or concerns about this guidance document, Grantees should contact their PMC Project Officer. DOE appreciates your cooperation and patience as we work together to achieve the Administration’s goal of creating jobs and increasing the number of people who benefit from DOE-funded weatherization projects.

LeAnn M. Oliver Program Manager
Office of Weatherization and Intergovernmental Program
Energy Efficiency and Renewable Energy
## Vehicle and Equipment Inventory Report

**Due December 1**

<table>
<thead>
<tr>
<th>SUBGRANTEE:</th>
<th>DATE:</th>
</tr>
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<tbody>
<tr>
<td></td>
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</tbody>
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### VEHICLES CURRENTLY OWNED BY THE WEATHERIZATION PROGRAM

<table>
<thead>
<tr>
<th>Type/Model</th>
<th>Model Year</th>
<th>Vehicle ID Number</th>
<th>Purchase Date</th>
<th>Original Cost</th>
<th>% of Federal funds to purchase</th>
<th>Condition*</th>
<th>Vehicle Used by what Program/What is the vehicle used for? (Ex. Regular DOE program - Wk, or Head Start - transporting children)</th>
<th>Current Mileage</th>
<th>What Program Holds Title to the Vehicle?</th>
<th>Location where the vehicle is kept</th>
<th>Date of Disposal (if applicable)</th>
<th>Sale Price (if applicable)</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
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### EQUIPMENT OVER $5,000 CURRENTLY OWNED BY THE WEATHERIZATION PROGRAM

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<tr>
<th>Type/Model</th>
<th>Model Year</th>
<th>Serial or Inventory Number</th>
<th>Purchase Date</th>
<th>Original Cost</th>
<th>% of Federal funds to purchase</th>
<th>Condition*</th>
<th>Equipment Used by what Program/What is the equipment used for? (Ex. Regular DOE program - Wk)</th>
<th>Location where the equipment is kept</th>
<th>Date of Disposal (if applicable)</th>
<th>Sale Price (if applicable)</th>
<th>Comments</th>
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</tr>
</tbody>
</table>

*Condition:

**New** (Property which is in new condition or unused condition and can be used immediately without modifications or repairs.)

**Usable** (Property which shows some wear, but can be used without significant repair.)

**Repairable** (Property which is unusable in its current condition, but can be economically repaired.)

**Salvage** (Property which has value in excess of its basic material content, but repair or rehabilitation is impractical and/or uneconomical.)

**Scrap** (Property which has no value for its basic material content.)
### SAMPLE CONTRACTOR INVOICE

**Simpson Home Improvement**

H. Simpson  
1602 Pennsylvania Ave.  
Washington, MO 63090  
(555) 555-5555

**Invoice Date:** 4/1/2015  
**Name:** C. Montgomery Burns  
**Address:** 1000 Mammon Ln. Springfield MO, 65801  
**Phone:** (555) 555-5556

**Job #:** 039-017-M-00763

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<td>CO Detector</td>
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<td></td>
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<td>13-watt CFL</td>
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**Total** $4,590.25

**Work Start:** 3/23/2015  
**Work End:** 3/25/2015
CHECKLIST FOR CONTRACTOR FILES

☐ Completed contract which has been signed by the contractor and countersigned by the agency.

☐ Documentation that the contractor has met one of the three following criteria:
   1. The respondent has successfully completed a contract with the agency in the past (place a note in the file);
   2. The respondent has submitted names of other purchasers with whom they have provided service and performed satisfactorily (place the list of references and the notes from whoever checked the references in the file); OR
   3. The respondent has posted a performance bond (Place a copy of the bond in the file. The actual bond should be locked in the finance office.)

☐ Proof of Insurance as listed below:
   1. Comprehensive General Liability Insurance at a minimum of $300,000 Combined Single Limit for Bodily Injury and Property Damage, per occurrence and aggregate.
   2. Vehicle Insurance at a minimum of $300,000 bodily injury per person / $500,000 bodily injury per accident / $300,000 property damage per accident for a Split Liability Limit (SLL) policy or $800,000 for a Combined Single Limit (CSL) policy.
   3. Workers’ Compensation Insurance Coverage as required by law.

☐ Current business license and/or occupational license(s) as required by local statutes.

☐ Verification that the contractor is registered with and maintains good standing with the Secretary of State of the State of Missouri. See website:
   https://bsd.sos.mo.gov/BusinessEntity/BESearch.aspx?SearchType=0

☐ Evidence that the contractor is not on the state or federal debarment lists. See websites:
   http://oa.mo.gov/facilities/project-management/debarred-contractors;
   https://www.sam.gov/portal/SAM/#1

☐ Evidence of OSHA-10 Certification for all of the contractor’s employees.

☐ Proof of EPA Certified Firm Certification and Certified Renovator and Lead Safe Work (LSW) training documentation, if any LSW is to be performed (Wx contractors only; not HVAC or electrical contractors).

This file should be reviewed annually to update insurance information, re-check the debarment and Secretary of State's registration lists, and verify that all other information is up-to-date.
Procedures for Reporting Daily CAZ Testing Related Expenses

As per Section 3, page 7, U, Daily CAZ Test form of the Weatherization Operational Manual it states: “This form (LIWAP Technical Manual Attachment 2.9) must be filled out every day that work is completed at every home; however, for an all electric home, the form need only be filled out at the end of the first day.” All copies of the CAZ test must be uploaded. (They can be uploaded together.) Further guidance regarding Daily CAZ testing can be found in Section 3, Subsection C, Topic 6, of the Technical Manual.

Contractors:

If a Daily CAZ test is required to be performed, the contractor is allowed to charge for this service and it should be reported separately on the contractor’s invoice. The measure should be clearly identified as CAZ testing on the invoice and not included as a generically labeled measure such as “additional labor.” If a CAZ test fails and the contractor charges to perform another one, a copy of both the failed and approved Daily CAZ Testing form must be uploaded to MoWAP. The subgrantee is to enter the CAZ testing expenditure on the MoWAP Work Order as a Health and Safety measure. Subgrantees may amend their current contracts to include the fee for each Daily CAZ test performed, or they may wait and include the measure in the next annual contract with any contractor required to perform CAZ testing.

If a Daily CAZ test is not required to be performed, but the contractor is required to complete the Daily CAZ Test form, the contractor is allowed to charge a nominal fee for this service. If the contractor does charge a fee for completing the form, it should be reported separately on the contractor’s invoice. However, this fee should not be reported on the MoWAP Work Order as a Health and Safety measure. The fee would be absorbed into the cost of the Weatherization measure being performed. After June 30, 2017 any fee for filling out the form when no Daily CAZ test is required should be included in the price of the measure being performed.

NOTE: If a contractor does not charge for completing a Daily CAZ test then it should not be reported as a Health and Safety measure on the MoWAP Work Order.

Crew:

If a Daily CAZ test is required to be performed, the subgrantee is allowed to charge their crews’ labor to the home for that work. The expenditure should be reported separately on the crew’s labor/measure worksheet. The subgrantee is to enter this expenditure on the MoWAP Work Order as a Health and Safety measure. If a Daily CAZ test is not required to be performed the crew is still required to complete the Daily CAZ Test form as per guidance found in Section 3, Subsection C, Topic 6, of the Technical Manual.
Itemized Budget Worksheet Instructions

Include all information required below with submission of the itemized budget through MoWAP. Upload narrative explanations as needed. Supporting budget, expenditure and production records should be available on-site upon request.

Required budget detail:

A. Administration:

1) Indirect - Include indirect cost in dollars (rate x amount) on the budget worksheet. **Upload a copy of the agency’s rate negotiation information.**

2) Cost Allocation Plan – Upload a copy of the agency’s Cost Allocation Plan

3) The Administration category may not exceed 5 percent of the total amount of monies allocated to each subgrantee unless the total allocation is less than $350,000. If the allocation to the agency is less than $350,000, the agency may request an additional 5 percent for administration. If the agency believes that they will need more than 5 percent of the total allocation for administration, please upload a detailed justification with the budget submittal. Please see Section 4, B.1 of the Weatherization Operations Manual for more information regarding justification submittal for requests in excess of 5 percent for Administration.

4) Personnel - List each administrative position (title, not name) that the agency plans to fund all or in part from the grant award. **Include a brief description of the position’s function or examples of work; the percentage of the position that is allocated to work in this program (FTE); and associated budgeted costs.**

5) Itemized non-personnel expenses and equipment - List budgeted amounts with brief descriptions of planned expenditures. Only items costing more than $5,000 per item will require written DE approval in advance of purchase during the year.

B. Liability Insurance: Proof of current liability insurance and Pollution Occurrence Insurance (POI), is required to be submitted with the budget. Documents providing proof of insurance should include the amount of coverage and effective dates. **It is recommended to budget liability insurance on the liability insurance line item and Pollution Occurrence Insurance on the POI line item.**
C. Financial Audit: If the agency plans to budget money from the grant for financial audit expenses it is recommended to enter that amount on the financial audit line item.

NOTE: Leveraging and Training and Technical Assistance (T&TA) expenses are not eligible under utility subgrants, (example, Ameren Missouri Electric and Gas, Laclede, and Liberty Utilities) thus leveraging and T&TA plans are not required.

D. Leveraging: Agencies are encouraged to budget up to, but no more than, 5 percent of their grant allocation for leveraging activities. A leveraging plan is required to be submitted with the budget. Leveraging activities include paying for agency staff or hiring consultant staff to explore and develop partnerships with property owners, utility companies, and other entities that generate non-Federal resources for the program. Other allowable activities include: holding leveraging meetings; preparing technical materials/briefs; or facilitating voluntary match funds from a non-Federal source. The leveraged resources should expand energy efficiency services and/or increase the number of DOE-eligible dwelling units weatherized. The work done with leveraged resources must be consistent with an approved energy audit and utilize cost-effective measures. Leveraging efforts will not always be successful, but subgrantees should aim to produce more than one dollar leveraged for each DOE dollar expended. When developing the leveraging plan agencies should address the following when planning and budgeting their leveraging activities:

- Identify specific planned leveraging activities
- Identify targeted partners (e.g., property owners, utility companies, other entities)
- Estimate outcomes including dollar amounts.

E. Training and Technical Assistance (T&TA): A T&TA plan is required to be submitted with the budget. T&TA activities are intended to maintain or increase the efficiency, quality, and effectiveness of the Weatherization Assistance Program at all levels. Dollar amounts must be associated to each training activity outlined in the plan. Such activities should be designed to maximize energy savings, minimize production costs, improve program management and crew/contractor “quality of work”, and reduce the potential for waste, fraud, and mismanagement. When developing the T&TA plan agencies are encouraged to address the following when planning and budgeting for their T&TA activities:

- Identify agency-specific priorities for training and technical assistance (e.g., major turnover of energy auditors will require investment in basic weatherization training, blower doors, heating systems, and the National Energy Audit Tool (NEAT) and the Mobile Home Energy Audit (MHEA)).
- Respond to training needs identified by DE Housing Quality or Procedural monitoring.
- Give priority to costs for attending state-sponsored training, or document that the agency already has the necessary skills in the areas offered.
F. Program Operations: This portion of the budget is broken out into three categories: support (personnel and other expenses), labor, and materials directly related to weatherizing homes.

1) Personnel - List each position (title, not name) that the agency plans to fund all or in part from the grant award. Include a brief description of the position’s function or examples of work; the percentage of the position that is allocated to work in the program (full time employee – fte); and the associated budgeted amount.

Itemized non-personnel expenses and equipment - List budgeted amounts with brief descriptions of planned expenditures. Only items costing more than $5,000 will require written DE approval in advance of purchase during the year. NOTE: All vehicle purchases, even if purchase price is below $5,000, require both DOE and DE approval before the vehicle may be purchased.

G. Production Service Goals: To estimate the total number of homes that the agency expects to serve, allocate the amount of program operation funds the agency expects to spend for all homes. Then divide the amount allocated by the agency’s anticipated average per-home cost. The annual DOE average per-home cost limitations may be found on the federal LIWAP website at www.waptac.org.

Example: Program Operations Budgeted/Average Cost per Home = Total Homes Weatherized
($100,000 Budgeted / $7,261 Average Cost per Home = 14 Homes Weatherized)
AUDIT GUIDE
LOW INCOME WEATHERIZATION ASSISTANCE GRANTS

I. Purpose

This audit guide is to be used by the recipient’s independent auditor during the agency’s single audit. The purpose of this guide is to assist the auditor in reviewing the Low Income Weatherization Assistance grant issued by the Department of Natural Resources' Division of Energy (DE). A copy of this guide and 2 CRF 200.501 – 200.521 must be presented to the auditor during the planning phase of the audit.

II. Authority

The Single Audit Act of 1996, P.L. 104 – 156 is the law giving DE the authority to require an audit of a recipient agency that meets single audit criteria established in 2 CFR 200.501-200.521. Generally speaking, any entity expending in excess of $750,000 in federal funds is subject to a single audit, or a program specific audit, in accordance with the provisions found in 2 CFR 200.

2 CFR 200.501 – 200.521 specifies the requirements of the awarding agency, the recipient agency and the auditor.

III. Audit Standards

An audit report submitted to DE to fulfill the requirements of a grant awarded as part of the Low Income Weatherization Assistance Program must be conducted in accordance with generally accepted auditing standards (GAAS) as established by the American Institute of Certified Public Accountants (AICPA) and generally accepted government auditing standards (GAGAS) as established by the Governmental Accounting Office (GAO) in the current edition GAO Yellow Book. These standards and requirements of 2 CFR 200 shall be used in conducting the audit.

A complete audit report is due to DE within nine months after the end of the audit period (end of the agency’s fiscal year) or thirty days from the date the final report is submitted to the recipient by the independent auditor.

For the purposes of this guide, a complete audit report includes the financial statements, accompanying schedules and opinions specified in 2 CFR 200, the schedule found in this Audit Guide and a copy of any management advisory letter submitted to agency management either with the report or under a separate letter. The Weatherization schedules presented in the audit report are not financial statements that the auditor is attesting to.

If the subgrantee figures in the auditor prepared schedules are not in agreement with DE figures, or if a written explanation explaining why the subgrantee figures are not in agreement with DE figures, then the complete audit report will be rejected and returned to the Agency Board of Directors for corrective action.
IV. Required Audit Procedures

General audit procedures that are required by DE may be found in 2 CFR 200.501 – 200.521

The schedule found in this guide (Schedule A) is to be included in the audit report for each grant administered by DE even if the Weatherization Program is not audited as a major program. The schedule is to cover the period of the DE grant period.

Once the fieldwork has been completed and the required schedules have been prepared, the auditor must compare the Subgrantee figures documented on the Weatherization Program schedule (Schedule A) against the Division of Energy’s figures. DE’s figures should be traced back to the last MoWAP grant reimbursement submitted by the agency to DE. DE prefers that complete grant periods are reviewed. However, for grants in which the grant period did not end during the agency’s fiscal year, the auditor should trace back to last MoWAP grant reimbursement that was submitted during the agency’s fiscal year being reviewed. The agency must ensure that for grants being reviewed with incomplete grant periods that the audit firm review the grant in the next agency audit so that a complete grant period is reviewed.

If the Subgrantee and DE figures on the schedule do not agree, a reconciliation must be prepared and submitted with the audit report, or an explanation of the discrepancies must be attached to the schedule. Any audit adjustments to the agency’s books must be identified. If audit adjustments were made to the agency’s records that change any of the revenue or expense category amounts reported to DE, those audit adjustments must be identified and a revised schedule must be included in the audit report. IT IS THE AUDITED AGENCY’S RESPONSIBILITY TO ENSURE THAT ANY DISCREPANCIES BETWEEN THE AGENCY’S GENERAL LEDGER ACCOUNTS AND THE REPORTS SUBMITTED TO DE BE RESOLVED PRIOR TO SUBMITTING THE AUDIT REPORT.

If the schedules presented in the audit report and submitted to DE are not in agreement, the audit will be returned to the agency for corrections. The agency will have 30 days from the date of the transmittal letter to correct the discrepancies and return a corrected audit to DE.

V. Audit Risk Areas

A. Grant Contract Terms

Grant contract terms are found in the scope of work section of the grant award document. The primary risk found in this review is the requirement for the weatherization program to be audited as a major program. 2 CFR 200.501-200.521 requires written notification if the awarding agency requires a program to be audited as a major program during the agency single audit. DE uses the scope of work section of the grant award to fulfill this requirement. The complete grant award should be reviewed during the planning stage of the audit.
B. General Cost Limitations

General cost limitations may be found in Section 4 of the Weatherization Operations Manual. Compliance is mandatory.

C. Administrative Cost Limits

Administrative cost limitations are defined in Section 4 of the Weatherization Operations Manual. To test administrative expenditures, multiply the total reported expenditures by the administrative rate percentage. If the amount of administrative expense reported to DE is greater than the maximum allowable rate of administrative expenditures then the amount budgeted for administration in the next grant year will be reduced by the amount overspent, or, DE may require that the agency reimburse the grant with non-discretionary agency funds in the amount that was overspent.

D. Average Cost Per Home

Average cost per home limitations are included in the Weatherization State Plan and change each grant year. The average cost per home is actually the average program operations cost per home. The easiest way to find this average is to review any monthly MoWAP reimbursement. To determine the average cost per home divide the cumulative total of Program Operation expenditures by the cumulative number of homes completed. Individual weatherization program client files reviewed during the agency single audit may show claimed costs in excess of the maximum allowable average cost per home. This is acceptable. If, at the end of the grant period, the average cost per home for the year exceeds the maximum allowable average cost, the agency may be required to reimburse the amount overspent in program operations. This is calculated by determining the amount per home exceeding the maximum allowable average amount and multiplying this by the number of homes completed during the grant year.

E. Client Dwelling and Income Eligibility Requirements

Client dwelling and income eligibility requirements are found in Section 2 of the Weatherization Operations Manual. The primary risk is that the client may not be income eligible or the dwelling may have been previously serviced since September 30, 1994. Clients receiving Temporary Assistance for Needy Families (TANF) or Supplemental Security Income (SSI) payments are not required to meet income eligibility requirements. This section should be reviewed if weatherization files are to be tested during the audit.

F. Reporting Requirements

Reporting requirements for periodic program reporting are contained in Section 3 of the Weatherization Operations Manual. Included in this section is a list of the documentation required to be included in a weatherization client file. The primary risk is that the Quality Control Inspection of work performed on the dwelling was not documented. This section should be reviewed if weatherization reports are to be tested during the audit.
G. Procurement Requirements

Procurement requirements are found in Section 5 of the Weatherization Operations Manual. Included in this section are contracting dollar thresholds, inventory reporting requirements and small purchase procedures. The primary risks in the procurement area include failure to report equipment purchases in excess of $5,000 and undocumented procurement. This section should be reviewed if the program’s contracts are reviewed during the single audit.
RECONCILIATION OF REVENUES AND EXPENSES

FOR THE PERIOD OF July 1, 20___ to June 30, 20___

(NOTE: Use the appropriate dates for beginning and ending grant periods if the grant did not begin July 1 or if the grant did not end June 30.)

Provide the following information for the WAP Program Year (July 1 to June 30 or applicable grant start and end dates. For multi-year grants the end date should be the agency fiscal year end date if the grant period had not ended during the agency audit period.)

<table>
<thead>
<tr>
<th>DIVISION OF ENERGY</th>
<th>SUBGRANTEE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning Fund Balance (funds that have been advanced but not expensed from the previous grant)</td>
<td>Beginning Fund Balance</td>
</tr>
<tr>
<td>Revenue</td>
<td>Revenue</td>
</tr>
<tr>
<td>Grant Income (funds that have been reimbursed to the agency from DED-DE)</td>
<td>Grant Income</td>
</tr>
<tr>
<td>Program Income</td>
<td>Program Income</td>
</tr>
<tr>
<td>Total Revenue</td>
<td>Total Revenue</td>
</tr>
<tr>
<td>Expenditures</td>
<td>Expenditures</td>
</tr>
<tr>
<td>Administration</td>
<td>Administration</td>
</tr>
<tr>
<td>Insurance</td>
<td>Insurance</td>
</tr>
<tr>
<td>Financial Audit</td>
<td>Financial Audit</td>
</tr>
<tr>
<td>Leveraging</td>
<td>Leveraging</td>
</tr>
<tr>
<td>T&amp;TA</td>
<td>T&amp;TA</td>
</tr>
<tr>
<td>Program Operations</td>
<td>Program Operations</td>
</tr>
<tr>
<td>Total Expenditures</td>
<td>Total Expenditures</td>
</tr>
<tr>
<td>Ending Fund Balance (this is the sum of the beginning fund balance + grant income + program income - minus total expenditures)</td>
<td>Ending Fund Balance</td>
</tr>
<tr>
<td>Ending Cash on Hand</td>
<td>Ending inventory</td>
</tr>
</tbody>
</table>

Note: The Division of Energy and Subgrantee figures must be in agreement or a written explanation explaining the discrepancies must be attached to the Schedule. If not, the difference must be corrected before the schedule can be accepted.
BUSINESS ENTITY CERTIFICATION, ENROLLMENT DOCUMENTATION, AND AFFIDAVIT OF WORK AUTHORIZATION

BUSINESS ENTITY CERTIFICATION:
The contractor must certify their current business status by completing either Box A or Box B or Box C on this Exhibit.

| BOX A: | To be completed by a non-business entity as defined below. |
| BOX B: | To be completed by a business entity who has not yet completed and submitted documentation pertaining to the federal work authorization program as described at [http://www.dhs.gov/files/programs/](http://www.dhs.gov/files/programs/gc_1185221678150.shtm). |
| BOX C: | To be completed by a business entity who has current work authorization documentation on file with a Missouri state agency including Division of Purchasing and Materials Management. |

Business entity, as defined in section 285.525, RSMo, pertaining to section 285.530, RSMo, is any person or group of persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood. The term “business entity” shall include but not be limited to self-employed individuals, partnerships, corporations, contractors, and subcontractors. The term “business entity” shall include any business entity that possesses a business permit, license, or tax certificate issued by the state, any business entity that is exempt by law from obtaining such a business permit, and any business entity that is operating unlawfully without such a business permit. The term “business entity” shall not include a self-employed individual with no employees or entities utilizing the services of direct sellers as defined in subdivision (17) of subsection 12 of section 288.034, RSMo.

Note: Regarding governmental entities, business entity includes Missouri schools, Missouri universities (other than stated in Box C), out of state agencies, out of state schools, out of state universities, and political subdivisions. A business entity does not include Missouri state agencies and federal government entities.

**BOX A – CURRENTLY NOT A BUSINESS ENTITY**

I certify that ___________________ (Company/Individual Name) **DOES NOT CURRENTLY MEET** the definition of a business entity, as defined in section 285.525, RSMo pertaining to section 285.530, RSMo as stated above, because: (check the applicable business status that applies below)

- ☐ I am a self-employed individual with no employees; **OR**
- ☐ The company that I represent employs the services of direct sellers as defined in subdivision (17) of subsection 12 of section 288.034, RSMo.

I certify that I am not an alien unlawfully present in the United States and if ______________ (Company/Individual Name) is awarded a contract for the services requested herein under ______________ (Bid/SFS/Contract Number) and if the business status changes during the life of the contract to become a business entity as defined in section 285.525, RSMo, pertaining to section 285.530, RSMo, then, prior to the performance of any services as a business entity, ______________ (Company/Individual Name) agrees to complete Box B, comply with the requirements stated in Box B and provide the ______________ (insert agency name) with all documentation required in Box B of this exhibit.

____________________________  ________________________________
Authorized Representative’s Name (Please Print)  Authorized Representative’s Signature

____________________________  ________________________________
Company Name (if applicable)  Date

Attachment 4 - 4  165  December 2019
(Complete the following if you DO NOT have the E-Verify documentation and a current Affidavit of Work Authorization already on file with the State of Missouri. If completing Box B, do not complete Box C.)

**BOX B – CURRENT BUSINESS ENTITY STATUS**

I certify that ______________________ (Business Entity Name) **MEETS** the definition of a business entity as defined in section 285.525, RSMo, pertaining to section 285.530.

<table>
<thead>
<tr>
<th>Authorized Business Entity Representative’s Name (Please Print)</th>
<th>Authorized Business Entity Representative’s Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Entity Name</td>
<td>Date</td>
</tr>
</tbody>
</table>

E-Mail Address

As a business entity, the contractor must perform/provide each of the following. The contractor should check each to verify completion/submission of all of the following:

- Enroll and participate in the E-Verify federal work authorization program (Website: [http://www.dhs.gov/files/programs/gc_1185221678150.shtm](http://www.dhs.gov/files/programs/gc_1185221678150.shtm); Phone: 888-464-4218; Email: e-verify@dhs.gov) with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services required herein; AND

- Provide documentation affirming said company’s/individual’s enrollment and participation in the E-Verify federal work authorization program. Documentation shall include EITHER the E-Verify Employment Eligibility Verification page listing the contractor’s name and company ID OR a page from the E-Verify Memorandum of Understanding (MOU) listing the contractor’s name and the MOU signature page completed and signed, at minimum, by the contractor and the Department of Homeland Security – Verification Division. If the signature page of the MOU lists the contractor’s name and company ID, then no additional pages of the MOU must be submitted; AND

- Submit a completed, notarized Affidavit of Work Authorization provided on the next page of this Exhibit.
AFFIDAVIT OF WORK AUTHORIZATION:

The contractor who meets the section 285.525, RSMo, definition of a business entity must complete and return the following Affidavit of Work Authorization.

Comes now ________________ ________ (Name of Business Entity Authorized Representative) as ________________ (Position/Title) first being duly sworn on my oath, affirm _________________ (Business Entity Name) is enrolled and will continue to participate in the E-Verify federal work authorization program with respect to employees hired after enrollment in the program who are proposed to work in connection with the services related to contract(s) with the State of Missouri for the duration of the contract(s), if awarded in accordance with subsection 2 of section 285.530, RSMo. I also affirm that ________________ (Business Entity Name) does not and will not knowingly employ a person who is an unauthorized alien in connection with the contracted services provided under the contract(s) for the duration of the contract(s), if awarded.

In Affirmation thereof, the facts stated above are true and correct. (The undersigned understands that false statements made in this filing are subject to the penalties provided under section 575.040, RSMo.)

______________________
Authorized Representative’s Signature

______________________
Printed Name

______________________
Title

______________________
Date

______________________
E-Mail Address

______________________
E-Verify Company ID Number

Subscribed and sworn to before me this _____________ of ___________________. I am (DAY) (MONTH, YEAR)
commissioned as a notary public within the County of ________________, State of ___________________, and my commission expires on ________________. (NAME OF COUNTY)
(NAME OF STATE)

______________________
Signature of Notary

______________________
Date
Complete the following if you have the E-Verify documentation and a current Affidavit of Work Authorization already on file with the State of Missouri. If completing Box C, do not complete Box B.

**BOX C – AFFIDAVIT ON FILE - CURRENT BUSINESS ENTITY STATUS**

I certify that ______________________ (Business Entity Name) MEETS the definition of a business entity as defined in section 285.525, RSMo, pertaining to section 285.530, RSMo, and have enrolled and currently participates in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services related to contract(s) with the State of Missouri. We have previously provided documentation to a Missouri state agency or public university that affirms enrollment and participation in the E-Verify federal work authorization program. The documentation that was previously provided included the following.

- The E-Verify Employment Eligibility Verification page OR a page from the E-Verify Memorandum of Understanding (MOU) listing the contractor’s name and the MOU signature page completed and signed by the bidder/contractor and the Department of Homeland Security – Verification Division
- A current, notarized Affidavit of Work Authorization (must be completed, signed, and notarized within the past twelve months).

**Name of Missouri State Agency or Public University** to Which Previous E-Verify Documentation Submitted:

(*Public University includes the following five schools under chapter 34, RSMo: Harris-Stowe State University – St. Louis; Missouri Southern State University – Joplin; Missouri Western State University – St. Joseph; Northwest Missouri State University – Maryville; Southeast Missouri State University – Cape Girardeau.)

**Date** of Previous E-Verify Documentation Submission: ______________________

**Previous Contract Number** for Which Previous E-Verify Documentation Submitted: (if known)

<table>
<thead>
<tr>
<th>Authorized Business Entity Representative’s Name (Please Print)</th>
<th>Authorized Business Entity Representative’s Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>E-Verify MOU Company ID Number</td>
<td>E-Mail Address</td>
</tr>
<tr>
<td>Business Entity Name</td>
<td>Date</td>
</tr>
</tbody>
</table>

**FOR STATE USE ONLY**

Documentation Verification Completed By:

<table>
<thead>
<tr>
<th>Buyer</th>
<th>Date</th>
</tr>
</thead>
</table>

4
VENDOR NO TAX DUE

COMMUNITY ACTION AGENCY
PO BOX 1234
ANYWHERE, MO 61234

DATE ISSUED: OCTOBER 15, 2019

MISSOURI TAX ID NUMBER: 12345678
FEDERAL IDENTIFICATION NUMBER: 123456789

The Missouri Department of Revenue certifies that based on the information provided the above listed taxpayer/vendor and its disclosed affiliates do not sell taxable tangible personal property or provide taxable services in the State of Missouri. As a result, the above vendor and its disclosed affiliates are in compliance with Section 34,040.7, RSMo.

This statement does not limit the authority of the Director of Revenue to assess and/or collect liabilities under appeal or that become known to the Department as a result of audit or determination of successor liability.

This certificate will remain valid until such time as the business activity changes. Please note that any change in or deviation from the operation of this business as originally described will render this letter inapplicable.

DIRECTOR OF REVENUE OR DELEGATE
STATE OF MISSOURI

BY:

Esta Zaring
Administrator, Business Tax

CE:DU1234

CBN045
201912345678912
<table>
<thead>
<tr>
<th>Specific Items to include in bid documentation</th>
<th>CRITERIA - IFB - RFQ Check List (Attachment 5-1)</th>
<th>BIDDER/ NAME</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>NA, Yes, No</td>
<td>Weatherization</td>
<td>XYZ</td>
<td></td>
</tr>
<tr>
<td>I</td>
<td>Small, Minority &amp; Women-Owned Business Enterprise</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a.</td>
<td>Did the subgrantee make a good faith effort to include Minority and Women owned businesses in their IFB/RFQ distribution?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td>Was bid advertised in 2 papers? Are there tear sheet copies or an affidavit of publication?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>II</td>
<td>Procurement of Building Insulation W/Recovered Materials</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a.</td>
<td>Is the value of purchased insulation &gt; $10,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td>If &quot;Y&quot; were efforts made to get recycled materials at reasonable costs?(10 CFR 440)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>III</td>
<td>Procurement/Lease/Management/Vehicles/Equip/Non-Expendable Property</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Have all requirements outlined in III of Section 6 been reviewed for compliance?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>IV</td>
<td>Management of Weatherization Materials &amp; Contracted Services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a.</td>
<td>If materials, insulation or other goods are purchased, is a clause included to reference specifications? (Compliance with 10 CFR 600 and 10 CFR 440)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td>If the lowest/best bid is accepted does the bid packet have a bid tabulation sheet for recording the bid results?</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>If the lowest bid is not accepted...approval is needed by DE.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>V</td>
<td>Competitive Procurement Standards</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>a.</td>
<td>Is the purchase less than $3000? (Purchases of like items during a 12 month period with an aggregate value more than $3000 must be competitively bid or have an RFQ.)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>b.</td>
<td>Is Bid Tabulation Sheet included for documentation?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>c.</td>
<td>If the bid is for heating systems contractors, was a RFQ used?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>d.</td>
<td>Is this purchase &gt; $25,000 total of all systems purchased? Was the formal IFB advertised in 2 papers, the sealed written bid process followed?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>Does the content of the IFB include the following? Please see Section 5, V.D.2, pages 15-21 of the Weatherization Operational Manual for complete requirements.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>a.</td>
<td>Firm Fixed Price</td>
<td></td>
</tr>
<tr>
<td></td>
<td>b.</td>
<td>Estimated quantities</td>
<td></td>
</tr>
<tr>
<td></td>
<td>c.</td>
<td>Quality standards</td>
<td></td>
</tr>
<tr>
<td></td>
<td>d.</td>
<td>Bid evaluation criteria included?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>e.</td>
<td>Bid deadlines: submittal/closing/with sealed photocopy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>f.</td>
<td>Bid opening date/time/location</td>
<td></td>
</tr>
<tr>
<td></td>
<td>g.</td>
<td>Total dollar amount of funds granted for current year</td>
<td></td>
</tr>
<tr>
<td></td>
<td>h.</td>
<td>Federal percentage of participation related to subgrant (language revealing Federal funds amount/Percent of participation in the weatherization program related to the subgrantee)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>i.</td>
<td>Performance bond requirements: In debarment status under Federal or Missouri with signed statement to that effect? Or Form B (past client list) must provide one or the other.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>j.</td>
<td>Is Lien Waiver language included?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>k.</td>
<td>EEOC clause included? Is the SWS clause included?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>l.</td>
<td>Copeland Anti-Kickback clause included?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>m.</td>
<td>Is the clause containing the following conflict of interest language included: &quot;Contractor doesn’t and will not have conflict of interest with the agency/State of MO nor employ anyone who does&quot;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>n.</td>
<td>OSHA Training current?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>o.</td>
<td>Insurance present--Gen Liability, Vehicle, OSHA/Workers Comp., Pollution Occurrence?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>p.</td>
<td>Current Business License? Is the business/contractor registered with the Missouri Secretary of State Office?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>q.</td>
<td>Sole Source?</td>
<td></td>
</tr>
</tbody>
</table>
SUBJECT: Property Acquired Under the Weatherization Assistance Program (WAP)

PURPOSE: This guidance serves to clarify the regulatory obligations that apply to property acquired under the WAP Formula and Recovery Act grants and does not apply to Federally-owned property.

SCOPE: The provisions of this guidance apply to recipients and subrecipients of financial assistance under the Department of Energy (DOE) WAP.

LEGAL AUTHORITY: Title IV, Energy Conservation and Production Act, as amended, authorizes the Department of Energy to administer the WAP. (42 U.S.C. § 6861, et. seq.) All grant awards made under this program shall comply with applicable law and regulations including the WAP regulations contained in 10 CFR 440 and DOE Financial Assistance regulations at 10 CFR 600.

PROCEDURES: This information applies to the WAP program only, and is not applicable to other programs unless you receive specific direction from other programs. Please note that States will use, manage, and dispose of equipment acquired under a grant in accordance with State laws and procedures. Local Governments, Tribal Organizations, Nonprofit Organizations and Subgrantees shall follow their appropriate property regulations found in 10 CFR 600: Subpart B - Uniform Administrative Requirements for Grants and Cooperative Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations; Subpart C - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; or Subpart D - Administrative Requirements for Grants and Cooperative Agreements With For-Profit Organizations. Any potential discrepancies between guidance contained in this document and 10 CFR 600 shall be resolved in favor of 10 CFR 600.

1. DOE has no interest in equipment acquired with award funds with a current per-unit fair market value less than $5,000.

Fair market value means the best estimate of the gross proceeds if the property were to be sold in a public sale. As soon as 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. Disposition requirements no longer apply and the recipient/subrecipient have no further obligation to DOE.

A piece of equipment is considered to be an individual unit if it has individual utility or can be sold as an individual unit. For example, a photovoltaic solar system contains other components including solar panels, racking systems, inverters and associated wiring. For purposes of disposition, the system should be treated as individual units, such as the individual solar panels and individual inverters, not as a whole. If the system was purchased as individual units and can be sold as such, it should be disposed of as individual units. As a guide to making this determination, consider the manner in which the equipment was purchased and break larger systems into their smallest individual components of individual utility.

2. For equipment acquired with award funds with a current per-unit fair market value of $5,000 or more, the recipient/subrecipient may continue to use property in the project or program for which it was acquired, and a disposition request to DOE is not necessary.

Recipients/subrecipients may continue to use this equipment indefinitely so long as the recipient/subrecipient continues to use the property in the project or program for which it was acquired. In this case, a disposition request to DOE or Contracting Officer approval is not necessary. Recipients/subrecipients must continue to account for award property during the award and after the closeout of the award, as long as the property continues to have a fair market value of $5,000 or more, in accordance with DOE’s financial assistance regulations found at 10 CFR 600.

As soon as 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. 

2a. If the recipient/subrecipient continues to use the property in the project or program for which it was acquired, the recipient/subrecipient must continue to account for award property during the award and after the closeout of the award, as long as the property continues to have a fair market value of $5,000 or more, in accordance with DOE’s financial assistance regulations found at 10 CFR 600.

If the recipient/subrecipient continues to use property for the project or program for which it was acquired, property records must be maintained to include a description of the property, a serial number or other identification number, the source of property, who holds title, the acquisition date, the cost of the property, percentage of Federal participation in the cost of the property, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.

\[1\] 10 CFR 600.134(g), 232(e)(1), 321(f)(1)(i).
\[2\] 10 CFR 600.134(f)(1), 232(d)(1), 323(a).
Additionally, recipients/subrecipients must take a physical inventory and the results reconciled with the property records at least once every two years. Any differences between quantities determined by the physical inspection and those shown in the accounting records must be investigated by the recipient/subrecipient to determine the causes of the difference. The recipient/subrecipient must, in connection with the inventory, verify the existence, current utilization, and continued need for the property. These property inventory requirements do not differ from the requirements in the applicable regulations for the award period. DOE retains the right to periodically ask for, and the recipient/subrecipient agrees to provide upon request reasonable information concerning the use or final disposition of the property.

2b. All property purchased as equipment and later incorporated into real property should be treated as equipment prior to disposition and then again when removed.

Equipment purchased with award funds may be installed or otherwise incorporated into real property. Under a traditional interpretation of generally accepted accounting principles and property law, once property (equipment) is installed, incorporated or permanently attached to real property (land, structures, buildings), the asset loses its identity as property (equipment). As such, it is no longer reportable as an equipment item and records should be closed out as “consumed by real property asset XXX” or in accordance with your property management procedures. Examples of this type of property include the mechanical portions of HVAC systems and renewable energy generation equipment such as photovoltaic systems or wind turbines. Should the equipment be de-installed or detached from the real property asset for any reason (repair, transfer, relocation, or disposition), recipients/subrecipients shall again manage the removed equipment as personal property in accordance with its fair market value, until such time as it is re-installed or reincorporated into real property, or formally dispositioned.

3. If recipient/subrecipient has a residual inventory of unused supplies exceeding $5,000 in total aggregate fair market value and the supplies are not needed for any other federally-sponsored project or program, the recipient/subrecipient shall retain the supplies for use on non-Federally sponsored activities or sell them, but shall, in either case, compensate the Federal Government for its share.

The amount of compensation shall be computed in the same manner as for equipment. Fair market value means the best estimate of the gross sales proceeds if the property were to be sold in a public sale. The value of unused supplies shall be calculated on an individual recipient/subrecipient basis, not based on the entire award.

4. DOE has no interest in residual inventory of unused supplies acquired with award funds which are $5,000 or less in total aggregate fair market value.

If the recipient/subrecipient has acquired supplies that have not been consumed by the end of the project, and the total aggregate fair market value of the supplies is $5000 or less, DOE has no interest.

---

3 10 CFR 600.134(f)(3), 232(d)(2), 323(c)
4 10 CFR 600. 153(e),242(e), 342(e).
5 As defined in the regulations - 10 CFR 600.101, 202, 302.
in the supplies and title vests with any restriction in the recipient/subrecipient. The value of unused supplies shall be calculated on an individual recipient/subrecipient basis, not based on the entire award.

5. When the recipient/subrecipient elects to retain title without further obligation to the Federal Government, recipient/subrecipient must submit a disposition request to DOE and compensate the Federal Government for that percentage of the current fair market value of the real property or equipment that is attributable to the Federal participation in the project.⁶

When electing to retain title, recipients/subrecipients must compensate DOE for it’s portion of the fair market value of the equipment. Fair market value means the best estimate of the gross sales proceeds if the property were to be sold in a public sale. The recipient/subrecipient shall submit a disposition request to DOE, providing credible evidence of fair market value, as outlined in Item 7 below. The Contracting Officer may also accept credible evidence in the form of 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.

6. If the recipient/subrecipient has no further use for the equipment, recipient/subrecipient may elect to use the equipment on another federally sponsored project without requesting disposition instructions. For-Profit recipients/subrecipients may do so subject to approval of the DOE Contracting Officer and requirements of 10 CFR 600.321(e)(2).

IMPORTANT:

Title to equipment acquired with Federal funds with a fair market value of $5,000 or more must be retained by the recipient/subrecipient when using equipment on another federally sponsored project.

All types of entities may transfer the property to another project sponsored by DOE or project sponsored by another Federal agency.⁷ The recipient/subrecipient must continue to account for equipment used on another federally sponsored project (see 2.a. above). Order for preference of use must be satisfied.

7. If the recipient/subrecipient no longer needs the property in the project or program for which it was acquired or for other federally sponsored activities, recipient/subrecipient must request disposition instructions from DOE.

If recipient/subrecipient has no use for the property, chooses not to retain title and will compensate DOE for DOE’s share of the property, or cannot identify another federally sponsored project where the property may be utilized, the recipient/subrecipient must request disposition instructions.

⁶ 10 CFR 600. 134(g), 232(e)(2), 321(f)(iii).
⁷ 10 CFR 600.134(c), 232(c)(1), 321(e)(2)(i).
Weatherization Program Notice 13-04

The forms below shall be used when requesting disposition during the award, at closeout, or after the award has expired when property is no longer needed. An inventory of property is required when requesting disposition (see SF-428-S below) or if specifically requested (DOE reserves the right to request property records at any time). DOE does not expect Grantees to use the SF-428B form in any situation.

When requesting disposition, complete the Tangible Personal Property Report, Form SF-428 found at: https://www.energy.gov/eere/funding/downloads/tangible-personal-property-report


Also complete the Disposition Request/Report, Form SF-428-C (found with the previous form), check “Request Federal Agency Disposition Instructions” in Block b.(ii), and also check “Sale of acquired equipment” in Block 2.b., and attach the completed Supplemental Sheet, Form SF-428-S (also found with the previous form), and complete the remaining information required in Block 2 to calculate the amount to be remitted to the Federal Government.

8. Based on this guidance, it is expected that the final property report will be waived for the subject programs as specified in the award terms and conditions.

As a reminder, recipients/subrecipients are not required to provide an inventory of property acquired with award funds unless property is no longer needed, as indicated in Item 7 above, or if specifically requested (DOE reserves the right to request property records at any time).

If you have further questions regarding property disposition, please do not hesitate to contact the DOE Project Officer or DOE Grants Management Specialist identified in the Assistance Agreement for your award.

AnnaMaria Garcia
Program Manager
Office of Weatherization and Intergovernmental Program
Energy Efficiency and Renewable Energy
Instructions for Completing the Tangible Personal Property Report Forms

The DOE Tangible Personal Property Report Forms (SF-428, SF-428-C, and SF-428S), the Property Closeout Certification Spreadsheet, and all required documentation, (see below for list) must be completed and submitted electronically to DE when a subgrantee wants to dispose (sell) of any items purchased with DOE grant funds that, when purchased, cost $5,000 or more (per individual item) and the current fair market value of an item is $5,000 or more.

Please note that on the Tangible Personal Property Report forms that Missouri’s Weatherization Federal Grant Number is DE-EE0000195 for the regular DOE grant and EE0000151 for the ARRA grant. When completing SF-128, under item 6, check the, “Disposition Report/Request” field. When completing SF-428-C, under item 1.a., check the, “Request Federal Agency disposition instructions,” under item 1.b., check the, “Request Federal Agency disposition instructions,” and under item 2.b., check the, “Sale of acquired equipment” and then attach the completed SF428S form.

Also, separate Tangible Personal Property Report forms and a separate Property Closeout Certification spreadsheet should be completed if a subgrantee wants to dispose of items that were purchased under different grants (ex. ARRA and regular DOE).

Also, separate Tangible Personal Property Report forms and a separate Property Closeout Certification spreadsheet should be completed if a subgrantee wants to dispose of items that were purchased under different grants (ex. ARRA and regular DOE).

For ARRA purchased vehicles/equipment with fair market values of $5,000 that the subgrantee wants to retain in their regular DOE program or transfer to another federally funded program or if a subgrantee wants to transfer DOE purchased vehicles/equipment to another federally funded program, only the Property Closeout Certification spreadsheet and the documentation listed below will need to be submitted for DE review:

The following documentation must be attached to each vehicle/equipment retention, transfer, and disposal request:

1. Item description - (included on spreadsheet)
2. Manufacturer – (included on spreadsheet)
3. Model – (included on spreadsheet)
4. Serial number or VIN – (included on spreadsheet)
5. Original acquisition date – (included on spreadsheet)
6. Original acquisition cost – (included on spreadsheet)
7. Fund (grant) from which the item was originally purchased (included on spreadsheet)
8. Mileage (included on spreadsheet)
9. Disposal condition code per the Federal Management Regulation 102-36.240 (see table on back) - (included on spreadsheet)
10. Disposition code (see table on back) – (included on spreadsheet)
11. Back-up documentation for current fair market value (ex. attach print out of Kelley Blue Book value, (please print the VIN or serial number of the vehicle/equipment on the print out)
12. Photograph of the item, (please print the VIN number or serial number on the photograph)
<table>
<thead>
<tr>
<th>102-36.240 Disposal Condition Code</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>New. Property which is in new condition or unused condition and can be used immediately without modifications or repairs.</td>
</tr>
<tr>
<td>4</td>
<td>Usable. Property which shows some wear, but can be used without significant repair.</td>
</tr>
<tr>
<td>7</td>
<td>Repairable. Property which is unusable in its current condition but can be economically repaired.</td>
</tr>
<tr>
<td>X</td>
<td>Salvage. Property which has value in excess of its basic material content, but repair or rehabilitation is impractical and/or uneconomical.</td>
</tr>
<tr>
<td>S</td>
<td>Scrap. Property which has no value except for its basic material content.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Disposition Code</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>The property will continue to be used for the purposes authorized in the Award</td>
</tr>
<tr>
<td>2</td>
<td>The property is no longer needed for the purposes of the Award, and will be used on another Federally sponsored activity (List Activity and Federal Agency).</td>
</tr>
<tr>
<td>3</td>
<td>The Recipient wishes to retain the property and compensate DOE for its share of the current per unit fair market value. <em>(Identify the fair market value on the attached property inventory list and describe how the value was determined)</em></td>
</tr>
<tr>
<td>4</td>
<td>The property is no longer needed for the purposes of the Award or other Federally sponsored activities and the Recipient requests DOE disposition instructions.</td>
</tr>
</tbody>
</table>
## TANGIBLE PERSONAL PROPERTY REPORT
**SF- 428**

<table>
<thead>
<tr>
<th>1. Federal Agency and Organization Element to Which Report is Submitted</th>
<th>2. Federal Grant or Other Identifying Number Assigned by Federal Agency</th>
<th>3a. DUNS</th>
<th>3b. EIN</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>4. Recipient Organization (Name and complete address including zip code)</th>
<th>5. Recipient Account or Identifying Number</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>6. Attachment (Check applicable)</th>
<th>7. Supplemental Sheet</th>
</tr>
</thead>
<tbody>
<tr>
<td>___ Annual Report (SF-428-A)</td>
<td>___ Yes</td>
</tr>
<tr>
<td>___ Final (Award Closeout) Report (SF-428-B)</td>
<td>___ No</td>
</tr>
<tr>
<td>___ Disposition Report/Request (SF-428-C)</td>
<td></td>
</tr>
</tbody>
</table>

| 8. Comments | |
| --- | |

<table>
<thead>
<tr>
<th>9a. Typed or Printed Name and Title of Authorized Certifying Official</th>
<th>9c. Telephone (area code, number, extension)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>9b. Signature of authorized Certifying Official</th>
<th>9e. Date report submitted (Month, Day, Year)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| 10. Agency use only | |
| --- | |
Instructions for Tangible Personal Property Report: SF-428

The estimated annual public reporting burden for the collection of information on this form and its attachments is estimated to average 2.75 hours per respondent, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

This is a standard form to be used by awarding agencies to collect information related to tangible personal property (equipment and supplies) when required by a Federal financial assistance award. The form consists of the cover sheet (SF-428) and three attachments to be used as required: Annual Report, SF428-A; Final (Award Closeout) Report, SF-428-B; and a Disposition Request/Report, SF-428-C. A Supplemental Sheet, SF-428S, may be used to provide detailed individual item information.

A. General Instructions:

Tangible personal property means property of any kind, except real property, that has physical existence. It includes equipment and supplies. It does not include copyrights, patents or securities. For convenience, throughout this form and its attachments, the term property will be synonymous with tangible personal property. The terms equipment and supplies will be used when referring to specific requirements.

Property may be provided by the awarding agency or acquired by the recipient with award funds. Federally-owned property consists of items that were furnished by the Federal government.

Recipients of Federal assistance awards may be required to provide Federal awarding agencies with information concerning property in their custody annually, at award closeout or when the property is no longer needed. Specific requirements will vary based on award provisions, the type of property (equipment or supplies) and whether the property is Federally-owned. This reporting form and its attachments are intended to assist recipients to provide necessary information when it is required.

1. Federal Agency and Organizational Element to Which Report is Submitted. Enter the name of the Federal agency and the agency organization element identified in the award document or as otherwise instructed by the agency. The organizational element is a sub-agency within a Federal agency. For example, the Air Force Office of Scientific Research (AFOSR) is an organizational element within the Department of Defense.

2. Federal Grant or Other Identifying Number Assigned by Federal Agency. Enter the Federal grant, cooperative agreement or other Federal financial assistance award instrument number or other identifying number assigned to the Federal financial assistance award.

3a. DUNS. Enter the recipient organization’s Data Universal Numbering System (DUNS) number or Central Contract Registry extended DUNS number. The DUNS number is also referred to as the Universal Identifier.

3b. EIN. Enter the recipient organization’s Employer Identification Number (EIN) as assigned by the Internal Revenue Service.

4. Recipient Organization. Enter the name and complete address, including zip code, of the recipient organization.

5. Recipient Account or Identifying Number. Enter the account number or other identifying number assigned to the award by the recipient. This number is for the recipient’s use and is not required by the Federal agency.

6. Attachment. Check the applicable line to indicate the type of attachment being submitted. Use the Annual Report, SF-428-A, when required to provide annual inventory listings of Federally-owned property. Use the Final Report, SF-428-B, when required to provide property information in connection with the closeout of an award. Use the Disposition Request/Report, SF-428-C, when required to request disposition instructions for or to report the disposal of Federally-owned property or acquired equipment, at any time other than award closeout (i.e., during the award period or after award closeout as long as the Federal government retains an interest in the item).

7. Supplemental Sheet. Check the applicable block to indicate whether a Supplemental Sheet is attached. Recipients may use the SF-428S or equivalent document such as a computer print out to provide required detailed individual item information.

8. Comments. Provide any explanations or additional information in this block. Attach additional sheets if necessary.

9a. Typed or Printed Name and Title of Authorized Certifying Official. Enter the full name and title of the recipient representative authorized to sign this report.

b. Signature of Authorized Certifying Official. Original signature of the recipient’s authorized certifying official.

c. Telephone. Enter the telephone number of the individual listed in Line 9a.

d. Email address. Enter the email address of the individual listed in 9a.

e. Date report submitted. Enter the date the report is submitted to the Federal agency.

10. Agency use only. This section is reserved for Federal agency use only.
TANGIBLE PERSONAL PROPERTY REPORT
Disposition Request/Report SF-428- C

Federal Grant or Other Identifying Number Assigned by Federal Agency (Block 2 of SF-428)

1. Request Disposition Instructions for:

   a. Federally-owned Property
   (Select one or more and attach Supplemental Sheet SF-428S or recipient equivalent)
   (i) ___ Request Federal Agency disposition instructions
   (ii) ___ Other (Specify in Block 8 “Comments” or attach request)

   b. Acquired Equipment with current fair market value of $5,000 or more
   (Select one or more and attach Supplemental Sheet SF-428S or recipient equivalent)
   (i) ___ Request approval to trade-in or sell to offset costs of replacement equipment
   (ii) ___ Request Federal Agency disposition instructions

   Agency response to requested disposition of Federally owned property:
   (i) Recipient request approved___ denied ___.
   (ii) Dispose in accordance with attached instructions ___.

   Agency response to requested disposition of acquired equipment:
   (i) Recipient request approved___ denied ___.
   (ii) Dispose in accordance with attached instructions ___.

   Authorized Awarding Agency Official
   Signature: ________________________________ Date: ________________
   Name: ________________________________ Phone: ________________
   Title ________________________________ Email ________________________________

2. Report Disposition by Sale or Retention
   a. ___ Retention of acquired equipment for use on non Federally supported projects
   b. ___ Sale of acquired equipment
   (Attach Supplemental Sheet SF-428S or recipient equivalent and complete worksheet below)
   (i) Sale proceeds (or estimate of current fair market value) .................. $ ____________
   (ii) Percentage of Federal participation ........................................... _______%
   (iii) Federal share ................................................................. $ ____________
   (iv) Selling and handling allowance ................................................ $ ____________
   (v) Amount remitted to the Federal Government.......................... $ ____________

3. Report Loss, Destruction or Theft of Federally-owned Property
   ___ Loss, Destruction or Theft of Federally-owned property
   (Attach Supplemental Sheet SF-428S or recipient equivalent and describe the circumstances in Block 4)

4. Comments

DISPOSITION REQUEST/REPORT ATTACHMENT TO TPR

Agency use only

Attachment 5 - 3.3

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December 2019
Instructions for Disposition Request/Report: SF-428 Attachment C

A. General Instructions:

This Attachment is to be used by recipients when required to request disposition instructions or to report disposition of Federally-owned property or acquired equipment under Federal assistance awards at any time other than award closeout (i.e., during the award period or after closeout as long as the Federal government retains an interest in the item).

Recipients provided Federally-owned property for use under Federal assistance awards are required to request disposition instructions from the awarding agency when the Federally-owned property is no longer needed for the authorized purpose. Recipients may be required to request disposition instructions for equipment acquired with award funds (acquired equipment) when an item is no longer needed for use on Federally-sponsored activities. Recipients may also be required to provide compensation to the awarding agency when acquired equipment is sold or retained for use on activities not sponsored by the Federal government. This attachment is intended to assist recipients in providing appropriate information to the awarding agency. Note: If the Federal awarding agency has exercised statutory authority to vest title to acquired equipment in the recipient with no further obligation to the Federal government, you are not required to request disposition instructions or to report disposition (i.e., sale or retention for non Federal use) of those items of equipment.

Federal Grant or Other Identifying Number Assigned by Federal Agency. Enter the Federal grant, cooperative agreement or other Federal financial assistance award instrument number or other identifying number assigned to the Federal financial assistance award.

1. Request Disposition Instructions for: Use this section to request Federal awarding agency disposition instructions when required by the award provisions.
   a. Federally-owned Property. Consists of items that were furnished by the Government. Check applicable blocks to indicate the requested Federal awarding agency action for items that are no longer needed for use on the award specified in Block 2.
      (i) To request Federal agency disposition instructions
      (ii) To request a specific disposition, e.g., transfer to another award
   b. Acquired Equipment with a current fair market value of $5,000 or more. Note: Fair market value means the best estimate of the gross sales proceeds if the property were to be sold in a public sale. Check applicable blocks to indicate the requested Federal awarding agency action.
      (i) To request approval to trade-in or sell to offset costs of replacement equipment
      (ii) To request Federal agency disposition instructions for equipment acquired with award funds

2. Report Disposition by Sale or Retention. Use this section when required to compensate the Federal awarding agency for its interest in acquired equipment with a current fair market value of $5,000 or more that you have sold or retained for use on non Federally supported activities. Check applicable blocks to indicate the type of action being reported and complete the worksheet to calculate the amount of compensation due to the awarding agency for its interest in the equipment.
   a. Retention of acquired equipment for use on non-Federally supported projects.
   b. Sale of acquired equipment

   Worksheet
   (i) Enter the total amount received if the equipment has been sold. Enter an estimate of the current fair market value if the equipment will be retained for use on non Federally funded projects.
   (ii) Enter the percentage of Federal Government participation in the award under which the equipment was acquired.
   (iii) Enter the dollar amount of sales proceeds (or estimate of current fair market value) multiplied by the percentage of Federal Government participation listed in (ii).
   (iv) If the equipment was sold, enter the amount of selling and handling expenses. Enter zero if the equipment will be retained for use on non-Federally funded projects.
   (v) Enter the amount of the Federal share in (iii) less the selling and handling expense listed in (iv). Indicate in Block 8 how the funds are being returned to the government. For example, attached check made out to the Awarding Agency/U.S. Treasury or electronic remission.

3. Report Loss, Destruction or Theft of Federally-owned Property. Use this section to notify the awarding agency. Check block to indicate that Federally-owned property has been lost, damaged or stolen, list the item(s) on SF-428S or recipient equivalent and describe the circumstances in Block 4.

4. Comments. Provide any explanations or additional information in this block. Attach additional sheets if necessary.

Agency use only. This section is reserved for Federal agency use only.
Instructions for Tangible Personal Property Report: SF-428S

A. General Instructions

This is a standard form to be used by recipients to provide detailed individual item information in connection with required reports of tangible personal property under Federal assistance awards.

Federal Grant or Other Identifying Number Assigned by Federal Agency. Enter the Federal grant, cooperative agreement or other financial assistance award instrument number or other identifying number assigned to the Federal financial assistance award. If the Supplemental Sheet is submitted in connection with a Consolidated Annual Report Attachment, leave blank and enter individual award numbers in Column (a) for each item.

Report Type. Indicate the type of report Attachment for which the individual item information is being provided.

a. Award Number. For Consolidated Annual Report Attachments, enter the Federal grant, cooperative agreement or other Federal financial assistance award instrument number or other identifying number assigned to the Federal financial assistance award. For all other Report Attachments (i.e., Individual Annual, Final, and Disposition Request/Report) leave blank.

b. GP or ACQ. Enter GP if the item is Federally-owned property. Note: Federally-owned property consists of items furnished by the Federal Government for use on the award identified in Block 1 or Column a. Enter ACQ if the item was acquired with award funds.

c. Description of Item. Provide a brief description of the item.

d. Identification Number. Enter the manufacturer’s serial number, model number, Federal stock number, national stock number, or other identification number.

e. Acq. Date. Enter the date the item was acquired by the recipient. For items furnished by the Federal Government, enter the date received by the recipient.

f. Cond. Code. Enter the applicable condition code from the following list:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Excellent</td>
</tr>
<tr>
<td>4</td>
<td>Usable</td>
</tr>
<tr>
<td>7</td>
<td>Repairable</td>
</tr>
<tr>
<td>X</td>
<td>Salvage</td>
</tr>
<tr>
<td>S</td>
<td>Scrap</td>
</tr>
</tbody>
</table>

g. Acq. Cost. Enter the item acquisition cost.

h. Disp. Req. Indicate the type of disposition requested for each item by entering the corresponding number from Block 2 of the Final Report Attachment or Block 1 of the Disposition Request/Report Attachment. However, it is not necessary to enter this information when requesting the same disposition for all items of Federally-owned property or the same disposition for all items of Acquired Equipment (the disposition request indicated in the applicable Block(s) of the Final Report Attachment or the Disposition Request/Report Attachment will be sufficient). Not required for Annual Report Attachments.
## PROPERTY CLOSEOUT CERTIFICATION SPREADSHEET

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Manufacturer</th>
<th>Model</th>
<th>Serial Number or VIN</th>
<th>Original Acquisition Date</th>
<th>Original Acquisition Cost</th>
<th>Funds (DOE or ARRA)</th>
<th>Mileage</th>
<th>Disposal Condition Code (see below)</th>
<th>Disposition Code (see below)</th>
<th>Disposition Code is 3, identify the fair market value and document how the value was determined.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>1. New. Property which is in new condition or unused condition and can be used immediately without modifications or repairs.</td>
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<td></td>
<td></td>
<td></td>
<td>4. Usable. Property which shows some wear, but can be used without significant repair.</td>
<td></td>
<td></td>
</tr>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>7. Repairable. Property which is unusable in its current condition but can be economically repaired.</td>
<td></td>
<td></td>
</tr>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X. Salvage. Property which has value in excess of its basic material content, but repair or rehabilitation is impractical and/or uneconomical.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Scrap. Property which has no value except for its basic material content.</td>
<td></td>
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</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>1. The property will continue to be used for the purposes authorized in the award.</td>
<td></td>
<td></td>
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<td></td>
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<td></td>
<td>2. The property is no longer needed for the purposes of the Award, and will be used on another Federally sponsored activity (List Activity and Federal Agency).</td>
<td></td>
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<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>3. The Recipient wishes to retain the property and compensate DOE for its share of the current per unit fair market value. (Identify the fair market value and describe how the value was determined. Example: Attach print out of Kelley Blue Book value, mileage-if applicable, and a picture of the item.)</td>
<td></td>
<td></td>
</tr>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. The property is no longer needed for the purposes of the Award or other Federally sponsored activities and the Recipient requests DOE disposition instructions.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Subgrantees will have 90 days from the date of an approval letter from DE to dispose of equipment. DE will be contacted after the sale of the equipment with the amount of funds to be returned to the program and used to reduce support costs. This form will be used to serve the documentation needs of DE.

<table>
<thead>
<tr>
<th>Date of Sale</th>
<th>Vehicle/Equipment Disposed of (Type)</th>
<th>Original Purchase or Transfer Fund Source</th>
<th>ID # or VIN</th>
<th>Cash Receipt From Sale</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
Vehicle / Equipment / Building Purchase or Lease Request

Agency: ___________________  Signature: ___________________  Date: _______________

Description of Request: ____________________________________________________________

Is this item needed to: (check one) □ Program Expansion  □ Attrition
□ Other (explain) ________________________________________________________________

For what purpose will the item be used? ______________________________________________

Why do you need to purchase the item(s)? ____________________________________________

Do you currently own/lease similar item(s) that this purchase will replace?  □ Yes  □ No

**It the above is Yes, describe:**

<table>
<thead>
<tr>
<th>Item</th>
<th>Serial #</th>
<th>Purchase Price</th>
<th>Purchase Date</th>
<th>Fund Source</th>
<th>Present Value</th>
<th>Condition</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Are you herein requesting disposal approval for item(s) listed above?  □ Yes  □ No

Is the requested item budgeted? □ Yes  □ No

**It the above is Yes, describe:**

<table>
<thead>
<tr>
<th>Amount Budgeted</th>
<th>Program</th>
<th>Estimated Cost</th>
<th>Date Needed</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

Has the budget been approved? □ Yes  □ No  Budget In Review? □ Yes  □ No

Estimated cost of a purchase $ __________  Sales Tax $ __________  License/Regist. $ __________

Company/Dealership Lease □ Yes  □ No

Agency Lease □ Yes  □ No

Estimated Cost of a Lease $ __________  Monthly.

Length of Lease Agreement (indicate months or years) ________________________________

Is there an additional charge per mile? (Explain) ______________________________________

**Other Associated Costs of Lease:**

<table>
<thead>
<tr>
<th>Item</th>
<th>$ Amount</th>
<th>Cost Include in Lease Payment?</th>
</tr>
</thead>
<tbody>
<tr>
<td>License/Regist. Fee</td>
<td></td>
<td>□ Yes  □ No</td>
</tr>
<tr>
<td>Insurance</td>
<td></td>
<td>□ Yes  □ No</td>
</tr>
<tr>
<td>Maintenance</td>
<td></td>
<td>□ Yes  □ No</td>
</tr>
<tr>
<td>Sales Tax</td>
<td></td>
<td>□ Yes  □ No</td>
</tr>
<tr>
<td>Other:</td>
<td></td>
<td>□ Yes  □ No</td>
</tr>
<tr>
<td>Termination/Buy-out fee</td>
<td></td>
<td>□ Yes  □ No</td>
</tr>
</tbody>
</table>

Explain above fee: ________________________________________________________________

Attach copies of at least three informal bids of a lease and at least informal bids of a purchase. Please see Section 5, III. C. in the Weatherization Operational Manual for information concerning leasing.
<table>
<thead>
<tr>
<th><strong>INVITATION FOR BID</strong></th>
<th><strong>IFB NO.</strong></th>
<th><strong>DATE:</strong></th>
<th><strong>PAGE</strong></th>
<th><strong>of</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Return Bids to:</td>
<td>RFQ. No.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Sealed bids must be received in the Office of the Division of Purchasing no later than

_________ p.m. ____________ (date)

**Buyer:**

**Telephone:**

Received From:

**Terms:** _________ % ____________ Days

Delivery: Requested Delivery is ______ Days ARO, Bidders State Best Delivery Date is ____________

**BID MUST BE SIGNED TO BE VALID**

The bidder hereby agrees to furnish items and/or services, at the prices quoted, pursuant to all requirements and specifications contained in this document, upon either the receipt of an authorized Purchase Order from the Agency or when this document is countersigned by the Agency as a binding Contract. The Bidder further agrees that the language of this document shall govern in the event of a

Company: ___________________________ Date: ____________

Authorized Signature: ___________________________ Title: ___________________________

Phone Number: ___________________________ Federal ID or Social Security

NOTICE OF AWARD: (Agency Use Only) CONTRACT NO.: ___________________________

Accepted as to Items: ___________________________

Signature of Buyer ___________________________ Director of Purchasing ___________________________ Date ____________
<table>
<thead>
<tr>
<th>Item No.</th>
<th>Description</th>
<th>Estimated Quantity</th>
<th>Material Price</th>
<th>Labor Price</th>
<th>Total Price</th>
</tr>
</thead>
</table>

Company Name: 

Authorized Signature:
Sample Form

Form B – Bidder Qualification Review

(FOR AGENCY USE ONLY)

Supplier / Bidder: ________________________________________
Bid Opened by: __________________________________________ Date: _________________

____________________________________________________________________________

____________________________________________________________________________

1. Bidder has met deadline for written bid. ☐ ☐*
2. Original bid was submitted in sealed envelope with "SEALED Bid written on outside. ☐ ☐*
3. Bidder has completed all Bid Forms and Line Items in ink or typewritten. ☐ ☐*
4. Bid meets stated material specification standards. ☐ ☐*
5. Bidder has agreed to ______________ payment terms. ☐ ☐*
6. Bidder has guaranteed delivery of materials/service within _____ days of receipt of this letter. ☐ ☐*
7. Bidder has submitted all information necessary for data evaluation. ☐ ☐*
8. Bidder has signed the bid in ink. ☐ ☐*
9. Bidder has responded to all questions and information requested and completed all portions of the bid package. ☐ ☐
10. Capability of bidder to perform: (mark only one of the following)
    a. Bidder has successfully completed a contract with _________ in the past; or ☐ ☐
    b. Bidder has submitted the name(s) of other purchasers with whom they have supplied materials and performed satisfactorily; or ☐ ☐
    c. Bidder has posted a performance bond. ☐ ☐
11. Bidder has the capability to fulfill all terms and obligations in the bid. ☐ ☐

* Must be answered “Yes” to be eligible for data evaluation.

All questions must be answered “Yes” within five (5) working days of bid opening for bidder to be eligible to receive award.
**Form C – Clean & Tune and General Repairs**

**REQUEST FOR QUOTATION**

<table>
<thead>
<tr>
<th>Description</th>
<th>Item No.</th>
<th>Est. Qty</th>
<th>Unit Material Cost</th>
<th>Unit Labor Cost</th>
<th>Total Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clean and Tune, Gas Heating System Includes adding or replacing air filter(s), belt(s) and thermocouple if needed.</td>
<td>[ea] 1</td>
<td>____</td>
<td>____</td>
<td>____</td>
<td>____</td>
</tr>
<tr>
<td>Clean and Tune, Gas Space Heater Includes adding or replacing thermocouple if needed.</td>
<td>[ea] 2</td>
<td>____</td>
<td>____</td>
<td>____</td>
<td>____</td>
</tr>
<tr>
<td>Clean and Tune, Oil Heating System Includes adding or replacing air filter(s), belt(s), oil filter and nozzle if needed.</td>
<td>[ea] 3</td>
<td>____</td>
<td>____</td>
<td>____</td>
<td>____</td>
</tr>
<tr>
<td>Clean and Tune, Oil Space Heater Includes adding or replacing oil filter and nozzle if needed.</td>
<td>[ea] 4</td>
<td>____</td>
<td>____</td>
<td>____</td>
<td>____</td>
</tr>
<tr>
<td>General Repairs, Total of line items on Page 2 _______ and 3 _______</td>
<td>5</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>$______</td>
</tr>
</tbody>
</table>

**Total Quotation**

(Add lines 1, 2, 3, 4 & 5)

______ _______ _______ $______

**Instructions**

Upon receipt, the Respondent should submit a quotation in the manner as indicated below. The target date/time specified above is the time by which a quotation is needed. The requestor may assume that the Respondent is not submitting a quotation if a response is not received by the target date/time.

The Respondent hereby agrees to furnish items and/or services, at the prices quoted, pursuant to all requirements and specifications contained in this document, upon either the receipt of an authorized Purchase Order from the Agency or when this document is countersigned by the Agency as a binding Contract. The Respondent further agrees that the language of this document shall govern in the event of a conflict with His or Her quotation.

Company Name: ___________________________ Date: ____________

Authorized Signature: ___________________ Title: ______________

Phone No. ________________________________ Federal ID or Social Security No.: ______________

Notice of Award (Agency Use Only) Contract No.: ______

Accepted as to Items: __________________________

Signature of Buyer: __________________________ Date: ____________

Director of Purchasing: ______________________ Date: ____________
<table>
<thead>
<tr>
<th>Item No.</th>
<th>Description</th>
<th>Est. Qty</th>
<th>Unit Material Cost</th>
<th>Unit Labor Cost</th>
<th>Total Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Air filter kit, permanent, manufacturer approved, for mobile home gas furnace. Note: To be paid as a General Repair or when kit is required on mobile home clean &amp; tune.</td>
<td>[each]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Bearings/shaft in blower assembly</td>
<td>[each]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Blower motor, direct drive (when possible, P.S.C.)</td>
<td>[each]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Blower motor, belt drive (when possible, P.S.C.)</td>
<td>[each]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Combustion air</td>
<td>[each]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Damper (volume control) in supply run</td>
<td>[each]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Duct insulation (1 1/2&quot; fiberglass foil-faced)</td>
<td>[square foot]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Electronic ignition</td>
<td>[each]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Emergency disconnect switch</td>
<td>[each]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Fan/limit control</td>
<td>[each]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Gas stop</td>
<td>[each]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Gas valve</td>
<td>[each]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Heat duct (includes elbows and connectors)</td>
<td>[linear foot]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Pilot assembly, complete</td>
<td>[each]</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: Bid each line item for the quantity shown (each linear foot, square foot, etc.). Bid only in whole dollars and cents. You must bid all line items. All parts and materials must be new. All prices (except the service call) are bid with the assumption that you are already on site.

Company Name: Authorized Signature:
<table>
<thead>
<tr>
<th>Item No.</th>
<th>Description</th>
<th>Est. Qty</th>
<th>Unit Material Cost</th>
<th>Unit Labor Cost</th>
<th>Total Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>15</td>
<td>Service Call:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>a) Travel to and from plus one hour of work</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>b) Subsequent charge per hour</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>Sheet metal</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>Thermal vent damper and spill switch on gas-fired heating system</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>Thermal vent dampers with spill switch on gas-fired heating system and gas-fired domestic water heater</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>Thermocouple, <strong>Note:</strong> to be paid only when a service call is required.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>Thermostat, heat only</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>Thermostat, heat and cool</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>23</td>
<td>Transformer</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>24</td>
<td>Vent pipe, single wall (includes elbows and connectors)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>25</td>
<td>Vent pipe, double wall (Type B) (includes elbows and connectors)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Company Name:  

Authorized Signature:
Request For Quotation (RFQ) Guidance

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Part I: General Information

A. This quotation is for furnace clean, tune, and general repair work on gas heating systems (forced air furnaces, wall and floor units, and boilers). Quoted prices must be based on COMPLETE service, including labor, parts and materials. Approximately _______ residential houses and mobile homes will be serviced before July ____________ in the counties of ________________________

B. The Agency will perform diagnostic tests on the furnace and prepare a work order indicating the work to be performed. Winning Contractors shall clean, inspect and tune the combustion area, flue and air handling systems for increased efficiency and provide general repairs as indicated by the Agency auditor on the work order. (See Attachments A, B, & C). If the Agency auditor notices any components or functions which are questionable, they will be noted on the work order. If additional work is needed, but not specified on the work order, the Contractor must receive Agency approval before proceeding. No additional work will be paid for without prior authorization from the Agency.

C. Contractors shall have ______ days from date of work order issuance in which to complete each job. Should, upon quality control inspection, the Agency find improperly completed work, the Contractor must correct the deficiencies within __________ working days (____ working day(s) during severely cold weather). Credit for completed work shall be provided when all scheduled work (including rework) for the individual job has passed quality control inspection by the Agency. Payment for completed work shall be provided on a monthly basis. Contractors are responsible for returning completed work orders to the Agency and notifying the Agency when jobs are completed.

D. The Request For Quotation (RFQ) must be fully completed in order to receive consideration.

E. The Agency reserves the right to accept and reject any RFQ and to disqualify any Respondent. The Agency reserves the right to terminate the RFQ process and to re-submit RFQs as necessary prior to final contractual award.

F. The Agency shall evaluate each quotation and award contracts in the following manner:
   1. The LOWEST PRICED RESPONDENT per award area shall be notified of initial review.
2. The Respondent shall then have FIVE WORKING DAYS to meet one of the following criteria:
   a. The Respondent has successfully completed a contract with the Agency in the past; Or
   b. The Respondent has submitted name(s) of other purchasers with whom they have provided service and performed satisfactorily; Or
   c. The Respondent has posted a Performance Bond. (The performance bond may be in the form of any type of monetary guaranteed surety such as a bond, Cashier's Check or Treasurer's Check.) The bond amount will be ___% of the contract amount.

3. The Respondent shall then have FIVE WORKING DAYS to submit to the Agency, the necessary liability insurance documentation and proof of OSHA training. (Should the Respondent wish, this documentation may be submitted with the written RFQ.)

4. Upon submission of the required documentation as indicated above, the Agency shall enter into a contract with the winning Contractor. When this document is countersigned by the Agency, this document becomes a contract.

5. Should the Respondent fail to submit the required liability insurance documentation, the Respondent shall be disqualified.

6. In the event that this is a TELEPHONE QUOTATION, the Respondent shall have FIVE WORKING DAYS from notification to submit the necessary liability insurance documentation AND to sign the RFQ which was filled out by the Agency during the telephone solicitation.

G. The Missouri Weatherization Program is funded ____% by federal funds. The total amount of weatherization program funds subgranted to ______________________ during the current program year is $______________.
Part II: Instructions to Respondents

NOTE: It is very important to follow these instructions carefully!

H. The Respondent must complete all costs and sign all three pricing pages in handwritten or typewritten indelible ink for each county in which the Respondent is interested.

I. This RFQ must be submitted in a clearly marked, sealed envelope.

J. Modifications to this quotation by the Respondent are not allowed.

K. All prices must be stated as firm fixed prices. Discounts are not allowed.

L. Provide Unit Material Cost and Unit Labor Cost in the appropriate columns on the Pricing Pages. The sum of the Unit Material Cost and Unit Labor Cost should be multiplied by Estimated Quantity to obtain the Total for each Item.

M. A pre-quotation conference will be held:

_____________________________________________________________________
_____________________________________________________________________

N. The deadline for RFQ submission is _________________ at ___________ am/pm
   at (location): _______________________________________________________________________
   _______________________________________________________________________
   _______________________________________________________________________

O. The winning Respondents shall have 5 working days from the date of final award announcement to submit to the Agency:

1. A copy of a current business permit or occupational license (where applicable).

2. Verification that the respondent is registered and maintains good standing with the Secretary of State of the State of Missouri and other regulatory agencies, as may be required by law or regulations.

3. Certificates of general liability insurance.

4. Certificates of Workmen's Compensation insurance (when needed).

5. Proof of OSHA training its employees have received during the most recent 12 months or planned training for the upcoming 12 months.

7. Proof of Certified Renovator and Lead Safe Work (LSW) training documentation, if any LSW is to be performed.

8. The Respondent must meet one of the following criteria:
   a. The Respondent has successfully completed a contract with the Agency in the past; OR
   b. The Respondent has submitted name(s) of other purchasers with whom they have provided service and performed satisfactorily; OR
   c. The Respondent has posted a Performance Bond. (The performance bond may be in the form of any type of monetary guaranteed surety such as a bond, Cashier's Check or Treasurer's Check.) The bond amount will be % of the contract amount.
Part III – Technical Specifications

All work must be performed to manufacturer's design specifications, industry standards and accepted practices.

Materials must meet or exceed the specifications cited or subsequent approved standards which supersede these specifications.

**Thermostat Control System**

Line Voltage or Low Voltage Room Thermostats: NEMA DC 3-2003 (or the latest version)

Thermostat setting numbers must be legible. Thermostat must have thermometer.

(Thermometer is not mandatory to mobile home units: Mercury-bulb type thermostat is not applicable to mobile home units.)

Hydronic Boiler Control: Commercially available.

**Water Heater Modifications**

Install Vent Damper, Gas Fueled: Conformance to ANSI Z21.67, including Addenda A and B 1985, and NFPA 54-2012 (or the latest version).

**Boiler Repair and Modifications/Efficiency Improvements**

Readjust Boiler Water Temperature or Install Automatic Boiler Temperature Reset Control: Conformance to ANSI/ASME CSD-I-2006, and NFPA 31-2011 (or the latest version).

Install/Replace Thermostatic Radiator Valves: Commercially available. One-pipe steam systems require steam air vents on each radiator, see manufacturer's requirements.

Clean Heat Exchanger, Adjust Burner Air Shutter(s). Check Operation of Pump(s) per manufacturer's requirements.

Install Boiler Duty Cycle Control System: Commercially available.

National Electrical Code and local electrical codes provisions for wiring.


Replace Combustion Chamber in Oil Boiler: Conformance to NFPA 31-2011 (or the latest version).

**Heating System Repairs and Tune-ups/Efficiency Improvements**

Duct Insulation: Conform to ASTM C1290 - 06e1 Standard Specification for Flexible Fibrous Glass Blanket Insulation Used to Externally Insulate HVAC Ducts and with attention paid to manufacturers’ recommendations (or the latest version).
Clean Heat Exchanger and Adjust Burner: Adjust air shutter and check CO₂ and stack temperature; clean or replace air filter on forced air furnace. Conform to ANSI Z223.1- 2012 (NFPA 54-2012), National Fuel Gas Code (or the latest version).


Readjust fan switch on forced air gas or oil fueled furnaces: Conform to applicable sections and Appendix H of (NFPA 54-2012) for Gas Furnaces and NFPA 31-2011 for Oil furnaces (or the latest version).

Replace Air Diffusers, Intakes. Registers and Grilles: Commercially available.

Install/Replace: Warm Air Heating Metal Ducts: Commercially available.

Install combustion air in accordance with NFPA 54-2012 (or the latest version). Repair/Replace Oi1-Fired Equipment: Conformance to NFPA 31-2011 (or the latest version).

Replace Combustion Chamber in Oil-Fired Furnace: Conform to NFPA 31-2011 (or the latest version).

Check Smoke Number on Oi1-Fueled Equipment.

Replacement of Oil Nozzle and Filter: Per manufacturer’s instructions.

Adjust Barometric Draft Regulator for Fuel Oil: NFPA 31-2011 and per manufacturers’ (furnace or burner) instructions (or the latest version).
Part IV – Specific Requirements

P. The Contractor shall maintain Comprehensive General Liability Insurance at a minimum of $300,000 Combined Single Limit for Bodily Injury and Property Damage, per occurrence and aggregate. There shall be no deductible clause on any policy of the insurance provided. This Comprehensive General Liability coverage must include: premises and operations, broad form property damage, products/completed operation, contractual insurance, independent contractors, and personal injury.

The Contractor shall maintain Workmen’s Compensation Coverage as required by law.

Certification of coverage must be provided to the Agency prior to the commencement of any work under this contract. Certification shall include documentation that the coverage shall remain in force for the duration of this contract.

Q. The Contractor shall indemnify and hold harmless the Client, Agency and State, including employees and officers, from any and all actions claims, losses and liabilities which may be made against the Agency or State as a result, directly or indirectly, of the performance of this contract. The Agency shall assist the Contractor as may reasonably be necessary. Insurance coverage as specified herein shall be provided in support of these indemnification requirements but shall not release the Contractor from these responsibilities.

R. The Contractor shall comply with the National Fuel Gas Code for all work and materials performed on gas systems and, where applicable, all local/city codes, regulations and standards. The quality control inspection report of the Agency shall not be deemed to be a warranty or representation that all such regulations and standards have been complied with by the contractor.

S. The Contractor shall notify the Agency of any unsafe or dangerous conditions concerning the heating system being serviced. The existence of these conditions or problems may have been undetectable or overlooked by the Agency auditor.

T. The Contractor shall furnish items and services at the prices quoted herein, in accordance with the specifications and the terms and conditions listed on each work order, this document, and mutually approved amendments. The Contractor guarantees the stated prices through June 30.

U. The Contractor agrees to notify the Agency in writing immediately of changes in his availability or ability to successfully complete the work specified herein. The Contractor shall be held fully accountable for all work prior to notification of the Agency.
V. The following services shall be completed by the Contractor:

1. Complete all work designated on the work order, in accordance with the Technical Specifications and other applicable sections of this document;

2. Provide the service within days from the date of issuance of the work order by the Agency;

3. Complete the Work Order by marking all applicable areas, and sign and date it. Request quality control inspection of work by returning the completed work order and invoice within 5 calendar days of the completion of the work. This notification shall identify: (1) the client, (2) client's address, (3) job number, (4) all work which was performed, (5) all work which was identified by the Agency but not performed and reasons why it was not, (6) labor costs and (7) material costs.

4. Prior to receiving final work approval by the Agency provide re-work service, when needed, (within a day in extremely cold weather) from the date of issuance of the rework order by the Agency at no additional cost.

5. Keep the work areas as clean and safe as possible with minimal disturbance to the client, and broom clean all work areas upon completion of the work.

6. Request a change order for the job when the work cannot be performed as indicated, when the client refuses the work, or the service called for does not match the actual job site

W. The Contractor warrants that all materials installed in performance of this contract shall be free of defect in materials and workmanship for a period of 12 months from date of installation (in order to cover one complete heating season). Should any material prove defective within 12 months, the Contractor agrees to replace the defective materials with new, non-defective materials at no cost to the Agency or the client within ______ working days of notification (within ____ working day(s) in extremely cold weather)

X. The Agency reserves the right to accept and reject any RFQ and to disqualify any Respondent.

Y. The Agency reserves the right to terminate the RFQ process without recourse by the Respondent and to re-submit RFQs as necessary prior to the final contractual award.

Z. The RFQ may be invalidated by the Agency and/or the State of Missouri Department of Natural Resources' Division of Energy.

AA. In the event of a sole source response, the Agency reserves the right to negotiate prices with the Respondent.
Part V – Contractual Requirements

BB. The contractor assures compliance with Executive Order 11246 “Equal Employment Opportunity,” as amended by Executive Order 11375 and supplemented by Department of Labor regulations (41 CFR, Part 60).

CC. The Contractor assures compliance with Copeland “Anti-Kickback” Act (18 USC 87) and 29 CFR, Part 3

DD. No interest shall be paid from DE funds for any reason.

EE. The contract shall be construed according to the laws of the State of Missouri.

FF. No official or employee of the Agency, or official or employee of the Contractor or its governing body, or any public official of the State of Missouri who exercises any functions or responsibilities in the review or approval of the undertaking or in the fulfillment of the obligations of the terms and conditions of contract shall, prior to the completion of the term of contract, voluntarily acquire any personal interest, direct or indirect, in the contract, proposed contractor or contract subject.

GG. The Contractor covenants that he has no interest and shall not acquire any interest, direct or indirect, which could conflict in any manner or degree with the performance of the specified services. The Contractor further covenants that in the performance of this contract, no person having any such known interest shall be employed.

HH. The Contractor agrees that the Agency and/or clients of the Agency shall not be liable for the debts of the Contractor or any other firm or organization affiliated with the Contractor in the fulfillment of the terms of this contract.

II. All price or item modifications must have prior approval by the Agency. This contract shall be amended only in writing. The amendment shall become binding when signed and dated by both parties.

JJ. It is the Contractor’s responsibility to fulfill all obligations under this contract. The Contractor shall subcontract for labor and or materials only with the advanced expressed written consent of the Agency and DE. Approval to subcontract shall in no way release the Contractor of his/her responsibility to fulfill his/her obligations under this contract.

KK. The Contractor shall not assign any interest in the contract and shall not transfer any interest, whatsoever in the same (whether by assignment or novation/substitution), without the written consent of the Agency.
LL. The activities of the Contractor's staff and associates shall be fully coordinated with the activities of the Agency. As the work of the Contractor's staff and associates progresses, advice on matters of immediate concern to the Agency and related to the specific scope of work covered by the contract, shall be made available to the Agency during the period of the contract.

MM. The Contractor acknowledges that funds expended for the purpose of the contract are appropriated by State and/or Federal sources and, therefore, the contract shall automatically terminate without penalty or termination costs if such funds are not appropriated. In the event that funds are not appropriated for the contract, the Contractor shall not prohibit or otherwise limit the Agency’s right to pursue and contract for alternate solutions and remedies as deemed necessary by the State and/or Federal Agency for the conduct of its affairs. The requirements stated in this paragraph shall apply to any amendment or the execution of any option to extend the life of the contract.

NN. The Department of Natural Resources' Division of Energy’s Weatherization Program is not a party to this RFQ or contract and shall be held harmless in any dispute arising from this RFQ or contract.

OO. The Contractor agrees that all work shall be performed in strict compliance with all applicable laws, ordinances, OSHA guidelines, rules and regulations of Federal, State, County or Municipal governments or agencies, now in force or that may be enact hereafter. The quality control inspection report of the Agency shall not be deemed to be a warranty or representation that all such laws, ordinances, rules and regulations have been complied with the Contractor.

PP. In the event that the Contractor fails to perform satisfactorily, this contract shall be terminated.

QQ. Under no circumstances will any lien ever be placed on any client home.

RR. The Contractor shall retain records relating to this contract for five years after final payment is made under the contract. If an audit, litigation, or other action involving the records is started before the end of the five-year period, the records must be retained until all issues arising out of the action are resolved, or until the end of the five-year period, whichever is later. The Department of Energy, Comptroller General of the United States, the Missouri Department of Natural Resources' Division of Energy and the Agency or any of their authorized representatives shall have access to a contractor’s records.
SS. The Contractor agrees that all work performed with funding administered by the Department of Natural Resources' Division of Energy’s Weatherization Assistance Program must meet the objectives and specifications outlined in the Standard Work Specifications for Home Energy Upgrades and the Missouri Weatherization Program Technical Manual. These specifications can be found at: https://sws.nrel.gov/ and at: https://energy.mo.gov/assistance-programs/liwap/facts#wxtechnicaldocuments. All work will be inspected and validated by a certified Quality Control Inspector before being submitted for reimbursement.
Form A

Work Order and Procedure for Gas Furnace Clean & Tune

Home Owner Name: ________________________________
Address: _______________________________________
City, St, Zip: _____________________________________
Phone No.: _____________________________________
Job No.: _______________________________________
Date Work Order Sent: ____________________________

Auditor/Owner No.:
Name: ___________________________
Phone: _________________________
City, State, Zip: ________________

is hereby authorized to complete a Clean & Tune as prescribed below.
Submit completed work order and invoice by ___________________________ to receive payment.

I. CLEAN

A. Combustion Area

1. Brush down all dirt, soot, and rust from heat exchanger sections.
2. Brush down and vacuum all flue passageways within the furnace.
3. Remove burner assembly and brush down to remove dirt, soot, loose rust, and clean all flame ports. Inspect for defects.
4. Clean gas orifices and assure proper size.
5. Brush down and vacuum remainder of combustion chamber so that it is free of dirt, soot, and loose rust.
6. Clean pilot orifices and test thermocouple; replace thermocouple if necessary.

B. Flue

7. Inspect flue pipe from furnace to chimney for rust, weak spots, and leaks.
8. Clean and vacuum flue pipe and reinstall in a secure manner. (Seal around flue/chimney connection if necessary.)

C. Air Handling/Distribution

9. Clean and vacuum heat exchanger if accessible.
10. Remove blower assembly to clean and remove any dirt, grease, and foreign matter. Clean and vacuum return air cabinet.
11. Clean and vacuum all supply/return registers and immediate duct openings.
12. Inspect air filter(s) and replace if necessary. (SIZE: _____ x _____ x _____ )
   If permanent type, clean as per manufacturer’s recommendation.
13. Clean air conditioning coil, where applicable.

II. TUNE

A. Combustion

14. Adjust gas input pressure to 3.5” W.C. (natural gas) or 10.5” W.C. (liquefied petroleum gas) in the manifold and then clock meter (if possible) to assure the input is within 10% of rate input. NOTE: If gas pressure is correct and clocked input is more than 10% lower than rated input, check orifices for proper size. If furnace is over firing and gas pressure is correct then change to lower orifice size.

15. Adjust primary air shutter to obtain highest CO2 and O2 in the flue (before diverter) without making CO while still maintaining a steady blue flame with slight yellow tips. There must not be any lifting or floating flames.
16. Adjust pilot flame just high enough to activate the thermocouple & ignite burner without delay.

17. On furnaces with electronic pilot ignition, pilot should ignite without delay. When pilot is proven, burner should ignite without delay.

18. Test igniter to assure that it will lock out after 1st or 2nd attempt to ignite pilot.

19. Measure amperage of gas valve and any other low voltage equipment on the control circuit and set thermostat heat anticipator to match.

20. Level thermostat, and, if necessary, calibrate thermostat and thermostat thermometer to within 1 degree at 72 degree setting.

B. Air Handling/Distribution

21. Check blower and motor bearings, lubricate as needed.

22. Check belt condition and adjust for proper tension; replace if worn or cracked.

23. If stack temperature is above 450 degrees, increase blower speed to deliver more heat and lower stack temperature. Stack temperature should not be lower than 350 degrees. If so, decrease blower speed or adjust blowers to obtain greater temperature rise at the supply plenum. NOTE: This may not work on all furnaces.

24. Set fan switch (if possible) so that blower comes on at 110 degrees and goes off at 100 degrees. Set limit no higher than 200 degrees if limit is adjustable.

25. Balance supply distribution for homeowner’s comfort, where applicable.

Comments:

__________________________________________________________

__________________________________________________________

__________________________________________________________

**Contractor Certification**

<table>
<thead>
<tr>
<th>Final Stack Temperature</th>
<th>Draft</th>
<th>CO</th>
<th>Ppm</th>
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</thead>
<tbody>
<tr>
<td></td>
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</table>

Clock Input | Seconds | Btu/hour | Temperature Rise

Anticipator Setting | Measured Amperage

I certify that the work specified above has been completed and that all requirements have been met.

Signature of Contractor

Date

**Auditor Certification**

<table>
<thead>
<tr>
<th>Final Stack Temperature</th>
<th>Draft</th>
<th>CO</th>
<th>Ppm</th>
<th>O₂</th>
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<tbody>
<tr>
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</table>

Temperature Rise | Call Back Required | Yes | No

I certify that the work specified above has been completed by the contractor.

Signature of Auditor/Inspector

Date
# Work Order and Procedure for Boiler Clean & Tune

**Home Owner Name:** ____________________________  
**Agency Name:** ____________________________  
**Address:** ____________________________  
**Address:** ____________________________  
**City, St, Zip:** ____________________________  
**City, St, Zip:** ____________________________  
**Phone No.:** ____________________________  
**Phone No.:** ____________________________  
**Job No.:** ____________________________  
**Date Work Order Sent:** ____________________________  
**Auditor/QCI Name:** ____________________________

__________________________________________ is hereby authorized to complete a Clean & Tune as prescribed below.

Submit completed work order and invoice by ____________________________ to receive payment.

<table>
<thead>
<tr>
<th>Auditor</th>
<th>Contractor</th>
<th>N/A</th>
</tr>
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<tbody>
<tr>
<td></td>
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</tbody>
</table>

## I. CLEAN

### A. Combustion Area

1. Brush down all dirt, soot, and rust from heat exchanger sections.
2. Brush down and vacuum all flue passageways within the boiler.
3. Remove burner assembly and brush down to remove dirt, soot, loose rust, and clean all flame ports. Inspect for cracks in tubes.
4. Clean gas orifices and assure proper size.
5. Brush down and vacuum remainder of combustion chamber so that it is free of dirt, soot, and loose rust.
6. Clean pilot orifices and test thermocouple; replace thermocouple if necessary.

### B. Flue

7. Inspect flue pipe from furnace to chimney for rust, weak spots, and leaks.
8. Clean and vacuum flue pipe and reinstall in a secure manner. (Seal around flue/chimney connection if necessary.)

### C. Distribution

9. Inspect and purge relief valve.
10. Inspect circulator pump for safe and effective operation, paying close attention to couplings and motor conditions.
11. Purge expansion tank and radiators as needed.
12. Check condition of water. If it is rusty or has high level of sludge, then drain, flush, and refill the system.
13. Check operation of radiator valves.

<table>
<thead>
<tr>
<th>Auditor</th>
<th>Contractor</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## II. TUNE

### A. Combustion

14. Adjust gas input pressure to 3.5” W.C. (natural gas) or 10.5” W.C. (liquefied petroleum gas) in the manifold and then clock meter (if possible) to assure the input is within 10% of rate input. NOTE: If gas pressure is correct and clocked input is more than 10% lower than rated input, check orifices for proper size. If furnace is over firing and gas pressure is correct then change to lower orifice size.
15. Adjust primary air shutter to obtain highest CO2 and O2 in the flue (before diverter) without making CO while still maintaining a steady blue flame with slight yellow tips. There must not be any lifting or floating flames.

<table>
<thead>
<tr>
<th>Auditor</th>
<th>Contractor</th>
<th>N/A</th>
</tr>
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<tbody>
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</tbody>
</table>
16. Adjust pilot flame just high enough to activate the thermocouple & ignite burner without delay.

17. On boilers with electronic pilot ignition, pilot should ignite without delay. When pilot is proven, burner should ignite without delay.

18. Test igniter to assure that it will lock out after 1st or 2nd attempt to ignite pilot.

19. Measure amperage of gas valve and any other low voltage equipment on the control circuit and set thermostat heat anticipator to match.

20. Level thermostat, and, if necessary, calibrate thermostat and thermostat thermometer to within 1 degree at 72 degree setting.

B. Air Handling/Distribution

21. Bleed all radiators to ensure no air is in the system (hot water system).

22. Lubricate circulator pump as needed.

23. Check operation of zone control valves if any. Lubricate as needed.

24. Check each radiator for output.

25. Balance supply distribution for homeowner’s comfort, where applicable.

Comments:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Contractor Certification

Final Stack Temperature

Draft

CO Ppm

Clock Input

Seconds

Btu/hour

Temperature Rise

Anticipator Setting

Measured Amperage

I certify that the work specified above has been completed and that all requirements have been met.

Signature of Contractor

Date

Auditor Certification

Final Stack Temperature

Draft

CO Ppm

O2

Temperature Rise

Call Back Required

Yes

No

I certify that the work specified above has been completed by the contractor.

Signature of Auditor/Inspector

Date
Work Order and Procedure for Oil Furnace Clean & Tune

<table>
<thead>
<tr>
<th>Auditor</th>
<th>Contractor</th>
<th>N/A</th>
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<tbody>
<tr>
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</tbody>
</table>

Home Owner Name: ___________________________   Agency Name: ___________________________
Address: ___________________________________   Address: ___________________________________
City, St, Zip: _______________________________   City, St, Zip: _______________________________
Phone No.: _________________________________   Phone No.: _________________________________
Job No.: ___________________________________   Date Work Order Sent: _______________________
Auditor/QCI Name: ___________________________

_________________________________________ is hereby authorized to complete a Clean & Tune as prescribed below.
Submit completed work order and invoice by ____________________________ to receive payment.

I. CLEAN
   A. Combustion Area
   1. Brush down all dirt, soot, and rust from heat exchanger sections.
   2. Brush down and vacuum all flue passageways within the furnace.
   3. Remove burner assembly; clean and align ignition electrodes.
   4. Clean blast tube and flame head.
   5. Replace nozzle with same size or lower size if derating is possible or desirable.
   6. Brush down and vacuum remainder of combustion chamber so that it is free of dirt, soot, and loose rust.
   7. Replace oil line filter cartridge.

   B. Flue
   8. Inspect flue pipe from furnace to chimney for rust, weak spots, and leaks.
   9. Clean and vacuum flue pipe and reinstall in a secure manner. (Seal around flue/chimney connection if necessary.
   10. Clean and check barometric damper for proper operation.

   C. Air Handling/Distribution
   11. Clean and vacuum heat exchanger if accessible.
   12. Remove blower assembly to clean and remove any dirt, grease, and foreign matter. Clean and vacuum return air cabinet.
   13. Clean and vacuum all supply/return registers and immediate duct openings.
   14. Inspect air filter(s) and replace if necessary. (SIZE: _____x_____x_____)
   If permanent type, clean as per manufacturer’s recommendation.
   15. Clean air conditioning coil, where applicable.

II. TUNE
   A. Combustion
   16. Seal all joints, cracks and openings that would allow air to infiltrate into the combustion area of the furnace.
   17. Adjust barometric damper so that a reading of .02-.04” W.C. at the breech is obtained.
   18. Adjust primary air shutter to obtain highest CO2 in the flue (before barometric damper) with a smoke of 0 to 2 while still maintaining a steady flame. (0.1 on flame retention burners.)
19. Measure amperage of primary control and set thermostat heat anticipator to match.

20. Level thermostat, if necessary, calibrate thermostat and thermostat thermometer to within 1 degree at 72 degree setting.

**B. Air Handling/Distribution**

21. Check blower and motor bearings, lubricate as needed.

22. Check belt condition and adjust for proper tension; replace if worn or cracked.

23. If stack temperature is above 550 degrees, increase blower speed to deliver more heat and lower stack temperature. Stack temperature should **not** be lower than 250 degrees. If so, decrease blower speed or adjust blower to obtain greatest temperature rise at the supply plenum. **NOTE:** This may not work on all furnaces.

24. Set fan switch (if possible) so that blower comes on at 120 degrees and goes off at 100 degrees. Set limit no higher than 200 degrees if limit is adjustable.

25. Test fan and limit control for proper operation.

26. Balance supply distribution for homeowner’s comfort, where applicable.

**Comments:**

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

**Contractor Certification**

Final Stack Temperature _______ Draft _______ CO _______ Ppm _______ Smoke No. _______

*I certify that the work specified above has been completed and that all requirements have been met.*

________________________________________________________________________

Signature of Contractor

Date

**Auditor Certification**

Final Stack Temperature _______ Draft _______ CO _______ Ppm _______ O2 _______

Smoke No. _______ 

Call Back Required? Yes No □ □

*I certify that the work specified above has been completed by the contractor.*

________________________________________________________________________

Signature of Auditor/Inspector

Date
Furnace or Space Heater Replacements

REQUEST FOR QUOTATION

<table>
<thead>
<tr>
<th>Requester:</th>
<th>Date:</th>
<th>Time:</th>
<th>RFQ No.</th>
<th>Target Date</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

<table>
<thead>
<tr>
<th>Received From:</th>
<th>Telephone No.</th>
<th>Delivery To (F.O.B. Destination -- Client Home)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

**Instructions**

Upon receipt, the Respondent should submit a quotation in the manner as indicated below. The target date/time specified above is the time by which a quotation is needed. The requestor may assume that the Respondent is not submitting a quotation if a response is not received by the target date/time.

- **Telephone Quotation Requested**
- **Return Mail Quotation**

<table>
<thead>
<tr>
<th>Description</th>
<th>Est.</th>
<th>Material Cost</th>
<th>Labor Cost</th>
<th>Total Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Replacement Furnace / Vented Space Heater (Circle One)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Brand:</td>
<td>Model #</td>
<td>Rated Btu Output:</td>
<td>Kbtu</td>
<td>AFUE %</td>
</tr>
<tr>
<td>Include: (Agency to list other items associated with replacement)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Quotation</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Existing Furnace / Vented Space Heater (circle one)**

<table>
<thead>
<tr>
<th>Brand:</th>
<th>Model #</th>
<th>Rated Btu Output:</th>
<th>Kbtu</th>
<th>AFUE %</th>
</tr>
</thead>
</table>

**Note:**

This RFQ can be used for either a furnace or space heater replacement. However, an existing furnace should be replaced with a furnace and a space heater should be replaced with a space heater unless otherwise approved.

The Respondent hereby agrees to furnish items and/or services, at the prices quoted, pursuant to all requirements and specifications contained in this document, upon either the receipt of an authorized Purchase Order from the Agency or when this document is countersigned by the Agency as a binding Contract. The Respondent further agrees that the language of this document shall govern in the event of a conflict with His or Her quotation.

<table>
<thead>
<tr>
<th>Company Name:</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorized Signature:</td>
<td>Title:</td>
</tr>
<tr>
<td>Phone No.:</td>
<td>Federal ID or Social Security No.:</td>
</tr>
</tbody>
</table>

**Notice of Award (Agency Use Only)**

| Signature of Buyer: | Date: |
| Director of Purchasing: | Date: |

Attachment 5 - 10  221 December 2019
Request For Quotation (RFQ) Guidance
(Furnace or Space Heater)

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Part I: General Information

This quotation is for furnace/space heater replacement work. Quoted prices must be based on COMPLETE installation of the furnace/space heater and necessary components. All work must be performed to engineering standards.

The Contractor shall:

1. Obtain and install new material needed to complete the designated furnace/space heater replacement, in compliance with the Technical Specifications section.

2. Complete this service within _____ days from the date of issuance of the work order by the Agency.

3. Request quality control inspection of work by returning the completed work order and invoice within _____ calendar days of completion of the work; should, upon quality control inspection, the Agency find improperly completed work, the Contractor must correct the deficiencies within _____ working days (_____ day(s) during severely cold weather) from the date of issuance of the rework order.

4. Keep the work area as clean and safe as possible with minimum disturbance to the client, and sweep the area upon completion of the work (includes removal of all debris, parts and unit unless otherwise specified by the Agency).

5. Inform the Agency when the work cannot be performed as indicated, when the homeowner refuses the work, or the service called for does not match the actual job site.

Credit for completed work shall be provided when all work (including rework) for the job has passed quality control inspection by the Agency. Payment for completed work, passing Agency inspection, shall be provided within _____ days.

Only the work specified by the Agency shall be performed by the Contractor. If additional work is needed, the Contractor must receive Agency approval before proceeding. No additional work will be paid for without prior authorization by the Agency.

A contract to perform the services specified in this Request For Quotation shall be awarded to the lowest-priced responsible Respondent capable of performing the work satisfactorily.

The Missouri Weatherization Program is funded _____% by federal funds. The total amount of weatherization program funds granted to ______________________________ during the current program year is $__________.
Part II: Instructions to Respondents

NOTE: It is very important to follow these instructions carefully!

G. The Respondent must fill out the material, labor and total columns on page 1 and sign page 1 of this RFQ.

H. If submitted as a written quotation, this RFQ must be submitted in a clearly marked, sealed envelope.

I. The RFQ must be completed in handwritten or typewritten indelible ink.

J. All signatures and prices must be clear and legible.

K. Modifications to this RFQ by the Respondent are not allowed.

L. All prices must be stated as firm fixed prices. Discounts are not allowed.

M. A Pre-quotation conference will be held:

________________________________________________________________________

________________________________________________________________________

All prospective Respondents are urged to attend.

N. The deadline for RFQ submission is:

Date: __________________________ Time: __________________________

O. The winning Respondents shall have 5 working days from the date of final award announcement to submit to the Agency:

1. A copy of a current business permit or occupational license (where applicable).

2. Certificates of general liability insurance.

3. Certificates of Worker’s Compensation insurance (when required).

4. Verification that the contractor’s employees have all received their OSHA-10 Certification.

The Agency reserves the right to accept or reject any or all RFQs, and to disqualify any Respondent.
Part III: Technical Specifications

All materials and installations must comply with the NREL Standard Work Specifications for Home Energy Upgrades (SWS): https://sws.nrel.gov

Material Standards:

Replacement Furnace or Boiler, Gas-fired:

- Replace gas fired, central furnaces: conformance to NFPA 54-2012 (or the latest version).
- Minimum AFUE Rating for high-efficiency central furnaces: 90% + Direct Vent.
- Minimum AFUE Rating for mobile home furnaces: 90% + Direct Vent.
- AGA design certified and carry AGA seal.
- Replacement boiler must conform to the 2007 ASME Pressure Vessel Code (or the latest version).
- Electric or hot surface ignition systems are allowable with a replacement furnace or boiler.

Replacement Furnace or Boiler, Oil-fired:

- Replace oil furnace: conformance to NFPA 31-2012 (or the latest version) + Direct Vent.
- Replace boiler: conformance to the 2007 ASME Pressure Vessel Code (or the latest version).
- Minimum AFUE for oil-fired furnace/boiler: 85% + Direct Vent.

Replacement Space Heater, Gas-fired (includes all vented floor, wall, and room-type space heaters):

- Replace gas-fired space heater: conform to NFPA 54 – 2012 (or the latest version).
- AGA design certified and carry AGA seal.
- Liquid Petroleum Storage: conformance to NFPA 58-2008 (or the latest version).
- No minimum AFUE for gas-fired space heaters, but space heaters must be Direct Vent.

Replacement/Installation/Operational Specifications:

Replacement furnace/space heater must:

- Be of the same fuel type as the unit being replaced, unless otherwise approved by DE.
- Have return air filtration system on forced-air systems (excludes wall furnaces, floor furnaces and vented space heaters), with a minimum MERV 6 filtration with no air bypass around the filters.
- Be sized appropriate to the dwelling and/or existing distribution system. Document through Manual J or Manufacturer’s sizing guide.
Flue Requirements:

- The flue of the unit is to be sized according to manufacturer’s specifications and installed correctly. Refer to GAMA or NFPA Venting Tables.
- Replacement includes any sheet metal, piping, wiring, flue pipe, draft regulators or barometric dampers and any controls necessary to complete the replacement.
- Contractors must assure proper operating of newly installed units by starting and running the system through one full cycle and verifying proper operation of all controls and components.

All work performed by the Contractor must be to the SWS, manufacture’s specification, industry standards and accepted practices.
Part IV: Specific Requirements

P. The Contractor shall maintain Comprehensive General Liability Insurance at a minimum of $300,000 Combined Single Limit for Bodily Injury and Property Damage, per occurrence and aggregate. There shall be no deductible clause on any policy of the insurance provided. This Comprehensive General Liability coverage must include: premises and operations, broad form property damage, products/completed operation, contractual insurance, independent contractors, and personal injury.

The Contractor shall maintain Workmen’s Compensation Coverage as required by law. Certification of coverage must be provided to the Agency prior to the commencement of any work under this contract. Certification shall include documentation that the coverage shall remain in force during the duration of this contract.

Q. The Contractor shall indemnify and hold harmless the Client, Agency and State, including employees and officers, from any and all actions claims, losses and liabilities which may be made against the Agency or State as a result, directly or indirectly, of the performance of this contract. The Agency shall assist the Contractor as may reasonably be necessary. Insurance coverage as specified herein shall be provided in support of these indemnification requirements, but shall not release the Contractor from these responsibilities.

R. The Contractor hereby releases the Agency and recipient of services from all actions, claims and expenses related to the work performed pursuant to this contract.

S. The Contractor shall comply with RSMo. 34.350 et.al. (Missouri Products Preference), RSMo. 643 (Clean Air Statutes) and RSMo. 701.102-701.127 (Codes and Standards: Asbestos Removal).

T. The Contractor shall comply with the National Fuel Gas Code for all work and materials performed on gas systems and, where applicable, all local/city codes, regulations and standards. The quality control inspection report of the Agency shall not be deemed to be a warranty or representation that all such regulations and standards have been complied with by the contractor.

U. The Contractor shall notify the Agency of any unsafe or dangerous conditions concerning the heating system being serviced. The existence of these conditions or problems may have been undetectable or overlooked by the Agency auditor.

V. The Contractor shall furnish items and services at the prices quoted herein, in accordance with the specifications and the terms and conditions listed on each work order, this document, and mutually approved amendments.
W. The Contractor agrees to notify the Agency in writing immediately of changes in his availability or ability to successfully complete the work specified herein. The Contractor shall be held fully accountable for all work prior to notification of the Agency.

X. The Contractor warrants that all materials and components installed in performance of this contract shall be free of defect in materials and workmanship for the same time provided by the manufacturer. Should any material prove defective within this time period, the Contractor agrees to replace the defective materials/components with new, non-defective materials at no cost to the Agency or the client within working _____ days of notification (within _____ day(s) in extremely cold weather). Warranty documents and all pertinent information shall be given to the client by the contractor upon completion of the installation.

Y. The RFQ may be invalidated by the Agency and/or the Department of Natural Resources' Division of Energy.

Z. In the event of a sole source response, the Agency reserves the right to negotiate prices with the Respondent.

AA. The Agency reserves the right to accept and reject any RFQ and to disqualify any Respondent.

BB. The Agency reserves the right to terminate the RFQ process without recourse by the Respondent and to resubmit RFQ’s, as necessary, prior to award.
Part V: Contractual Requirements


DD. The Contractor assures compliance with Copeland “Anti-Kickback” Act (18 USC 87) and 29 CFR, Part 3.

EE. No interest shall be paid from DE administered funds for any reason.

FF. The activities of the Contractor's staff and associates shall be fully coordinated with the activities of the Agency. As the work of the Contractor's staff and associates progresses, advice on matters of immediate concern to the Agency and related to the specific scope of work covered by the contract, shall be made available to the Agency during the period of the contract.

GG. The Contractor shall not assign any interest in the contract and shall not transfer any interest, whatsoever in the same (whether by assignment or novation/substitution), without the written consent of the Agency.

HH. The contract shall be construed according to the laws of the State of Missouri.

II. No official or employee of the Agency, or official or employee of the Contractor or its governing body, or any public official of the State of Missouri who exercises any functions or responsibilities in the review or approval of the undertaking or in the fulfillment of the obligations of the terms and conditions of contract shall, prior to the completion of the term of contract, voluntarily acquire any personal interest, direct or indirect, in the contract, proposed contractor or contract subject.

JJ. The Contractor covenants that he has no interest and shall not acquire any interest, direct or indirect, which could conflict in any manner or degree with the performance of the specified services. The Contractor further covenants that in the performance of this contract, no person having any such known interest shall be employed.

KK. The Contractor agrees that the Agency and/or clients of the Agency shall not be liable for the debts of the Contractor or any other firm or organization affiliated with the Contractor in the fulfillment of the terms of this contract.

LL. This contract shall be amended only in writing. The amendment shall become binding when signed and dated by both parties.

MM. It is the Contractor's responsibility to fulfill all obligations under this contract. The Contractor shall subcontract for labor and or materials only with the advanced expressed written consent of the Agency and DE. Approval to subcontract shall in no way release the Contractor of his/her responsibility to fulfill his/her obligations under this contract.
NN. The Department of Natural Resources' Division of Energy’s Weatherization Assistance Program is not a party to this RFQ or contract and shall be held harmless in any dispute arising from this RFQ or contract.

OO. The Contractor agrees that all work shall be performed in strict compliance with all applicable laws, ordinances, OSHA guidelines, rules and regulations of Federal, State, County or Municipal governments or agencies, now in force or that may be enact hereafter. The quality control inspection report of the Agency shall not be deemed to be a warranty or representation that all such laws, ordinances, rules and regulations have been complied with the Contractor.

PP. In the event that the Contractor fails to perform satisfactory work in compliance with the terms of this contract, after receiving written notification/warning from the Agency, this contract shall be terminated. Termination shall result from:

1. Conviction of a criminal offense.
2. Unjustifiable failure to perform the terms of this contract, provided that failure to perform was not a result of acts beyond the control of the Contractor.
3. Failure to perform satisfactorily, which results in 3 rework orders. (Rework, in this situation, is defined as unacceptable service due entirely to the performance of the Contractor).
4. Failure to complete work and submit completed work order/invoice within the specified time period.
5. _____ or more valid client complaints (validity determined by the Agency).
6. Failure to perform work to meet the National Fuel Gas Code (NFPA 54) or the National Oil Code (NFPA 31), manufacturers’ specifications and, where applicable, local and city codes.
7. Failure to maintain required insurance coverage.

QQ. Under no circumstances will any lien ever be placed on any client home.

RR. The Contractor shall retain records relating to this contract for five years after final payment is made under the contract. If an audit, litigation, or other action involving the records is started before the end of the five-year period, the records must be retained until all issues arising out of the action are resolved, or until the end of the five-year period, whichever is later. The Department of Energy, Comptroller General of the United States, the Missouri Department of Natural Resources’ Division of Energy and the Agency or any of their authorized representatives shall have access to a contractor’s records.

SS. Termination of this contract shall result in the Contractor being disbarred from doing further business with the Agency and bidding on future contracts for a period of two years.
Weatherization Program
Request for Sole Source/Sole Response Approval for Commodities

Agency ___________________________ Date ______________ Program Year __________

Item Description _________________________________________________________________

Has Agency Attempted to Rebid? __________________________________________________

Quantity: Estimated* ______________ Actual ______________

(If estimated, state basis) _________________________________________________________

Bid Price (Total) ______________ Bid Price Per Item: ______________

Contract Period: From: ______________ To: ______________

Vendors Receiving Bid: (Attach list as necessary)

____________________________________________________________________________

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Vendors Responding: (Attach list as necessary)

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Weatherization Program
Request for Sole Source/Sole Response Approval for Services

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<th>Date</th>
<th>Program Year</th>
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Item Description

Has Agency Attempted to Rebid?

Quantity: Estimated*  Actual

(If estimated, state basis)

Bid Price (Total)  Bid Price Per Item:

Contract Period:  From:  To:

Vendors Receiving Bid: (Attach list as necessary)

Vendors Responding: (Attach list as necessary)

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Bid Tabulation Form

Bid Description: ____________________________  Bid Opening Date: ____________________________

Bid Number: ____________________________

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Agency Name: ____________________________________________________________

Signatures of Agency Personnel Present at Bid Opening:

______________________________________________________________________

______________________________________________________________________

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### Bidder No. 1

<table>
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<th>Item No.</th>
<th>Bidders Brand or Description</th>
<th>Qty</th>
<th>Unit Price</th>
<th>Item Total</th>
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- **F.O.B:** Delivery
- **Bid Total:**

| **Bidder No. 2** |

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<th>Bidders Brand or Description</th>
<th>Qty</th>
<th>Unit Price</th>
<th>Item Total</th>
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- **F.O.B:** Delivery
- **Bid Total:**

| **Bidder No. 3** |

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<th>Qty</th>
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- **F.O.B:** Delivery
- **Bid Total:**

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**I hereby certify that the bid(s) indicated above are correct as stated and that I have not revealed a bidder's bid to any other bidder or person.**

**Purchaser Signature**

**Department / Agency**

**Date**
**Sample Form**

**Form I**

**RFQ or IFB Amendment Form**

**Agency Name:** __________________________

**Amendment to Weatherization Contract #** __________________________

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<th>Item &amp; Description</th>
<th>Estimated Qty</th>
<th>Material Cost</th>
<th>Labor Cost</th>
<th>Total</th>
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**Effective Date of the Amendment:** __________________________

**Agency:** ____________________________________________________________________________

Authorized Signature __________________________ Name & Title (Print or Type) __________________________

**Contractor or Vendor:** ____________________________________________________________________________

Authorized Signature __________________________ Name & Title (Print or Type) __________________________
Building Insulation Product Containing Recovered Materials
Annual Review and Monitoring

Agency: ________________________________

Date: ________________________________ Program Year: _______________________

Signature: ______________________________

Building Insulation Product Containing Recovered Material:

Quantity Purchased: ____________________
Dollar Amount: _________________________

Total Building Insulation Materials: (Including those containing recycled products)

Quantity Purchased: ____________________
Dollar Amount: _________________________

Effectiveness of the Promotion Program:

Methods of Promotion Utilized: ________________________________

Assess the Effectiveness of Utilized Method: _________________________

Assessment of the Affirmative Procurement Program:

Barriers to Purchasing Insulation With Recovered toContent:

Other Comments: ________________________________

Please complete this form at the end of the program year and retain in the Agency’s files for documentation.
LINKS to APPENDICES

Appendix A – PY19/FY20 DOE State Plan Documents

PY19/FY20 Annual File Worksheet:

PY19/FY20 Master File Worksheet:

PY19/FY20 Master File Attachments:

Appendix B – 10 CFR 440

https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title10/10cfr440_main_02.tpl

Appendix C – DOE WPN 20-1 Grant Guidance


Appendix D – DNR General Terms and Conditions

https://energy.mo.gov/sites/energy/files/DED%20General%20Terms%20%26%20Conditions.pdf

Appendix E – DNR Sample Scope of Services
