



MaineHousing
MAINE STATE HOUSING AUTHORITY

**WEATHERIZATION ASSISTANCE
PROGRAM (WAP)**

WAP
GUIDANCE AND PROCEDURES

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TABLE OF CONTENTS

TABLE OF CONTENTS	2
INTRODUCTION	7
SECTION 1: WAP PROGRAM GRANTS	8
SECTION 2: WAP SERVICE AREAS	8
A. COMMUNITY ACTION AGENCIES.....	8
B. TRIBAL ORGANIZATIONS.....	9
SECTION 3: PRIORITIZATION AND WAIT LIST REQUIREMENTS	10
A. PRIORITIZATION.....	10
B. WAP RANKING	10
C. WAIT LIST.....	10
D. <i>JUSTICE40</i>	10
SECTION 4: ELIGIBILITY	11
A. ELIGIBLE HEAP APPLICATION	11
B. INELIGIBLE HEAP APPLICATION	11
C. INCOME ELIGIBILITY	11
D. PROOF OF OWNERSHIP	11
SECTION 5: ELIGIBLE UNITS	12
A. SINGLE-FAMILY DWELLINGS	12
B. 2-4 UNIT DWELLINGS.....	12
1. Written Permission	12
C. SMALL MULTI-FAMILY DWELLINGS	12
D. INELIGIBLE UNITS ³	12
E. RE-WEATHERIZING UNITS.....	13
SECTION 6: ENERGY AUDITS	13
A. TECHNICAL GUIDES AND MATERIALS	13
B. DWELLING TYPES	14
1. Single Family (stick built)	14
2. Manufactured Housing	14
3. 2 to 4 unit dwellings	14
4. Small Multi-Family	14
C. WRITTEN PERMISSION.....	14
1. Owner Occupied Unit	14
2. Rental Unit	14
3. Rent Increases	14
4. Sale of Property	14
D. ENERGY AUDIT PROCEDURES	14
1. Assess	14
2. Evaluate	15
3. Perform	15
4. Deferral	15
5. Inspect	16
6. Applicant Surveys	16
6. State Review	16
E. HEALTH AND SAFETY GUIDANCE	16
F. UNDUE OR EXCESSIVE ENHANCEMENTS	17
G. UNVENTED COMBUSTION SPACE HEATERS.....	17

H.	CLEAN TUNE AND EVALUATE (CTE) POLICY.....	18
I.	WAIVERS.....	18
J.	DEFERRAL OF SERVICE	19
	1. Deferral of Weatherization Services Policy.....	19
	2. DOE Weatherization Readiness Funds.....	20
	3. Procedures.....	21
	4. Deferral of Services Notice.....	22
	5. Deferral of Services Reporting.....	22
K.	APPLICANT AND/OR OWNER EDUCATION	23
L	Historic Preservation (Section 106 Review).....	23

SECTION 7: APPLIANCE REPLACEMENT/REPAIR24

A.	APPLIANCE REPLACEMENT	24
B.	FUNDING.....	24
C.	COST AND SCOPE	24
D.	ELIGIBILITY	25
	1. Electrical Appliances	25
	2. Propane/Natural Gas/Oil Appliances	25
	3. 1-4 unit dwellings.....	25
E.	REQUIREMENTS.....	25
	1. Eligible Appliances	25
	2. Energy Star Certified	25
	3. One-for-One Replacements Only	25
	4. Replacement Criteria	25
	5. Replacement Justification	26
F.	APPLICANT AND/OR OWNER EDUCATION	26
G.	LIGHTING.....	26

SECTION 8: PROCESSING WEATHERIZATION JOBS.....26

A.	SYSTEM OF RECORD.....	26
B.	SYSTEM DATES	26
C.	SIGNATURES AND DATES.....	28
D.	REQUIRED DOCUMENTATION	28
	1. WAP Jobs	28
	2. Appliances Repair/Replacements.....	30
E.	MAINEHOUSING FORMS.....	30
F.	DOCUMENT CHECKLIST.....	30
G.	DOCUMENT SUBMISSION	30

SECTION 9: WEATHERIZATION CONTRACTORS.....31

A.	EXPECTATIONS.....	31
B.	PROHIBITED ACTIVITIES.....	31
C.	WEATHERIZATION CONTRACTOR BIDS.....	31
	1. Timeline	31
	2. Invitation to Bid	31
	3. Notice in Acceptable Advertising Media.....	31
	4. Pre-Bid Meeting	32
	5. Contractor Bid Submissions.....	32
	6. CAA Submits Approved Contractor Bid Sheets to MaineHousing	32
	7. Bid Sheets Uploaded to HEAT Enterprise	32
	8. Extend Date Range for Contractor Bid Prices.....	32
D.	CRITERIA FOR CONTRACTOR APPROVAL.....	32
	1. Contractor Requirements.....	32
	2. CAA Responsibilities.....	33

	3.	Notification to Approved Contractors	33
E.		WEATHERIZATION SERVICES CONTRACT	33
F.		PAYMENTS TO CONTRACTORS.....	35
	1.	Inspected Work	35
	2.	Add Work	35
	3.	Rework	35
G.		CONTRACTOR TERMINATION.....	35
SECTION 10: FUNDING JOBS			35
A.		PER UNIT AVERAGES (PUA).....	35
	1.	DOE: ≤ \$8,497.00	35
	2.	DOE-BIL	35
	3.	HEAP Wx	35
	4.	Health and Safety	35
	5.	Incidental Repairs (IR)	35
	6.	Calculating Per Unit Average (PUA)	35
B.		SPLIT FUNDING	36
	1.	DOE Funds	36
	2.	HEAP Wx Funds	36
C.		LEVERAGED FUNDING	36
SECTION 11: INVOICING JOBS			36
A.		GENERAL REQUIREMENTS	36
B.		GRANT CLOSING INVOICE REQUIREMENTS	37
C.		PAID INVOICES	37
SECTION 12: MONTHLY BILLING PROCESS.....			37
A.		IMPORTANT NOTICE	ERROR! BOOKMARK NOT DEFINED. 8
B.		CAA CREATES MONTHLY INVOICE(S).....	38
B.		CAA SUBMITS MONTHLY INVOICE(S).....	38
C.		MAINEHOUSING RETRIEVES/REVIEWS MONTHLY INVOICE(S)	38
D.		COMPLIANCE AND TECHNICAL STATE MONITORS REVIEW INVOICE(S)	38
E.		INVOICE PASSES REVIEW	38
F.		JOBS WITH OPEN ITEMS	38
	1.	MaineHousing Initiates Open Item Process	38
	2.	CAA Options to Address Jobs with Open Items	39
	3.	MaineHousing Reviews Open Item Responses from CAAs	40
H.		COMPLIANCE AND TECHNICAL REVIEW CHECKLISTS.....	40
	1.	MaineHousing Review Status Boxes	40
	2.	CAA Response Boxes	40
SECTION 13: LEVERAGED FUNDING			41
SECTION 14: REWORKS			41
SECTION 15: PROGRAM OVERSIGHT AND MONITORING.....			42
A.		CLIENT FEEDBACK	42
B.		UNDUE OR EXCESSIVE ENHANCEMENTS	42
C.		PRODUCTION	42
D.		TECHNICAL AND FISCAL REVIEW	42
	1.	Compliance and Technical State Monitors Desk Reviews	42
	2.	Technical On-Site Monitoring	42
	3.	MaineHousing provides written report to CAA within 30 business days.	43
	4.	Fiscal On-Site Monitoring	43

SECTION 16: TRAINING AND TECHNICAL ASSISTANCE (T&TA)	43
A. DOE STATE PLAN	43
B. T&TA ACTIVITIES	44
C. T&TA REIMBURSEMENT	44
1. Conference Registration	44
2. Airfare	44
3. Lodging	44
4. Meals	45
5. Mileage	45
6. Tolls	45
7. Parking	45
D. CONTRACTOR TRAININGS	46
1. Training Expenses	46
2. Stipends	46
3. Retention Agreements	46
E. T&TA REPORTING	46
SECTION 17: DOCUMENT/RECORD MANAGEMENT SYSTEMS	47
A. IN GENERAL	47
B. USER ACCESS	47
1. User Set up	47
2. Change a User’s Authorization Level or Remove User Access	47
3. Confirmation	48
C. CAA PORTAL	48
D. SHAREFILE	48
E. HEAT ENTERPRISE	49
1. System of Record	49
2. WAP Forms	49
SECTION 18: VEHICLES, EQUIPMENT AND SUPPLIES	50
A. IN GENERAL	50
B. PURCHASE OF EQUIPMENT/SUPPLIES	50
C. PURCHASE OF VEHICLES	50
D. MAINEHOUSING APPROVAL	51
E. VEHICLE/EQUIPMENT MAINTENANCE AND REPORTING	51
F. VEHICLE/EQUIPMENT DISPOSAL	51
SECTION 19: INVENTORY	52
A. IN GENERAL	52
B. INVENTORY MAINTENANCE AND REPORTING	52
SECTION 20: PROCUREMENT	53
SECTION 21: REPORTING REQUIREMENTS	53
A. DOE DEMOGRAPHICS	53
B. HISTORIC PRESERVATION REPORT (SHPO)	53
C. CAA REPORTING	53
1. Subgrantee Activity Report	53
2. CAA Equipment/Supply Inventory Report	53
SECTION 22: AGREEMENTS, BUDGETS AND WORK PLANS	53
A. IN GENERAL	53
B. SUBGRANT AGREEMENTS	54

C.	BUDGET PREPARATION.....	54
1.	Projected Expenditures	54
2.	Support Salaries Schedule	54
3.	Administrative Cost	54
4.	Support “Other”	54
5.	Insurance	55
6.	Budget lines \$10,000 or greater	55
7.	Revised Budgets	55
D.	WORK PLAN PREPARATION.....	55
1.	Production Schedules	55
2.	Priorities for Weatherization and Wait List policies	55
3.	WAP Delivery Considerations	55
4.	Tribal Organizations	55
5.	Deferrals	55
6.	CTEs	55
7.	Leveraged Resources	55
8.	Weatherization Personnel	55
9.	Training and Technical Assistance (T&TA)	56
10.	Policy Changes	56
11.	Insurance	56
12.	Equipment Purchases	56
13.	Equipment Maintenance	56
14.	Inventory	56
15.	Other Information	56
E.	SUBMISSION TO MAINEHOUSING	56
	SECTION 23: CONFLICT OF INTEREST PROCEDURES	56
A.	CONFLICT OF INTEREST PROCEDURES	56

INTRODUCTION

Maine's Weatherization Assistance Program (WAP) is administered by the Maine State Housing Authority (MaineHousing), to help eligible low-income households with the installation of energy conservation measures in their homes. These measures are intended to reduce the home's energy consumption. MaineHousing administers WAP statewide, through Community Action Agencies (CAA), utilizing a number of funding sources that include the U.S. Department of Energy's Weatherization Assistance Program (DOE), and the Low-income Home Energy Assistance Program (HEAP Wx).

MaineHousing's Weatherization Assistance Program Guidance and Procedures (WAP Guide) provides guidance, procedures and best practices for administering DOE and/or HEAP Wx funded projects and highlights areas of significance for consideration in administration of WAP.

The WAP Guide will be updated as needed to provide CAAs with current information regarding the delivery and management of weatherization services. CAAs must adhere to the applicable terms and conditions of regulations and rules when administering DOE or HEAP Wx funded projects.

MaineHousing's Energy and Housing Services Department (EHS) provides the management, technical assistance and administrative support for WAP.

NOTE: MaineHousing WAP Guide is effective as of the date on the cover page. Effective dates will be updated to coincide with any revisions made to the MaineHousing WAP Guide.

FYI: MaineHousing's CAA Portal (<http://www.mainehousing.org/partners/partner-type/community-agencies/maine-weatherization-programs>) contains current rules, state plans, links to applicable federal references, and other resources. More detailed guidance can be found in the following references:

- 10 CFR Part 440 and 2 CFR 200 – DOE Regulations
- 45 CFR § 96 – HEAP Wx Regulations
- Chapter 25, Weatherization Assistance Program (adopted) (DOE Rule)
- Chapter 24, Home Energy Assistance Program Rule (adopted) (HEAP Rule)
- LIHEAP Model Plan
- Weatherization Assistance Program State Plan
- DOE and HEAP Wx Subgrant Agreements and any applicable budgets, work plans and amendments
- DOE Weatherization Program Notices (WPNs)
- MaineHousing Weatherization Assistance Program Guidance and Procedures (WAP Guide)
- MaineHousing Central Heating Improvement Program Guidance and Procedures (CHIP Guide)
- MaineHousing Home Energy Assistance Program Handbook (HEAP Handbook)
- Maine Weatherization Standards Manual
- Maine Field Guide
- Task Code Specifications
- HEAT Weatherization Software User Guide (HEAT Guide)

SECTION 1: WAP PROGRAM GRANTS

Each program year, MaineHousing may allocate DOE and HEAP Wx funds to CAAs through Subgrant Agreements. Refer to the *Subgrant Agreement* for the total grant allocation for each program/year.

- A. Refer to [MaineHousing's CAA Portal](#) for a complete list of programs administered through MaineHousing's EHS department, along with effective funding year dates.

SECTION 2: WAP SERVICE AREAS

A. Community Action Agencies

Maine's WAP serves all Maine counties through nine (9) CAAs. CAAs provide weatherization services to households in the following designated counties:

CAA	Area Covered
Aroostook County Action Program (ACAP) 771 Main Street PO Box 1116 Presque Isle, ME 04759	Aroostook County
Community Concepts (CCI) 17 Market Square South Paris, ME 04287	Androscoggin, Cumberland and Oxford Counties
Downeast Community Partners (DCP) 248 Bucksport Road Ellsworth, ME 04605	Washington and Hancock Counties
International Center for Appropriate and Sustainable Technology (ICAST) 7400 W. 14 th Ave Denver, CO 80214	State of Maine (Multifamily properties only)
Kennebec Valley Community Action Program (KVCAP) 101 Water Street Waterville, ME 04901	Kennebec, Lincoln, Sagadahoc and Somerset Counties
Penquis Community Action Program (PCAP) 262 Harlow St PO Box 1162 Bangor, ME 04402-1162	Penobscot, Piscataquis and Knox Counties
Waldo Community Action Partners (WCAP) 9 Field Street PO Box 130 Belfast, ME 04915	Waldo County
Western Maine Community Action (WMCA) 20A Church Street PO Box 200 East Wilton, ME 04234	Franklin County
York County Community Action Corp. (YCCAC) 6 Spruce Street PO Box 72 Sanford, ME 04073	York County

B. Tribal Organizations

Maine’s WAP grants include funding set aside for serving five (5) recognized Native American Tribes. The amounts of funding dedicated to each tribal organization are outlined on the allocation schedule provided with the CAA’s Subgrant Agreement(s). CAAs administering these funds must describe in the respective work plan(s) how weatherization services will be provided to the Native American Tribal Organizations in the respective service areas. HEAP Wx funds may not be used in conjunction with DOE WAP funding when completing Weatherization jobs on Native American Tribal Organization lands.

CAA	Tribe
<p>Aroostook County Action Program (ACAP) 771 Main Street PO Box 1116 Presque Isle, ME 04759</p>	<p>Aroostook Band of Micmacs 7 Northern Road Presque Isle, ME 04769</p> <p>Houlton Band of Maliseets 88 Bell Road Littleton, ME 04730</p>
<p>Downeast Community Partners (DCP) 248 Bucksport Road Ellsworth, ME 04605</p>	<p>Passamaquoddy Tribe Pleasant Point Reservation PO Box 343 Perry ME 04667</p> <p>Passamaquoddy Tribe Indian Township Tribal Government PO Box 301 Princeton ME 04668</p>
<p>Penquis Community Action Program (PCAP) 262 Harlow St PO Box 1162 Bangor, ME 04402-1162</p>	<p>Penobscot Nation Tribal Administration 12 Wabanaki Way Indian Island, ME 04468</p>

SECTION 3: PRIORITIZATION AND WAIT LIST REQUIREMENTS

A. Prioritization

Priority for weatherization services is identified through HEAT Enterprise,¹ based on household composition, annual energy consumption usage for heat (cost), and poverty level. Households with an older adult person, a person with disabilities, and/or a child younger than six (6) years of age are given priority for weatherization services.

B. WAP Ranking

HEAT Enterprise calculates a WAP ranking for each household by assigning points based on household income, home energy costs, and household composition. The maximum number of points allotted to a household is 20, which would result in the highest priority. HEAT Enterprise uses the following algorithm to calculate the WAP ranking for each household:

Factor	Points
Older adult (60 years of age or older) or children (6 years of age or younger) or persons with disabilities	10
Annual Energy Usage/Energy Cost	0-5
Poverty Level	0-5

Usage/Costs	#Points		% Poverty	Poverty Level	#Points
\$0 - \$800	0		Under 75%	1	5
\$801 - \$1,200	1		75% - 100%	2	4
\$1,201 - \$1,600	2		101% - 125%	3	3
\$1,601 - \$2,000	3		126% - 150%	4	2
\$2,001 - \$2,500	4		Above 150%	5	1
\$2,501 and over	5				

C. Wait List

- (1) CAAs are required to develop and maintain a wait list consisting of all HEAP eligible households. Households on the CAA's wait list should be weatherized in order of ranking according to HEAT Enterprise. Households with the highest WAP ranking have the highest priority.
- (2) A CAA may move up an eligible household's priority based on geographic considerations (*e.g.*, if a high priority weatherization project is out of town, another dwelling with a lower priority ranking in the same area may also be weatherized during at the same time to save on travel costs) or because the CAA is funding the project with additional other resources.

D. Justice40

MaineHousing must ensure that a statewide average of at least 40% of DOE funds are used in disadvantaged communities. To determine if a property is in a disadvantaged community the [Climate & Economic Justice Screening Tool \(geoplatform.gov\)](https://www.geoplatform.gov) must be used. Client prioritization and selection of jobs in Justice40 communities will be needed to meet this requirement. In HEAT, the Client Management module and then the Application tab, the field "Justice40" must be completed.

SECTION 4: ELIGIBILITY

A. Eligible HEAP Application

A household may be eligible for WAP services if their HEAP application for fuel assistance was certified-income eligible within the 12-month period preceding the initiation of services date. However, if a household was denied on a subsequent HEAP application, the household/unit is no longer eligible for WAP (denial overrides the prior certification date). Prior to conducting an energy audit, CAA should re-verify a household's eligibility to ensure that their most recent HEAP application has not been denied.

GUIDANCE: Once a job is scheduled in HEAT Enterprise based on an eligible HEAP application, the job can be completed even if the household is found to be ineligible on a subsequent HEAP application. The job's *Assessment Date* in HEAT Enterprise is considered the "initiation of services" date. See [Section 8\(B\), System Dates](#) for more information.

B. Ineligible HEAP Application

A household that is over income for HEAP fuel assistance may be eligible for weatherization services if all of the criteria identified in (1) and (2) are true:

- (1) Household's income has been documented and verified in accordance with the guidelines set forth in the HEAP Rule, HEAP Model Plan, and HEAP Handbook and is less than or equal to 200% federal poverty.
- (2) Household's standard HEAP application was appropriately processed, documented and certified eligible for "Weatherization Only". Household's application must be otherwise eligible for fuel assistance. Refer to the HEAP Handbook for more information. If a Household was denied on a subsequent HEAP application, the household/unit is no longer eligible for HEAP Wx (denial overrides the prior certification for fuel assistance or "Weatherization Only" certification).

C. Income Eligibility

- (1) Applicants that receive HEAP are categorical eligible for Weatherization services funded by HEAP Wx and/or DOE (Annual funds). Weatherization only applicants are eligible up to 200% of the federal poverty level (FPL).
- (2) In such situations,
 - i. Medical expenses (households may submit documentation for medical expenses paid and not reimbursed); and
 - ii. Child support payments counted as HEAP income; May be deducted for the income period in an effort to reduce the household's income to 200% FPL in order for the household to be eligible for weatherization services.

D. Proof of Ownership

- (1) The CAA shall verify ownership of dwelling units prior to performing any work. Proof of ownership may include current property tax bill, statement from the local tax assessor, town clerk or similar municipal official.

NOTE: Property deeds are not considered adequate proof of ownership.

If a rental unit is receiving WAP services and is not occupied by the owner, CAA must secure the property owner's signature on the WAP Consent form and the WAP Rental Agreement prior to completing the energy audit.

SECTION 5: ELIGIBLE UNITS²

Maine defines an eligible structure as a dwelling unit, including a stationary manufactured home, stick built house, and buildings with up to four rental units. An eligible dwelling does not include a camper, or other structures designed and constructed to provide temporary living quarters.

A. Single-Family Dwellings

- (1) A dwelling unit must be occupied by a household that meets the eligibility for assistance under the Low Income Home Energy Assistance Act of 1981 as determined in accordance with criteria established by the Director of the Office of Management and Budget. Dwelling units include single-family stick built and manufactured/modular homes.
- (2) CAAs are required to evaluate:
 - iii. The physical condition of the home, the mechanical systems, and building tightness.
 - iv. If homes fail to meet minimum standards as to Structural Integrity and Health & Safety, weatherization must be deferred until the issue is resolved. See Section 6.J for the Deferral of Services Policy.

B. 2-4 Unit Dwellings

A rental dwelling containing 2 to 4 rental units is eligible for WAP if it is occupied by an eligible Household(s). Prior to conducting the energy audit, the CAA must verify the ownership of the unit/building and secure confirmation from the property owner.

- (1) WAP funds may be used to weatherize rental dwellings provided at least 66 percent of residents in a three (3) unit property and 50 percent in a two (2) or four (4) unit property (determined on a building-by-building basis) meet WAP income guidelines.
- (2) 2-4 unit dwellings are those with four (4) or less units, and three (3) stories or less.
- (3) 2-4 unit dwellings will be prioritized similar to single-family: tenants with the highest energy use and highest energy burden (as a percentage of income) will receive priority.

1. Written Permission

Secure owner's and tenant's consent on the *WAP Consent* form to proceed with weatherization measures. Additionally, the owner and tenant are required to sign MaineHousing's *Weatherization Rental Agreement* before the CAA can proceed with weatherization.

C. Small Low-Rise Multi-Family Dwellings

“Small Low-Rise Multi-Family” properties consist of five (5) or more units and no more than three (3) stories.

- (1) One of the units may be occupied by the owner.
- (2) DOE guidance requires the weatherization of the entire building not just the eligible units.

D. Ineligible Units

A dwelling unit will not be eligible for WAP services if:

- (1) Dwelling has been designated for acquisition or clearance by a federal, state, or local program or order;
- (2) A foreclosure proceeding has begun regarding the Dwelling;

- (3) Dwelling is for sale;
- (4) Dwelling unit is vacant (single family);
- (5) Dwelling unit is uninhabitable;
- (6) Dwelling unit is in poor structural condition making the installation of WAP Weatherization services impractical, impossible, or ineffective;
- (7) Dwelling unit or any component of, is in such poor structural condition that the proposed WAP services would have a longer life expectancy than the dwelling unit or component;
- (8) There are obvious discrepancies found between the information supplied on the Application and observed conditions during the weatherization process. The CAA must resolve any discrepancies before work can continue.

E. Re-weatherizing Units

- (1) A dwelling unit is not eligible to be re-weatherized with DOE or HEAP WX funds if the unit was weatherized within the last fifteen (15) year period of the current Initiation of Services date.

SECTION 6: ENERGY AUDITS

It is the responsibility of the CAA to install the most cost-effective weatherization measures in a unit based on a detailed analysis of the unit's needs attained through an energy audit, using the approved HEAT Enterprise software. A calculation to determine the measure's Saving Investment Ratio (SIR) is calculated by HEAT Enterprise and is used to justify the installation of measures. The Maine Weatherization Standards and the Maine Field Guide contain the procedures required to conduct weatherization energy audits and preform weatherization services on eligible dwellings. When a work order is not issued within 90 days of the audit the home must be reassessed as conditions in the home may have changed.

A. Technical Guides and Materials

- (1) Standards for the proper installation of materials and procedures are described in the Maine Weatherization Standards and the Maine Field Guide which are located on the MaineHousing website <https://www.mainehousing.org/partners/partner-type/community-agencies/maine-weatherization-programs;>
- (2) Measures to be performed will be prioritized in accordance with the HEAT Enterprise software, implemented in accordance with the standard work specifications (SWS) contained in the Maine Field Guide and will be compliant with WPN 22-4.
- (3) The Maine Weatherization Standards is aligned with the companion Maine Field Guide, which embodies standard work specifications (SWS) applicable to Maine WAP. While the Maine Weatherization Standards and the Maine Field Guide are fully aligned, the documents are distinct. The Maine Weatherization Standards provides more overview and detail on overarching goals and guidance for delivery of weatherization services.
- (4) Electronic access to current versions of Maine Weatherization Standards, Maine Field Guide, program updates, procedures manuals, standards documents, relevant client education brochures, and a link to all WAP Program Notices and Memoranda is available at <http://www.mainehousing.org/partners/partner-type/community-agencies>.
- (5) Notifications of updates to program manuals or guidance are posted to HEAT Enterprise Home/News page. This page is maintained as a "Bulletin Board" and includes highlights of updates, implementation dates and directions to guidance as applicable. Since all users view the Home/News page on log-in, this ensures that CAA field staff are apprised of and directed to the details of important updates as they are implemented.

- (6) All weatherization work is performed in accordance to DOE approved energy audit procedures and 10 CFR 440 Appendix A.

IMPORTANT: All Subgrantee Agreements must contain language that CAA agrees to ensure that the standard work specifications for work quality outlined in [WPN 22-4](#), Section 2, will be met and that all contracts with vendors will contain the same requirement.” The CAA’s signature on the Agreement confirms that all expectations contained in the Subgrantee Agreement, Work Plan, and Budget are understood.

B. Dwelling Types

1. Single Family (stick built)

All single family homes must be modeled using HEAT Enterprise.

2. Manufactured Housing

Manufactured Housing must be modeled with HEAT Enterprise.

3. 2 to 4 Unit Dwellings

- a. Must be modeled with HEAT Enterprise.
- b. Each unit receives a job count.

4. Small Low-Rise Multi-Family

- a. Small Low-Rise Multi-Family units with 5 to 24 units.
- b. Contracted Multi-Family Subgrantee’s will model the building using TREAT.

C. Written Permission

1. Owner Occupied Unit

Obtain owner's written permission to proceed with weatherization measures on the *WAP Consent* form.⁴

2. Rental Unit

Obtain the owner and tenant permission to proceed with weatherization measures on the *WAP Consent* form. In addition, the owner and tenant are required to sign a weatherization *Rental Agreement* before the CAA can proceed with weatherization. The provisions of this Agreement include:

3. Rent Increases

The owner is prohibited from increasing rent for a twelve (12) month period following completion of the weatherization project because of any increase in the value of the property due solely to the weatherization work.

4. Sale of Property

If the property is sold within one (1) year of the completion of weatherization work, the owner may be required to reimburse the MaineHousing for the cost of the weatherization material installed.

D. Energy Audit Procedures

CAAs are required to utilize, to the degree allowed by law, diagnostic equipment including: blower doors, combustion analyzers, hygrometers, CO analyzers, digital manometers and infrared cameras. Mandated tests include blower door tests, combustion efficiency analysis, minimal ventilation assessment, fossil fuel appliance CO testing, and moisture level evaluation. Refer to the [Maine Weatherization Standards](#) and standard work specifications contained in the [Maine Field Guide](#) for more information.

1. Assess

- a. Maine's energy audits consists of the following components:

- i. an individual audit for each dwelling unit
 - ii. energy savings calculations based on ASHRAE fundamentals
 - iii. a comprehensive health and safety protocol.
- b. Maine's health and safety procedures, as described in the [Maine Weatherization Standards](#), require a total assessment of the home. Briefly, and not all inclusive, the auditor is required to assess the home from basement to attic using HEAT Enterprise:
- i. list possible pollutant sources;
 - ii. record any observable pollutant indicators;
 - iii. ⁴Source: Weatherization Assistance Guidance, WPN 22-7interview the client as to health problems and lifestyle;
 - iv. test all combustion appliances to the degree allowed by law as to efficiency and safe operation;
 - v. perform zone pressure diagnostic testing if applicable;
 - vi. determine combustion air requirements and assess the adequacy of the existing combustion air supply;
 - vii. test for spillage, back-drafting, and venting capability of all combustion exhaust vents; and
 - viii. check CO production of all combustion appliances.

2. **Evaluate**

Prior to initiating any weatherization activities, CAAs are required to evaluate:

- a. the physical condition of the home
- b. the mechanical systems
- c. building tightness.

3. **Perform**

All weatherization work is to be performed in accordance with DOE approved energy audit procedures outlined in the [Maine Weatherization Standards](#) and the [Maine Field Guide](#).⁵

- a. Any additional work identified after the work order is generated must be evaluated by a quality control inspector and must contain a comment explaining why additional work was added.
- b. If the original work order needs to be deleted a copy of it must be uploaded to HEAT-WAP Documents.
- c. Changes to the work order that results in an increase exceeding five percent of the total Weatherization job cost, regardless of funding source, compared to the initial work order, must be approved by the subgrantee/CAA program management.
- d. Any add work or rework must be tracked by the subgrantee and will be evaluated by MaineHousing to identify trends and potential training needs.

4. **Deferral**

If the dwelling to be weatherized fails to meet minimum standards as to structural integrity and health and safety, weatherization must be deferred until the issue is resolved. Once a deferred home becomes eligible for weatherization, any applicable energy audit assessments, such as blower door testing and combustion safety testing, must be redone to establish a new baseline for the building conditions. Documentation of all

activities in the applicant file is required. *See* Section 6.J, Deferral of Service Policy.

5. Inspect

Every WAP unit reported as a completed unit must receive a final inspection by a Building Performance Institute (BPI) certified Quality Control Inspector (QCI), to ensure all work meets the minimum Standard Work Specifications as outlined in the Maine Field Guide. The QCI must complete and provide an *Inspection Completion* Form to MaineHousing for each individual unit, certifying that the weatherization materials and measures were properly installed in accordance with the Maine WAP standards and they align with the objectives of the energy model and work scope.. The QCI process must verify that each completed measure aligns to the objectives of the approved Field Guide and approved standards. This should include, but is not limited to, photographs of electrical flags, depth markers, and insulation certificates.

6. Applicant Surveys

Applicant feedback is an important component of delivering MaineHousing programs. As such, MaineHousing has created survey cards for CAAs to provide to recipients of program grants. MaineHousing will provide a supply of survey cards to each CAA.

- (1) The CAA must provide a *Weatherization Program Client Satisfaction Survey* card to every Applicant whose unit is reported as completed. The survey card may be provided to the Applicant at any time after services commence, but no later than completion of a final unit inspection.

A supply of Client Satisfaction Survey cards is provided to CAAs by MaineHousing . Contact EHSHelpdesk@mainehousing.org to request additional cards as needed.

The CAA must advise the Applicant that the survey card provides an opportunity for the Applicant to inform MaineHousing of his/her experience with the weatherization program and that he/she is acknowledging receipt of the survey card when signing the *Inspection Completion* form. Inform the Applicant that MaineHousing is asking for feedback from all Applicants whether positive or negative

GUIDANCE: CAAs should, hand-deliver the survey card to Applicants at time of Inspection. CAAs should explain that the survey card can be completed electronically by scanning the Quick Response (QR) code with a smart phone camera or by completing and mailing the survey card, which is preaddressed to MaineHousing.

6. State Review

MaineHousing conducts desk reviews on up to 100 percent of completed jobs, based on the CAA's performance. MaineHousing will only authorize payment to the CAA when satisfied that all work is completed.⁶ The CAA will be notified of any jobs not in compliance and is required to take the steps necessary to complete the job. *See* [Section 12.H](#), Jobs with Open Items. In addition, MaineHousing will perform quality assurance inspections of at least 5 percent (5%) of completed units and 10 percent (10%) of all completed units where the audit and inspection is done by the same person.

E. Health and Safety Guidance

- (1) MaineHousing uses the [Table of Issues](#) (adopted in [DOE WPN 22-7](#)) as a reference of a majority of conditions regarded as hazardous. In all cases these conditions will determine the course that weatherization will take. The chart outlines the hazard, the importance of correction, if postponement of weatherization services is necessary, types of testing, and corrective procedures for each hazard. The following will be assessed and addressed, as applicable, in accordance with [WPN 22-7](#) Table of Issues:
 - a. Air conditioning and heating systems – Because of Maine's high heating degree day environment, cooling needs are considered to be insignificant for Maine dwellings. Therefore, Maine climate conditions do not warrant defining at-risk occupants or the repair or replacement of air conditioning systems under DOE WAP;

- b. Asbestos – According to the EPA's *Building Air Quality Guide*, the mere presence of asbestos in a building does not mean that the health of a building occupant is endangered. Asbestos-containing material in good condition, not damaged or disturbed, is not likely to release asbestos into the air;
 - c. Biologicals/mold;
 - d. Building structure and roofing;
 - e. Code compliance;
 - f. Combustion appliances and combustion gases – MaineHousing recognizes that combustion gases in homes pose the most serious hazard. As a result, MaineHousing has adopted a comprehensive plan to ensure safe operation of combustion appliances and to make sure that weatherization procedures do not contribute to a problem.
 - i. Per the SWS, (2.02 Combustion Safety) CO in the appliance vent, ambient CO and spillage testing must occur as part of a weatherization job. If the mandatory testing results are outside of the allowable limits, a clean, tune & evaluate (CTE) of the heating system must occur as part of a weatherization job.
 - ii. Energy auditors must comply with the rules of the Maine Fuel Board: Prior to performing a combustion safety and efficiency test, a limited energy auditor technician shall obtain the manufacturer's installation and operating instructions for the specific equipment to be tested. Energy auditors must make every effort to obtain an equipment manual on site or on line. When a manual is not obtainable the energy auditor must order a CTE by a licensed Heating Technician. This CTE must be performed prior to invoicing the job. A visual inspection, CAZ pressure test, spillage test, and ambient CO measurement must still be conducted as part of the energy audit.
- (2) In addition, CTEs should also be conducted as part of routine maintenance and safety practices. CAA must provide in their Work Plan established internal policies that describe how CTEs will be addressed for clients of the weatherization program. Of all the by-products of fuel combustion, carbon monoxide (CO) is deadly. MaineHousing views any ambient level of CO as potentially dangerous and will be considered a warning signal that a problem exists. According to ASHRAE standards, the maximum allowable concentration for short term exposure is 9 ppm in residential settings.

Corrective procedures requiring special licensing will be referred to the appropriate authority.

MaineHousing has implemented the following additional guidance:

- a. Diagnostic Equipment - Diagnostic equipment, such as blower doors, will not be used on units where such equipment could exacerbate existing problems (*e.g.*, vermiculite in open floored attics).
- b. Spray Polyurethane - Maine must follow EPA recommendations (available online at [PCB Use Guidance Issued by EPA | US EPA](#))

F. Undue or Excessive Enhancements

No undue or excessive enhancement shall occur to the dwelling unit.⁷ CAAs should always consult with MaineHousing prior to commencing weatherization jobs if costs are questionable.

The Energy Auditor will evaluate the dwelling to determine whether or not non-ECM measures are cost effective and enable the related measure to enhance the energy savings. Non-ECM measures that are determined to not add value should not be installed. These are undue enhancements and are not an allowable WAP expense.

G. Unvented Combustion Space Heaters

- (1) Per DOE requirements,⁸ unvented combustion space

heaters must be removed prior to weatherization, except as secondary heat where the unit conforms to [ANSI Z21.11.2](#).

- (2) Deferral of services is required for units that do not meet [ANSI Z21.11.2](#) until removal or conforming unit is in place.
- (3) If an unvented combustion space heater is a secondary heat source, it may remain in use provided it conforms to [ANSI Z21.11.2](#). In such cases, the audit/job file must include a photo of the ANSI compliance label affixed to the unit.

H. Clean Tune and Evaluate (CTE) Policy

- (1) Maine [Weatherization Standards](#) Section 10 Combustion Appliances, carbon monoxide (CO) in the appliance vent, ambient CO and spillage testing must occur as part of a weatherization job.
 - a. If the mandatory testing results are outside of the allowable limits, CTEs must occur as part of a weatherization job.
 - b. Follow guidance in the [MaineHousing Weatherization Standards](#) chapters on Health and Safety, 4.18 and Diagnostic Testing Procedures, 14.8.6.
 - c. During testing, follow the action level protocols prescribed in BPI 1200-S-2017, Combustion Appliance Safety Inspection for Vented Appliances, to ensure worker and client safety.
- (2) Energy auditors must comply with the rules of the Maine Fuel Board.
 - a. Prior to performing a combustion safety and efficiency test, a limited energy auditor technician shall obtain the manufacturer's installation and operating instructions for the specific equipment to be tested.
 - b. Energy auditors must make every effort to obtain an equipment manual on site or on line. When a manual is not obtainable the energy auditor must order a CTE by a licensed heating technician. This CTE must be performed prior to invoicing the job.
 - c. A visual inspection, CAZ pressure test, spillage test, and ambient CO measurement must still be conducted as part of the energy audit.
- (3) CAAs must establish policies to describe how CTEs will be addressed for clients of the weatherization program.
- (4) A primary heating appliance may be serviced with Central Heating Improvement Program (CHIP) funds or with WAP funds as a mechanical or health and safety measure.
- (5) Each applicant file must include documentation of any and all efficiency work and adjustments made to the water heating and space heating combustion appliances. Applicant file documentation must include information on the applicable combustion appliance efficiency and safety tests.
- (6) Before the work on a combustion appliance can be considered complete, a representative of the CAA must have finished a review of all combustion appliance forms and determined that the combustion appliance(s) meets the specifications in [MaineHousing Weatherization Standards](#) Section 14.8.

I. Waivers

It is important to note that the policy with respect to H&S and IR averages does not negate the need for waivers. If the dwelling, applicant/owner, or activity/task/work scope do not meet (or fall outside of) DOE and MaineHousing guidelines, the CAA must submit a waiver prior to proceeding with any work. *For example*, waivers must be submitted if asbestos is found and the blower door test cannot be completed.

J. Deferral of Service

There are some situations in which a CAA or contractor should not, or may choose not to, weatherize an otherwise eligible unit. In order to deal with these situations, each CAA and contractor will follow the MaineHousing Deferral of Services Policy that allows weatherization staff to postpone services when certain conditions or circumstances exist. At a minimum, the *Deferral of Service Notice* shall contain one or more of the elements listed below.

1. Deferral of Weatherization Services Policy

- a. The CAA or contractor may postpone weatherization services under the following conditions:
- i. A dwelling unit is vacant, and/or a dwelling unit is for sale.
 - ii. A dwelling unit is scheduled for demolition.
 - iii. A dwelling unit is found to have serious structural problems that would make weatherization impossible or impractical.
 - iv. A dwelling unit is deemed by the auditor to pose a threat to the health or safety of weatherization personnel.
 - v. A manufactured home is improperly installed (*for example*, with inadequate supports).
 - vi. A dwelling unit is uninhabitable (*for example*, a burned-out apartment).
 - vii. The applicant and/or homeowner is uncooperative with the CAA or its contracted agent. (*For example*, demanding that certain work be done and refusing higher priority work which is needed, being abusive to the work crew or contractor, or by being unreasonable in allowing access to the unit.) The CAA should work with the applicant and/or homeowner to address situations. If this fails, work shall not commence (or shall be suspended) and MaineHousing must be consulted.
 - viii. Obvious discrepancies are found between the information supplied by the applicant/owner on the application and observed conditions at the time of weatherization. The CAA or contractor must resolve these discrepancies before audit/weatherization work can continue.
 - ix. If, at any time prior to the beginning of work (work officially begins when the contractor shows up to perform weatherization services), the CAA or contractor determines that the dwelling is no longer eligible, or personnel believe that circumstances may have changed, the unit shall not be weatherized until updated information can be obtained from the applicant and/or owner.
 - x. The presence of rodents, insects or other animals that pose a health and safety risk, such as rats, bats, reptiles, roaches, etc.
 - xi. There are health or safety hazards that must be corrected before weatherization services may begin including, but not limited to:
 - (1) The presence of animal feces and/or other excrement.
 - (2) Disconnected waste water pipes.
 - (3) Hazardous electrical wiring.
 - (4) The presence of unsafe levels of mold or mildew, or moisture.
 - (5) Unvented combustion appliances or actionable levels of ambient carbon monoxide.
 - (6) An unvented space heater that does not meet ANSI Z21.11.1
 - (7) Pre-weatherization combustion safety depressurization testing fails.
 - (8) Presence of hazardous waste.
 - xii. There are illegal drugs or illegal activities occurring on the premises.

NOTE: A Deferral of Services Notice must be completed and uploaded to HEAT Enterprise WAP Documents for each deferred job, whether the deferral is the result of a site visit or a phone interview. A copy of the notice must be provided to the client.

- xiii. The applicant or owner is physically or verbally abusive to any personnel.
- xiv. The dwelling unit or parts thereof are being remodeled and could impact the effectiveness of the weatherization work and is not coordinated with a housing rehabilitation program.
- xv. The eligible household moves from the dwelling unit where weatherization activities and services are in progress. In such a case, the CAA or contractor must determine whether to complete the work, and the circumstances must be documented in the applicant file.
- xvi. One or more occupants in a dwelling have been diagnosed with a contagious disease that is life threatening to weatherization personnel.
- xvii. There are unusual situations, which, in the judgment of the CAA or contractor staff, must be corrected before proceeding with weatherization. The list above is not intended to be inclusive of all instances in which a CAA or contractor may choose not to weatherize a unit. In some instances, corrective measures by the applicant and/or owner may allow program services to proceed.
- xviii. The list above is not intended to be inclusive of all instances in which an agency or contractor may choose not to weatherize a unit.
- xix. The client will be notified in writing of the reason for deferral and corrective action needed to proceed on the *Deferral of Services Notice* form. In such cases, the use of other existing resources such as MaineHousing's Home Repair Program, DOE Weatherization Readiness, Central Heating Improvement Program or other non-WAP funding available through the CAA will be explored.
- xx. Work on a deferred unit will not commence until conditions causing deferral have been corrected. Unfortunately, there may be cases where the problem is beyond the scope of the available funding and/or a case where the client/owner is not willing to cooperate. In either case the CAA must determine what is in the best interest of all concerned and proceed accordingly, ensuring appropriate documentation is in the client file.
- xxi. Once the applicant notifies the CAA that the deferral reason(s) have been resolved/addressed the applicant will receive priority for WAP providing they still meet WAP eligibility and there is a valid certified HEAP application.
- xxii. Clients have the right to appeal the decision to defer WAP services. They must make this request by contacting the Manager of Weatherization in writing within 30 calendar days of the date the Deferral of Services Notice was signed. The request must include the reason(s) why they do not agree with this decision along with any documentation that will show that the deferral reason was made in error or not accurate.

2. DOE Weatherization Readiness Funds

Weatherization Readiness Funds (WRF) are designated for use in addressing structural and health and safety issues of homes that are currently in the queue to be weatherized, but at risk of deferral or have already been deferred. This funding is specifically targeted to reduce the frequency of deferred homes that require other services, outside the scope of weatherization, before the weatherization services can commence. Units receiving WRF **must** result in a DOE completion defined as, "A dwelling on which a DOE-approved energy audit or priority list has been applied and weatherization work has been completed." Deferral does not mean that assistance will never be available, but that work must be postponed indefinitely until the problems can be resolved and the home can be made "weatherization ready." DOE WRF of up to \$15,000 can be made available to WAP eligible households for eligible home repairs that need to be completed before a dwelling can receive comprehensive WAP services. The following criteria must be met:

- a. WAP energy assessment must have been performed and WAP *Deferral of Services Notice* must be dated and signed before an Applicant can be considered for Weatherization Readiness Funds.

- b. Per unit limit is \$15,000.
- c. Any job with a measure above \$10,000 will require three bids.
- d. Photo documentation must be included in the client's file of the existing condition that created the deferral. Photo documentation of completed WRF project.
- e. When the required repairs have been completed and the home is ready for weatherization, the home **must** be weatherized using DOE funding.
- f. The DOE WAP job must be completed within 6 months of the WRF job being completed.
- g. Eligible WRF Measures:
 - i. Roof replacement
 - 1. One or more of the following criteria must be met prior to roof replacement. Documentation (written and photographs) of the following items must be included in the job file.
 - a. More than 33% of the roof square footage is structurally unsound (framing)
 - b. More than 50% of the roof surface has failed (missing shingles, failed shingles, etc.)
 - ii. Electrical repairs, including removal of knob and tube
 - iii. Wall, Ceiling and Floor repair
 - iv. Foundation or subspace repair
 - v. Exterior drainage repairs (e.g., landscaping or gutters)
 - vi. Plumbing repairs
 - vii. Roof Repair
 - viii. Repair or replacement of damaged door/windows
 - ix. Lead Paint
 - x. Asbestos (confirmed or suspected, including vermiculite), mold and/or moisture
 - xi. Other – When using this measure, itemizing the scope of work being performed in the comments is required. An example includes hiring a junk removal or moving company or renting a dumpster. All projects that fall under this category must receive prior written approval from a MaineHousing Weatherization Program Officer (Note: measures that are an allowable expense under DOE WAP or are eligible under another MaineHousing program (i.e. CHIP) are not an allowable WRF expense).

3. Procedures

- a. CAA auditor should visit the dwelling to identify and document with supporting pictures the discrepancies that resulted in deferral.
- b. If the CAA or contractor cannot, or chooses not to weatherize a dwelling unit, the applicant or owner/authorized agent must be notified with the use of the *Deferral of Services Notice*, which must include:
 - i. The nature and extent of the problem(s) and how the problem(s) relate(s) to the determination not to weatherize the dwelling unit;

- ii. Any corrective action required before weatherization services can be initiated;
 - iii. The homeowner is responsible for correcting the problem(s);
 - iv. Available programs and/or services that might be able to assist the applicant in addressing the issues of concern.
- c. If discrepancies are identified through a phone conversation with the homeowner, then the *Deferral of Service Notice* must specify that the deferral resulted from a phone conversation and specify the reason for deferral.
 - d. All documentation and supporting pictures justifying the decision to postpone services must be kept in the HEAT Job file.
 - e. **IMPORTANT:** Deferred applicants, including deferrals identified through a phone conversation, must be entered in HEAT Enterprise as a WAP job, deferred, and the *Deferral of Service Notice* uploaded to job's WAP Documents in HEAT Enterprise.

4. **Deferral of Services Notice**

- a. The *Deferral of Services Notice* must specify all the reasons that the weatherization job is being deferred and provide corrective action that would need to be taken in order for the job to receive weatherization services in the future. The *Deferral of Services Notice* must be uploaded to HEAT Enterprise and becomes a part of the applicant's record for future reference
- b. **IMPORTANT: The *Deferral of Services Notice* must provide the homeowner with a list of the tasks that need to be completed in order for the dwelling to receive weatherization services. In addition, the *Deferral of Services Notice* may also be used by other funding sources to determine the scope of work needed to make the dwelling weatherization eligible.**

5. **Deferral of Services Reporting**

DOE created a Deferral Classification Guide and Tracker for WAP Grantees and Subgrantees to track and manage deferred households and units, identify deferral issues classified by reason or repairs needed and underlying issues where relevant, and note remediation costs and sources.

- a. CAAs are required to track deferral projects using the DOE Deferral Tracking spreadsheet located on the partner portal. The spreadsheet is comprised of six (6) tabs:
- b. Guide Overview: provides an overview of the form (purpose, deferral tracking practices, deferral classification, and definition of and criteria for a Weatherization Deferral.
 - i. Deferral Tracking Instructions: information on when and how to change the information in the tracker.
 - ii. Key: provides definition on what should be entered in each column in the tracker
 - iii. Tracker: this is where the CAA would enter deferral project information.
 - iv. Analysis: this is an autofill tab based on the information entered into the Tracker tab.
 - v. Formula Sources: the information contained within this tab is required for the Analysis tab to function. **DO NOT DELETE** this tab.
- c. The following deferral information is required to be tracked:
 - i. Unit id
 - ii. WAP Intake Date
 - iii. Date(s) Deferred (if previously deferred by WAP)
 - iv. Date Weatherization Ready
 - v. Date Weatherized

- vi. Mailing Information (Street, City, State, Zip)
 - vii. Building Information (Type, Year Built, Fuel Type)
 - viii. Deferral Issue (Issue or Action Needed, WRF Category, Total Remediation Cost, Non-WAP Funding Source Used, WRF Fund Applied)
- d. CAAs will submit a copy of the Deferral Tracker to MaineHousing quarterly. CAA will upload the information to ShareFile on the first Friday following the end of the quarter.

K. Applicant and/or Owner Education

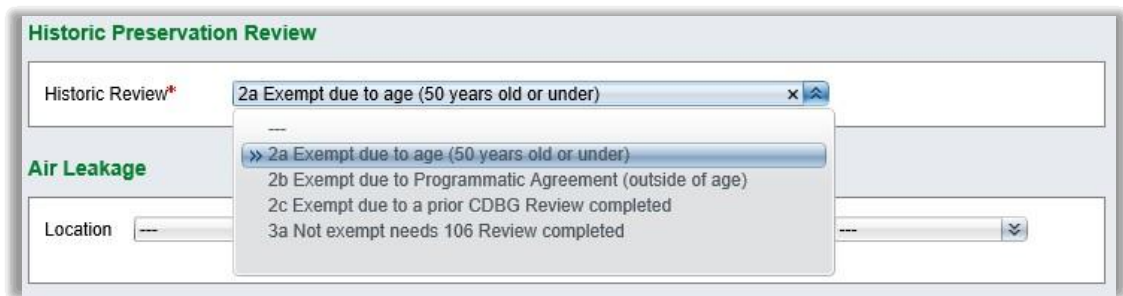
Energy auditors and inspectors are required to provide the applicant/owner education during all phases of the weatherization process. This includes, but is not limited to:

- (1) how the weatherization process will address health and safety issues;
- (2) explanation of energy-conserving measures that will be installed;
- (3) recommendations on how the applicant/owner can conserve energy; and
- (4) explanation of required maintenance for existing equipment, including equipment calibration requirements, added equipment, or energy-saving measures.

NOTE: *MaineHousing's CAA Portal contains several brochures that can be made available to occupants.*

L. Historic Preservation (Section 106 Review)

- (1) WAP must comply with the requirements of Section 106 of the National Historic Preservation Act (NHPA). Section 106 applies to historic properties that are listed in or eligible for listing in the National Register of Historic Places. As a result, MaineHousing is required to provide information regarding Section 106 compliance in an annual Historic Preservation Report to DOE.⁹
- (2) The Historic Preservation Review section of HEAT Enterprise must be completed for each dwelling being weatherized using federal funds. To determine whether Section 106 review is required, consider each of the following:



Step #1

Is the dwelling a mobile home?

If yes Section 106 does not apply, select 2b in the “Historic Review?” field in HEAT Enterprise. You can stop here.

If no go to Step #2 –

Step #2

What is the age of the home? Is it 50 years or newer?

If no Section 106 does not apply, select 2a in the “Historic Review” field in HEAT Enterprise. You can stop here.

If yes Home is 50 years or older, you must check to ensure the tasks being performed are exempt – Go to Step #3

Step #3

Review each task being completed. Are they listed on Appendix A or Appendix B (available on the CAA Portal for reference)? If **any** task being completed on the job is not listed as an exempt activity on **either** Appendix A or Appendix B, then the task will require review by the Maine State Historic Preservation Office **BEFORE** you can proceed with the job.

Exempt: If **ALL** items are exempt (noted on either Appendix A or Appendix B), then Section 106 does not apply, select 2b in the “Historic Review” field in HEAT Enterprise. You can stop here.

Non-exempt If there are items determined to be non-exempt, follow the procedures for submitting to the SHPO as outlined in the Executed Programmatic Agreement: and Section 3a in the “Historic Review” field in Heat Enterprise.

- (3) In accordance with WAP Memorandum 110, any proposed work on Tribal land will require prior review and approval from DOE. If DOE determines that consultation with the SHPO or Tribal Historic Preservation Office (THPO) is required, DOE will consult with the SHPO or THPO. This review can take thirty (30) days once complete information is received by the SHPO or THPO. Separately, DOE is also responsible for government-to-government consultation with Tribes, as needed. DOE has created a Historic Preservation Worksheet (HPW) that is located on the Partner Portal along with an HPW example. The HPW is to be used when work is planned on homes or buildings located on Tribal land that are forty-five (45) years or older.
- A. The HPW must be completed by the subgrantee and submitted by the Grantee to their DOE Project Officer (PO). Following review of the HPW, the DOE PO sends the HPW to the DOE National Environmental Policy Act (NEPA) Office.
- B. The DOE NEPA Office will review the HPW to ensure compliance with Section 106 of the NHPA.
- C. **No weatherization work may begin until this process is complete and approval to begin work is given by DOE.** For additional information, please refer to WPN 10-12, WPN 19-6, Memorandum 063 and Memorandum 066.

SECTION 7: APPLIANCE REPLACEMENT/REPAIR

A. Appliance Replacement

All units being weatherized may receive at least one major appliance replacement. In addition to the appliance replacement, each unit may also receive a hot water heater replacement.

B. Funding

All replacement appliances can be funded by HEAP Wx. Refrigerator replacement can also be funded by DOE.

C. Cost and Scope

- (1) The costs and scope of appliance repair/replacement should be incidental to the energy conservation measures (ECMs) installed in the dwelling unit.
- (2) The weatherization technician deems the repair/replacement necessary.
- (3) Appliance repair/replacement may be categorized under Health and Safety if:
- The repair/replacement is necessary to make weatherization materials effective or to allow weatherization to occur; and
 - The CAA can manage/balance their H&S PUA within the \$1,600 limit.

NOTE: *MaineHousing does not administer a stand-alone Appliance Replacement program.*

D. Eligibility

To be eligible for appliance replacement or repair services, the household must be HEAP eligible and meet the following qualifications:

1. Electrical Appliances

Be a homeowner or renter who receives electric services through a residential meter and has an active electric service account for the dwelling.

2. Propane/Natural Gas/Oil Appliances

Be a homeowner or renter who has an active account for the dwelling unit with a licensed vendor.

3. 1-4 Unit Dwellings

Must meet one of the above qualifications. Additionally, the dwelling unit must be occupied by a HEAP-eligible Household (as defined in [Section 4](#), Eligibility).

E. Requirements

1. Eligible Appliances

- a. Refrigerators
- b. Freezers
- c. Clothes washers/dryers
- d. Water heaters
- e. Cooktops
- f. Wall or counter-mounted ovens
- g. Freestanding ranges that include both the oven and the cooktop in one integrated unit

2. Energy Star Certified

All replacement appliances must be Energy Star certified (does not apply to cooktops, wall or counter-mounted ovens, and freestanding ranges).

3. One-for-One Replacements Only

For each appliance replaced, an appliance must be surrendered for recycle. The replaced appliance cannot be kept in service and must be disposed of properly.

- a. Replacement appliance must use the same energy source as existing appliance;
- b. The replacement appliance size must consider the household's needs and be appropriate for the occupancy capacity of the dwelling unit;¹⁰
- c. The CAA is expected to have controls in place to ensure costs are reasonable and customary for comparable replaced appliances

4. Replacement Criteria

An appliance is eligible for replacement if it is:

- a. Old/inefficient (*i.e.*, nearing or at the end of its useful life); or
- b. Inoperable or malfunctioning and cannot be repaired or the repair would not be cost effective. The need for replacement must be documented by a licensed/certified technician or energy auditor, which includes details about the condition and age of the

existing appliance.

5. Replacement Justification

CAAs must enter a comment in the Appliance section of HEAT Enterprise explaining the need for repair/replacement.¹¹ The comment needs to include a statement regarding the condition of the existing appliance, age of the appliance and reason for repair/replacement. *For example*, the appliance was replaced because it was not working and repairs were too costly. If the replacement was recommended by a vendor, a copy of the vendor’s recommendation should be uploaded to WAP Document in HEAT Enterprise as part of the required document bundle.

F. Applicant and/or Owner Education

The CAA must ensure that the homeowner is educated about the operation, maintenance and basic trouble shooting of all appliance components, including but not limited to the following:

- (1) Provide instruction on how to operate the appliance.
- (2) Provide copies of user’s manuals, warranties and other written material applicable to the appliance and its operation.
- (3) Provide the homeowner with contact information should the homeowner have questions regarding the operation of the appliance and/or the appliance need servicing.

G. Lighting

- a. All incandescent bulbs in use for 1 hour or more each day, will be evaluated for replacement.
- b. Incandescent Bulbs in Vanities, Flood Lights, and fixtures candelabra and other non-standard sized bulbs will be evaluated for replacement with similar LED’s.
- c. Incandescent Can lighting will be evaluated for replacement with LED Retrofit Can Lights. Airtight LED retrofit can lights should also be considered for installation as part of an air-sealing measure.
 - 1. LED’s will be used wherever possible.

SECTION 8: PROCESSING WEATHERIZATION JOBS

CAAs must create, audit and invoice all jobs using HEAT Enterprise. *See* [HEAT Weatherization Software Users Guide](#) for more information. Prior to conducting the energy audit, the CAA must verify the ownership of the unit/building and secure confirmation of the following:

A. System of Record

HEAT Enterprise is the “system of record” for the WAP program. That means MaineHousing relies on the data entered into HEAT Enterprise to monitor jobs, track production, and report to stakeholders. All jobs must be entered into HEAT Enterprise in real time, even if the job is subsequently deferred. *See* [HEAT Enterprise Users Guide](#).

NOTE: Dates affect all reports, whether using filtered or system reports.

MaineHousing does not consider a job in production until the job is entered (“scheduled”) in HEAT Enterprise.

B. System Dates

HEAT Enterprise system dates tell a story and affect all reports. Get in the habit of entering (scheduling) the job in HEAT Enterprise as soon as the client is contacted, which will provide a more accurate picture of the job's timeline and allow for the use of HEAT's management tools, such as number of jobs in the pipeline, etc. When entering jobs, the system may default a date, requiring the user to change the date and enter correct dates. The pipeline is derived from the following system dates:

SYSTEM DATES	DEFINITIONS
<i>Application Date</i>	Date client applied for HEAP fuel assistance benefits. This date is obtained from HEAP Cloud.

<i>Certification Date</i>	<p>Date client was certified eligible to receive HEAP fuel assistance benefits, thereby making the household eligible to receive CHIP/WAP services. The date is obtained from HEAP Cloud. The system will automatically calculate the <i>Expiration Date</i>.</p> <p>It is important that the correct <i>Certification Date</i> be verified/entered in HEAT Enterprise on the Client Information screen for each job. The date entered provides verification that the job is HEAP-eligible for services.</p> <ol style="list-style-type: none"> Each job retains the information on the Client Information screen used to create the job. The system may default the date to the job creation date and/or application copied date. The agency must correct this date by confirming the Certification Date in the HEAP Cloud system. HEAT uses the <i>Certification Date</i> to generate several reports and filters. An inaccurate date yields inaccurate results.
<i>Expiration Date</i>	12 months from the <i>Certification Date</i> . HEAT Enterprise auto-calculates this date.
<i>Assessment Date</i>	<p>The record's <i>Assessment Date</i> on the Audit Information screen should always be the following:</p> <ol style="list-style-type: none"> <u>Deferred jobs</u>: Date contact was made with the Applicant for services. <u>WAP Jobs</u>: Date Contact was made with applicant and job will move forward. <p>HEAT Enterprise will default the <i>Assessment Date</i> to the date the job was created in the system. Change the date. <i>Assessment Date</i> is the “Scheduled” date on several reports.</p>
<i>Deferred Date</i>	<p>The date the job was deferred and client notified. The Deferred Date is entered on the Audit Information screen.</p> <p>IMPORTANT: A completed <i>Deferral of Services Notice</i> must be uploaded to HEAT Enterprise WAP Documents for all deferred jobs and a copy of the notice must be provided to the Applicant.</p>
<i>Audit Date</i>	Date the energy audit was performed (the system will default to the date the Audit was entered into the system)
<i>Work Order Date</i>	<p>Date when the work order was generated in the system.</p> <p>NOTE: The assumption is that a work order is delivered to the contractor on or about the work order date.</p>
<i>Installation Date</i>	Date the contractor invoice was received and prices/quantity verified in the system.
<i>Inspection Date</i>	CAAs should use the date the CAA and Applicant signed the <i>Inspection Completion</i> form.
<i>Invoice Date</i>	Date the CAA submitted the invoice to MaineHousing.
<i>Complete Date</i>	<p>Date the job’s invoiced measures are submitted to MaineHousing for payment. All measures associated to a job must be invoiced and the invoice(s) submitted to MaineHousing before a job will be auto-assigned a complete date.</p> <p>IMPORTANT: Every time a job is taken off an invoice (for whatever reason) the Complete Date will default back to blank.</p>
<i>Paid Date</i>	Date MaineHousing paid the invoice.

Program Forms

GUIDANCE: The difference between the *Assessment Date* and the *Complete Date* is the number of days to process the job (from beginning to end). This data provides useful information for MaineHousing and CAAs.

The CAA must use forms provided or approved by MaineHousing to administer WAP. Additional forms may be

used by the CAA provided the forms have been reviewed and approved by MaineHousing. Forms will be revised as needed and uploaded to the CAA Portal. See [Section G, Required Documentation](#).

C. Signatures and Dates

It is important that all forms signed by the Applicant, Contractor or CAA representative include the date of signature. Never have blank forms signed and dated prior to an event happening (e.g., completion). The signature date denotes when the parties agreed to the terms contained in the signed document(s).

IMPORTANT: Without an Applicant signature and date on the *WAP Consent* or *Inspection Completion* (and other required forms), the federal and state monitors are not able to verify when the client agreed to receive services and the conditions for receiving services as well as when the Applicant agreed that all services were satisfactorily completed.

Colored Digital Photographs

- (1) CAAs must upload clear colored digital photographs to the audit section, “Upload Photos” section of HEAT Enterprise or a picture bundle to WAP documents.
- (2) Photos of all combustion appliances and all combustion appliance diagnostic testing are required to be uploaded to HEAT energy audits. This includes gas ranges and gas dryers as well as electric heating appliances. Photos of all pressure testing and housing diagnostics shall also be uploaded. Photographs must represent BOTH audit and inspection data.
- (3) Pre-weatherization photos that justify entries in the energy audit and the work order must be provided. In addition, post weatherization photographs must be provided to verify installed measures (work performed by the contractor/crew). Some installed measures may not be accessible at inspection. It is expected that every effort will be made to anticipate this and obtain photographs in progress or from the contractor.
- (4) MaineHousing also requires that photographs of all aspects of the dwelling exterior be provided to allow MaineHousing to conduct desk reviews of the job.

NOTE: *At least one photo of every item on the work order/inspection is required.*

D. Required Documentation

1. WAP Jobs

- a. CAAs must upload applicable required documents to the job’s WAP Documents section of HEAT Enterprise.
- b. All required documentation must be complete, signed and dated by the appropriate individual(s). Other household member signatures are not acceptable. “Owner” is defined as the owner listed on the Proof of Ownership document.
- c. Required documents include the following:

NOTE: *Be sure that documents are signed and dated before uploading the documents to HEAT Enterprise.*

Document	Explanation
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<i>WAP Consent</i>	Must be signed and dated by property owner. The <i>WAP Consent</i> form also contains a “Radon Informed Consent” section, which must be signed by the applicant/owner in consideration of any WAP services received. ¹²
Proof of Ownership	Proof of ownership includes current property tax bill, statement from the local tax assessor, town clerk or similar municipal official. Note: Property deeds are not considered adequate proof of ownership.
<i>Power Source Signoff</i>	Must be signed and dated by contractor and property owner.
ASHRAE Calculation	Provide in HEAT software
<i>Final Ventilation Checklist</i>	ASHRAE compliance.
<i>Inspection Completion</i>	Must be signed and dated by property owner and CAA QCI inspector after inspection of the weatherization work performed. ¹³
<i>Thermal Barrier Application</i>	Must be provided if spray foam was used as insulation measure in an occupiable space.
<i>Occupant Health Pre-Screening Form</i>	Must be signed by applicant in consideration of any WAP services received.
<i>Insulation Certificate</i>	Must be provided if insulation measures were included in the weatherization services provided to the dwelling. A copy or photograph of the certificate is sufficient proof that the Insulation Certificate was left with property owner. CAAs may require a copy from the weatherization contractor be submitted with the contractor’s invoice so CAA inspectors may give a copy to the applicant/owner.
Contractor Invoice(s)	Must be provided for all contractors who performed weatherization activities. Contractor invoices do not need to be modified to remove tasks that were paid for by Leveraged Funding. Note: MaineHousing will compare contractor invoices to work orders and installed measures in HEAT Enterprise to get a full picture of weatherization work performed on the unit.
<i>Release of Liens</i>	Must be completed, signed and dated by each Contractor as a condition of being paid for weatherization work performed on the unit.
Pre, Post, Audit and Inspection Photographs	Refer to Section 8.B.
Drawings/Footprint and Elevation Photographs	Drawings must be clear and legible. Must include dimensions and orientation (north, south, east, west). Footprint(s) and elevations combined must be adequate to allow MaineHousing to verify what was entered in the energy audit as part of the desk review of the job.
CTE Documentation	Acceptable documentation includes invoice from licensed vendor and/or CHIP Technician Report and/or picture of CTE service record/tag that clearly depicts the date of service and licensed vendor name.
<i>Deferral of Services Notice</i>	Refer to Section 6.J.
<i>Rental Agreement</i>	Refer to Section 6.C.2. Must be completed, signed and dated by property owner/Landlord.
<i>Approved Waiver Request</i>	Refer to Section 6.G

2. Appliances Repair/Replacements

- a. CAAs must upload applicable required documents to the job’s WAP Documents section of HEAT Enterprise if the weatherization job included appliance repair/replacement.
- b. The following required documents must be provided:

Document	Explanation
<i>Appliance Replacement Consent</i>	Must be signed and dated by property owner.
<i>Photograph of appliances</i>	Must provide a photograph of the existing appliance (with tag, if possible) and a photograph of any replacement appliance(s).
<i>Technician/Energy Auditor Evaluation</i>	CAA’s explanation verifying the need for appliance replacement allows MaineHousing to verify as part of the State Monitor’s desk review of the job. A copy of the technician’s report or Note to File is acceptable documentation and should include the age and condition of the existing appliance and reason for replacement.
<i>Appliance vendor invoice (with disposal confirmation)</i>	If the invoice does not contain disposal confirmation, the CAA should provide a Note to File confirming disposal.
<i>Release of Liens</i>	Must be completed, signed and dated by each appliance vendor as a condition of being paid for appliance vendor as well as appliance and weatherization work performed on the unit.

E. **MaineHousing Forms**

- (5) CAA must always use the forms contained on the CAA Portal. MaineHousing posts only current forms on the CAA Portal, which are updated/edited from time-to-time. All MaineHousing forms contain a footer date.
- (6) All required program forms must be complete, signed and dated by the appropriate individual(s).
- (7) Applicants/Owners must never pre-sign blank forms.
- (8) All forms contain a footer date. The date the *WAP Consent* form is signed determines which forms footer dates are applicable.

IMPORTANT: The submission of outdated forms or forms modified without the express written consent of MaineHousing may result in an open item by the State Monitor that must be corrected before payments can be made. This means CAAs will need to obtain signatures from applicant/owners and contractors on forms in effect when the *WAP Consent* is signed.

F. **Document Checklist**

The Project Cover Sheet contains a Document Checklist specifying what needs to be submitted to MaineHousing for each job. The Project Cover Sheet is posted on the CAA Portal and is also included in the WAP forms bundle.

G. **Document Submission**

Before a WAP job can be invoiced, CAAs must upload required documents for the job into the “WAP Document” section of HEAT Enterprise. See the [HEAT Weatherization Software Users Guide](#) for more information.

- (9) CAA can upload a document bundle or individual documents in the appropriate slot for each completed job to HEAT Enterprise > WAP Documents. Bundles should be uploaded to the “Bundle – WAP Final Documents” slot.
- (10) Upon review of invoiced jobs, the State Monitors will note missing documents as an “open item,” and notify the CAA.

- (11) CAA should upload missing documents resulting from open items to the designed document slot in HEAT Enterprise>WAP Documents. The file name of the missing document could contain language that would easily identify that the document submission is in response to an open item. *For example*, if the Proof of Ownership was insufficient and open item issued to CAA. The CAA would upload the correct Proof of Ownership to the “CHIP-WAP Proof of Ownership” slot in WAP Documents. The Proof of Ownership file name could be “POO in response to open item.”

SECTION 9: WEATHERIZATION CONTRACTORS

A. Expectations

- (1) Contractor staff must behave in a professional manner at all times, as they function as WAP representatives.
- (2) CAA and contractor staff must use all required Protective Personal Equipment (PPE) and comply with Federal, state and local codes and Program policies; including, but not limited to OSHA and EPA guidelines.

B. Prohibited Activities

- (3) Drinking intoxicating beverages, using illegal drugs, or the inappropriate use of tobacco products and/or prescription drugs while on the job or in interactions with the occupants of the dwelling.
- (4) Harassment and/or violence, including but not limited to, physical, verbal or sexual.
- (5) Presence of weapons or firearms at the job site.
- (6) All other illegal and/or unprofessional activities not specified above.

C. Weatherization Contractor Bids

CAAs are required to follow their respective agencies procurement policy when obtaining contractor bids. Each year CAAs are required to obtain material and labor prices from contractors as part of a bid process. CAAs must use the *Contractor Bid Sheet* available from HEAT Enterprise to secure prices. See [HEAT Weatherization User Guide](#) for more information. CAA must provide complete approved *Contractor Bid Sheets* to MaineHousing for each contractor so that contractor prices can be uploaded to HEAT Enterprise. The following is an overview of the Contractor Bid process:

1. Timeline

CAA must contact MaineHousing with their timeline at least two weeks prior to initiating the bid process. This includes dates, times and locations for advertisement, contractor pre-bid meetings (if any), bid due date.

2. Invitation to Bid

CAA must consult with MaineHousing’s Technical Services Specialist to develop the “Invitation to Bid” documents. The Invitation to Bid must include Contractor bid document templates, which are available on the CAA Portal, and include the following:

- a. *Invitation to Bid*
- b. *Contractor Application*
- c. *Weatherization Services Contract*

3. Notice in Acceptable Advertising Media

- a. In order to ensure open and fair opportunity for all interested and potentially qualified Weatherization contractors, the CAA shall provide notice in acceptable advertising media outlets¹⁴ once a year to invite contractors to submit bids to participate in the Program. The invitation to bid notice must contain information regarding where contractors can obtain invitation to bid forms, delivery requirements, and deadlines when bids are due.

NOTE: Using the various “templates” available on the CAA Portal is not mandatory. Templates are provided to offer best practice language, guidance and convenience for CAAs.

- b. CAAs may also invite contractors by sending Invitation to Bid notices directly to those contractors the CAA has worked with in past projects.
- c. CAAs may also send the Invitation to Bid notice to contractors from any resources contractor information can be obtained to expand the potential pool of bids.

4. Pre-Bid Meeting

MaineHousing reserves the right to attend pre-bid meetings in person or through virtual attendance.

5. Contractor Bid Submissions

Contractor bids submitted in response to an Invitation to Bid must be submitted to the CAA on or before the deadline date identified on the Invitation to Bid.

6. CAA Submits Approved Contractor Bid Sheets to MaineHousing

CAAs are required to electronically submit the Contractor Bid Sheet in Excel format to MaineHousing for approved contractors. All Contractor Bid Sheets must include the start date and end date (date range) for the contractor prices. CAA must not alter or change the Excel format of the Contractor Bid Sheet.

NOTE: Contractor bid prices are uploaded into HEAT Enterprise with an effective date range. The work order date determines the applicable contractor price(s) for each job.

7. Bid Sheets Uploaded to HEAT Enterprise

MaineHousing will upload the completed Contractor Bid Sheets to HEAT Enterprise for approved contractors.

8. Extend Date Range for Contractor Bid Prices

It is expected that CAAs solicit new bids on a yearly basis. Extenuating circumstances may require extending the contract for a short period. CAAs must provide MaineHousing with a copy of written permission obtained from the approved contractor to extend the end date for the contractor’s bid prices. A contract cannot be extended more than three months without the approval of MaineHousing. An *Extension to Weatherization Services Contract* template is available on the CAA Portal.

D. Criteria for Contractor Approval

The following represents a list of the minimum criteria for contractors selected to perform work funded by WAP each year.

1. Contractor Requirements

- a. Complete/sign *Contractor Application*.
- b. Complete/sign *Weatherization Services Contract*.
 - i. Provide copies of insurance certificate with the following minimum coverage:
 - ii. Pollution Occurrence Insurance (POI) up to \$1,000,000 per occurrence (insurance binder must be provided by the contractor upon being awarded a Weatherization Contract);
 - iii. General Commercial Liability in the amount of \$1,000,000 per occurrence/\$2,000,000 aggregate or more (Claims Made Policy is acceptable);
 - iv. Worker’s Compensation Maine Statutory Limits or state waiver saying that the contractor is not required to have worker’s compensation because the contractor is working alone or with family; and
 - v. Vehicle Liability Insurance (Maine limit required).
- c. Provide copies of licenses to perform specialized work such as electrical, plumbing, and heating.

- d. Provide copies of certificates stating that the contractor and contractor's company are Lead Renovation Repair and Painting (RRP) certified through the Environmental Protection Agency (EPA).

REMINDER: For jobs that may potentially disturb lead-based paint, a minimum of one on-site worker must be RRP certified.

- e. Contractors who are new to WAP must provide at least two (2) recent residential references.
- f. Contractor must be eligible to receive an award under applicable laws and regulations.

2. CAA Responsibilities

- a. Review the application and supporting documentation package submitted by each contractor submitting bids, including references for first-time WAP contractors.
- b. Review the package for appropriate licenses and training.
- c. Search Debarment List on SAMS.GOV to make sure contractor can receive grant money from the Federal Government.
- d. Complete a *Contractor Eligibility Verification Form* for each approved contractor and retain a copy in the CAA's records.

NOTE: CAAs must maintain applications, agreements, and current insurance certificates, licenses and other required certifications on file at their office. These documents are to be made available to MaineHousing upon request and at the time of audits/monitoring visits.

3. Notification to Approved Contractors

- a. CAA must notify respective contractors that their *Contractor Application* and bid submission has been approved or rejected. A *Notice to Contractor* template is available on the CAA Portal.
- b. CAA must provide contractors with current Program forms, including:
 - i. *Power Source Sign Off*
 - ii. *Release of Liens*
 - iii. *Thermal Barrier Application Sign Off*
 - iv. *Insulation Certificate*

NOTE: The CAA Portal contains current forms. It is important to always download forms directly from the CAA Portal for each job since forms are subject to revision throughout the program year.

E. Weatherization Services Contract

- (7) CAAs must enter into a *Weatherization Services Contract* with each approved contractor, which binds the contractor to follow the Standard Work Specifications (SWS) outlined in the Maine Field Guide when completing WAP-funded work. The *Contract* must also include the required conditions set forth in these Guidelines.
- (8) The *Weatherization Services Contract* must contain language that contractor agrees to ensure that the standard work specifications for work quality outlined in WPN 15-4, Section 2, will be met.
- (9) The *Weatherization Services Contract* should set forth that the standards of workmanship will be at the core of the Program and that training and technical assistance (T&TA) will be a part of the contractor's relationship with the Program.
- (10) The *Weatherization Services Contract* must address other important requirements of the contractor, including but not limited to the following. The contractor is required to:

- a. Indemnify and hold harmless the CAA, MaineHousing and the property owner against liabilities.
 - b. Furnish all labor and supervision of labor for a proper job.
 - c. Furnish all equipment, tools and supplies for a proper job.
 - d. Only perform the work authorized by the work order issued by the CAA to the contractor.
 - e. Commence work within a minimum of 30 calendar days of the issuance of an authorized work order and complete the work within the specified time¹⁵.
 - f. Provide payment for weatherization work only after work is completed, inspected, and accepted as satisfactorily completed by the CAA. (Staged payments may be authorized by the CAA.)
 - g. Be paid by the CAA within 30 calendar days of receipt of the contractor invoice. *See [Section 9.F](#), Payment to Contractors.*
 - h. Comply with laws prohibiting discriminatory practices against any person or groups of persons, as specified.
 - i. Comply with anti-kickback laws.
 - j. Comply with wage and hour laws, including overtime.
 - k. Provide safe working conditions for their workers.
 - l. Permit inspection of all work by authorized local, state, and federal agencies.
 - m. Guarantee all work for one (1) year from the date of final acceptance by the CAA.
 - n. Repair any and all damage resulting from the work performed under the agreement.
 - o. Attend all trainings as may be required by the CAA, MaineHousing, and WAP regulations.
 - p. Maintain current all required licenses and certifications applicable to the work under the *Weatherization Services Contract*.
 - q. Obtain all necessary permits.
 - r. Retain and allow authorized access to all records for a period of three (3) years from the final payment; or, until all audits, litigation or other actions are resolved.
 - s. Certify that neither the contractor nor its principals are debarred or suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation by a federal department or agency.
 - t. Meet procurement requirements under MaineHousing policy and/or WAP regulations.
 - u. Furnish proof of required insurance coverage as defined in [Section 9.D.1](#).
 - v. Provide contact information for any subcontractors to the CAA and receive approval from the CAA to use subcontractors on WAP jobs.
- (11) CAAs are responsible for ensuring that the provisions of the *Weatherization Services Contract* are enforced.
- (12) Build America, Buy America – Per BABA requirements, most projects typically addressed by WAP will *not* be subject to these requirements. **Only weatherization on *public housing*, or on *privately owned* buildings that serve a public function are required to comply with the BABA requirements.** For more information, please refer to WAP Memorandum 104.

F. Payments to Contractors

1. Inspected Work

CAAs must pay contractors for work performed within 30 calendar days of receipt of the contractor's invoice. CAAs must perform any required inspections of the sub-contractor's work within this thirty-day time period.

2. Add Work

If upon inspection, the CAA adds work not called for in the original work order, the CAA must still pay the contractor for the original work performed within 30 calendar days of receipt of the contractor's original invoice.

3. Rework

If upon inspection, the CAA issues a contractor a "rework" order due to deficient or incomplete work on the part of the contractor, the CAA may delay payment to the contractor. Once the contractor completes the rework, the CAA must inspect the work and pay the contractor within 30 calendar days of the date the rework is completed and passes inspection.

G. Contractor Termination

The *Weatherization Services Contract* shall remain in effect for the time period specified unless the agreement is terminated by the CAA because the contractor has violated any part of the Contract. Before a *Weatherization Services Contract* can be terminated:

- (13) The CAA must consult with MaineHousing.
- (14) Notify MaineHousing in writing that the *Contract* is terminated and provide cause for the termination;
- (15) MaineHousing will approve the termination and provide the CAA with guidance on how to notify the contractor.

SECTION 10: FUNDING JOBS

A. Per Unit Averages (PUA)

Per-Unit-Averages (PUA) apply to each applicable contract term. Each CAA is responsible for managing tracking their actual PUA amounts to ensure they are within the limits listed herein.

1. **DOE**: ≤ \$8,497.00.
2. **DOE-BIL**: funded grants will follow a Seven year average of annual PUA limits from program years 2022-2029.
3. **HEAP Wx**: MaineHousing has not set a PUA so as to give CAAs some flexibility.
4. **Health and Safety (H&S)**: DOE ≤ \$1,200
5. **Incidental Repairs (IR)**

Total cost of Energy Savings Measures (ECM) equals
Conductive + Air Infiltration + Mechanical categories on the work order.

- a. ***DOE funded projects***: ≤ 15% of the total cost of ECM tasks.

6. Calculating Per Unit Average (PUA)

b. ***DOE funded projects***:

DOE requires that WAP must maintain an average cost (not a maximum or minimum) per unit. It is understood that some units will cost more than others to weatherize. However, the average cost per unit over the contract period

NOTE: CAAs can only install WAP approved IR measures. For example, roof replacements are not allowed and waivers cannot be granted.

cannot exceed the PUA prescribed by DOE for the current program period. All labor, materials, incidental repairs, and support costs incurred during the contract period are used to calculate the PUA.

PUA Calculation:

$$\text{Labor} + \text{Materials} + \text{Incidental Repairs} + \text{Support Costs} \div \text{\# of Units} = \text{PUA}$$

- c. ***HEAP Wx funded projects:*** MaineHousing has not set a PUA so as to give CAAs some flexibility. However the assumption is that the PUA for labor, materials and support costs will track similarly to DOE. Based on experience, MaineHousing and CAAs may revisit the need for a PUA in the future.***DOE-BIL Funded projects: Only applicants at or below 200% federal poverty level can utilize BIL funds on their weatherization project.***

B. Split Funding

1. DOE Funds

CAAs may not use DOE funds from multiple program years on the same job.

2. HEAP Wx Funds

CAAs must use HEAP Wx funds from the oldest fiscal/program year first. If the oldest open grant does not contain sufficient funding multiple grant years may be split billed using the oldest funds first.

- a. CAAs may use DOE, HEAP Wx and leveraged funds for the same job. See HEAT Weatherization Software Users Guide for more information on split funding job measures.
- b. CAAs may not split fund WAP jobs measures with CHIP funds.
- c. CAAs may not use annual DOE funding and DOE-BIL funding on the same job.
- d. Weatherization measures with an SIR less than 1.0 (<1) must be billed to HEAP Wx
- e. When a job is being split funded by DOE or HEAP Wx each funding source must have an ECM cost. Funding Health & Safety or Incidental Repair only is not a countable weatherized unit.

3. Leveraged Funding

- a. MaineHousing is required to report any jobs that benefited from leveraged funding so capturing those tasks in HEAT Enterprise is crucial to accurate reporting.
- b. Any job tasks not assigned to DOE and/or HEAP Wx should be inspected and assigned to Leveraged Funding in HEAT Enterprise so that the contractor invoice, inspected tasks and the Selected Measures list all match. This provides a true picture of what was done to the dwelling.
- c. See the HEAT Weatherization Software Users Guide for more information.

SECTION 11: INVOICING JOBS

All indirect and direct costs must be invoiced and submitted to MaineHousing through HEAT Enterprise. See HEAT Weatherization Software Users Guide for more information.

A. General Requirements

- (1) All jobs must be completed and invoiced to MaineHousing within 6 months from the date of the energy audit. Jobs that are not completed within this timeframe will need to have approval from MaineHousing prior to being invoiced.

- (2) CAAs can only invoice MaineHousing for a job after all work has been finished and the final inspection has passed. Final inspections must be completed and passed by a BPI Certified Quality Control Inspector (QCI).
- (3) Jobs with weatherization tasks or health and safety issues identified at final inspection must be re-inspected and “passed” after reworks or mitigation tasks are installed, even when such tasks are funded with non-WAP funds. Photo documentation of WAP rework is required.
- (4) CAA must upload all required documentation in HEAT Enterprise in order for the job to be eligible for review, approval and payment by MaineHousing.
- (5) CAAs must submit invoices to MaineHousing by the 20th of each month for the preceding monthly billing. *For example*, February 2022 monthly billings must be submitted on or before March 20, 2022. MaineHousing reserves the right to reject late invoice submissions and require that the CAA remove any or all jobs and submit the job(s) on a subsequent month’s invoice.
- (6) Incomplete or unacceptable invoices will be returned to the CAA for correction and will not be paid until corrected and approved by MaineHousing.
- (7) MaineHousing reserves the right to withhold payment until the HEAT invoice is received and approved as accurate and final.
- (8) To ensure that jobs are invoiced during the correct grant timeframe, MaineHousing has established the job “end date” as the date the applicant/owner signs the *Inspection Completion* form.
- (9) Jobs cannot be invoiced to a grant if the “end date” is outside of the grant period.¹⁶

B. Grant Closing Invoice Requirements

WAP funding periods and closing requirements are prescribed in Subgrant Agreements and Amendments to the Subgrant Agreement. In addition, MaineHousing maintains Grant closing date requirements on the *Grant Funding Periods and Closing Dates* publication, which is updated whenever closing requirement dates change and posted by MaineHousing on the CAA Portal.

C. Paid Invoices

Once MaineHousing has paid an invoice, the costs associated to the invoice are locked and cannot be adjusted. If the CAA needs to adjust any indirect costs previously paid by MaineHousing, the CAA must allocate a negative costs to the indirect budget item in a subsequent monthly billing with a note in the monthly invoice comment section to explain the negative costs associated to the monthly billing. See the [HEAT Weatherization Software Users Guide](#) for guidance on initiating negative billings.

- (10) The negative billing feature in HEAT Enterprise is only available for indirect costs.
- (11) If a direct costs associated to a paid job needs to be adjusted, the CAA should consult a MaineHousing Weatherization Program Officer for guidance.

¹⁶Source: Weatherization Guidance WPN 17-5.

SECTION 12: MONTHLY BILLING PROCESS

HEAT Enterprise is the system of records for all WAP, MHPP and CHIP jobs, including budget allocations and maintenance. *See* the [HEAT Weatherization Software Users Guide](#) for guidance on managing budgets, creating invoices, and invoicing costs in HEAT Enterprise. *See* Appendix A for the Monthly Billing Process Flowchart.

CAAs must submit billing invoices in HEAT Enterprise on or before the 20th (or the first working day following the 20th day if the 20th falls on a weekend or a holiday) of each month for the previous month's activity.

1. Late billing submissions will not be accepted by MaineHousing without written approval by an *EHS Program Officer*.
 - a. CAA must request an extension to submit a late invoice by emailing MaineHousing at weatherization@mainehousing.org before the billing submission is due in HEAT Enterprise.
 - b. Only an *EHS Program Officer* may authorize up to 3 days for late submission. CAAs not able to submit invoices within the prescribed timeframe must associate all costs (direct and indirect) to a subsequent month's billing.
 - c. Any request to submit late invoices beyond 3 days must be approved by *EHS Manager of Weatherization*.
2. MaineHousing will reject (release and return to the CAA) all invoices submitted after the 20th of each month not previously approved by EHS for late submission.

A. CAA Creates Monthly Invoice(s)

CAA creates monthly invoice(s) in HEAT Enterprise for each Program/Program Year by adding jobs (direct costs) and/or adding administrative and support costs (indirect costs). Creating the monthly invoice(s) identifies the invoice status as "Open" and allows the CAA to modify and/or add costs at any time prior to submitting the invoice to MaineHousing.

NOTE: Costs are automatically deducted from the CAA's budget allocation whenever jobs are added to an invoice.

B. CAA Submits Monthly Invoice(s)

CAA "Submits" each monthly invoice through HEAT Enterprise. Submitting an invoice in HEAT Enterprise changes the invoice status to "Submitted" and locks the audit information for any job contained on the invoice.

C. MaineHousing Retrieves/Reviews Monthly Invoice(s)

MaineHousing's Technical and Compliance State Monitors ("State Monitors") will conduct desk reviews on invoiced jobs prior to payment and will utilize the WAP Compliance Review Checklist and the WAP Technical Review Checklist (Review Checklists) to record findings for each job reviewed. *See also* [Section 15](#), Program Oversight and Monitoring.

D. Compliance and Technical State Monitors Review Invoice(s)

- (1) State Monitor creates a Review Checklist for each job on the invoice¹⁷; and
- (2) State Monitor reviews each job and makes notation(s) directly on the job's Review Checklist, including any open items that require resolution from the CAA; and
- (3) State Monitor uploads the job's Review Checklist (with notations and/or approval signoff) to HEAT Enterprise>WAP Documents.

E. Invoice Passes Review

Once all jobs on a monthly invoice pass review, State Monitors will send a confirmation email to the CAA that the monthly invoice(s) has passed Compliance and/or Technical review.

F. Jobs with Open Items

1. MaineHousing Initiates Open Item Process

Compliance and Technical State Monitors will:

- a. Release all HEAT invoice(s) that contain the applicable job(s) so that CAA can resolve any open items.

FYI: State Monitor will make a notation in the “Comment” section on the applicable invoice Payment screen in HEAT specifying the date the invoice was release with monitor’s initials.

- b. Send CAA an email from the Weatherization@mainehousing.org mail box with a list of job numbers that have open items. Personal identifiable information will not be included in any email communications with the CAA unless sent securely.
- c. Upload the Review Checklist containing open item notations to HEAT Enterprise>WAP Documents for each applicable job.

2. CAA Options to Address Jobs with Open Items

CAA’s have two options to address open items identified by MaineHousing State Monitors:

OPTION 1:

CAA corrects the open item(s) for the affected job(s). CAAs must adhere to the following process when addressing open items:

- (1) Receive/review email from MaineHousing;
- (2) Download the Review Checklist from each job’s WAP Documents in HEAT Enterprise (which contains the open item(s) notations);
- (3) Correct issues, date and check the “Resolved” status checkbox that corresponds with the open items on the Review Checklist;
- (4) When ALL open items for a job have been addressed, upload the job’s Review Checklist (with CAA response) back to the job’s WAP Documents in HEAT Enterprise;
- (5) When the open items for ALL jobs are addressed, resubmit the HEAT invoice(s); and
- (6) Send MaineHousing an email at Weatherization@mainehousing.org specifying the job number(s) and that open items have been resolved. Use the following email subject line protocol: “[CAA] [billing month yyyy-mm] Tech Open Item RESPONSE.” Personal identifiable information must not be included in any email communications with MaineHousing. **Do not send encrypted emails.**

OPTION 2:

CAA removes affected job(s) from the invoice(s), adjust associated support costs and resubmit the invoice(s) for payment.

- (1) Send email notification to Weatherization@mainehousing.org specifying the job numbers that have been removed from the invoice(s). Use the following email subject line protocol: “[CAA] [billing month yyyy-mm] Tech Open Item RESPONSE.” Personal identifiable information must not be included in any email communications with MaineHousing. **Do not send encrypted emails.**
- (2) Add the affected job(s) to a subsequent month’s invoice.

3. MaineHousing Reviews Open Item Responses from CAAs

Compliance and Technical State Monitors will

- a. Receive email from CAA; and
- b. Download the job's Review Checklist from HEAT Enterprise>WAP Documents and reviews job(s).
- c. If open items remain, State Monitor will:
 - i. Make notation(s) on the job's Review Checklist;
 - ii. Release the HEAT Invoice;
 - iii. Upload a revised Review Checklists to HEAT Enterprise>WAP Documents; and
 - iv. Send email to CAA from Weatherization@mainehousing.org with a list of jobs that still have open items.
- d. Any jobs that remain with open items one month after initial email will be removed from the invoice and the invoice will be approved and processed. State Monitors will notify the CAA of the job(s) have been removed from the invoice.
- d. Once open items are resolved State Monitor will:
 - i. Note approval on the Review Checklist;
 - ii. Upload Review Checklist to the job's WAP Documents in HEAT Enterprise; and
 - iii. Send CAA an email from Weatherization@mainehousing.org confirming approval.
 - iv.

H. Compliance and Technical Review Checklists

1. MaineHousing Review Status Boxes

- a. Upon completion of review by the State Monitors, a Technical Review Checklist and a Compliance Review Checklist will be uploaded to each reviewed job's WAP Documents in HEAT Enterprise. Each Review Checklist will contain a list of the job elements reviewed by the State Monitor with corresponding notes and review status checkboxes for "Pass," "Fail" and "NA."
- b. All review status boxes will be checked as part of the State Monitor's review of each job. The review status checkboxes mean the following:
 - i. **Pass** = No Action required.
 - ii. **Feedback** = Items with feedback will be reported as Pass. Feedback will be entered in the Feedback/Comments column. If there are instructions to change a process "going forward", that item will subsequently be marked as Fail if still recurring after two (2) billing periods.
 - iii. **Fail** = Indicates an open item. The item must be corrected according to the comments/directions entered in the Comments column Numbers will be tracked to identify training needs, analyze risk factors and inform the level of desk review appropriate for each CAA.
 - iv. **N/A** = Not applicable to the billing, no action required.

2. CAA Response Boxes

- a. Once the CAA has resolved an open item on the Review Checklist, the CAA should then date and check the "Resolved" checkbox that corresponds to the failed element and insert the date the item was resolved.

- b. The CAA should then upload the Review Checklist (with CAA resolved notations) back to the job's WAP Documents; and
- c. Send MaineHousing an email at Weatherization@mainehousing.org specifying that open items have been resolved, using the following email subject line protocol: CAA Month Year Tech Open Item Response

SECTION 13: LEVERAGED FUNDING

HEAT Enterprise is the system of record for all WAP and CHIP jobs. CAAs are required to enter all measures assigned as the result of an energy audit in HEAT Enterprise, regardless of which funding source(s) will pay for the costs. Please take into consideration the following when conducting an energy audit:

- (1) All measures assigned as a result of the energy audit should be retained in HEAT Enterprise. No exception.
- (2) The energy audit and subsequent work order(s) should show a complete picture of the energy audit and resulting measures needed to weatherize the dwelling.
- (3) Basic Funding is typically assigned as the funding source for WAP jobs in HEAT Enterprise to enable the auditor to generate work order(s).
- (4) HEAT allows WAP measures to be assigned to Basic Funding with an SIR of less than 1 to appear on a work order.
- (5) Users will not be able to assign measures with an SIR of less than 1 to DOE funding. Any measure with an SIR of less than 1 can be assigned to HEAP Wx or Leveraged Funding.
- (6) Measures not being paid for by DOE or HEAP Wx funding should be assigned to Leveraged Funding on the Selected Measures in HEAT Enterprise and never removed/deleted.
- (7) When reviewing jobs, the contractor invoice, installation and inspection screens should always match the job's Selected Measures screen in HEAT Enterprise.

NOTE: HEAT Enterprise allows auditors to install all measures as part of an energy audit, regardless of how the measure is being funded. This provides an opportunity for auditors, inspectors, and monitors to look at the whole house, not just what was paid for by DOE or HEAP Wx. Measures not being paid for by DOE or HEAP Wx funding should be assigned to Leveraged Funding on the Selected Measures in HEAT Enterprise and never removed/deleted.

SECTION 14: REWORKS

Once weatherization work is complete, invoiced and paid in HEAT Enterprise, the job is locked. The "Rework" feature in HEAT Enterprise is available for CAAs to create and track work associated with a job **after the job has been invoiced and paid.**

The following features ensure funding source requirements:

- (1) MaineHousing must approve the job for rework within HEAT Enterprise. If MaineHousing does not approve the job, the job cannot be processed for "re-weatherization."
- (2) The CAA has the ability to add measures to a job after it has been approved by MaineHousing.
- (3) This does NOT change the completion date or the period in which the job is reported as complete. Statistical and federal reporting do not change if rework occurs.
- (4) Rework expenses are reported in the period in which they occur.
- (5) Once all added measures have been inspected for the rework, the job is eligible for invoicing. Rework jobs are invoiced the same way as any other job. However, only the measures that were added to the job will appear on the invoice for the billing month being submitted. The system will not produce a job count for the rework, but the job will be counted as a Rework on the *Invoice Detail Report*.

- (6) See the HEAT Weatherization Software Users Guide for guidance on initiating Reworks and accessing Rework Reports.

IMPORTANT: The “Rework” feature in HEAT Enterprise is designed to add work to paid jobs only. Once the job is approved for “rework”, the system treats the additional work as “re-weatherization” measures. The terms “rework” and “re-weatherization” are HEAT Enterprise terms and should not be confused with traditional meanings.

SECTION 15: PROGRAM OVERSIGHT AND MONITORING

A. Client Feedback

Customer survey cards, applicant phone calls, and applicant comments during site monitoring are tracked by MaineHousing. MaineHousing technicians, program and management staff engage with applicant/owners and CAAs as needed to address issues. Resolutions are documented in applicable MaineHousing databases.

NOTE: A supply of Client Satisfaction Survey cards has been provided to CAAs. Contact EHSHelpdesk@mainehousing.org to request additional cards as needed.

B. Undue or Excessive Enhancements

MaineHousing conducts desk reviews on weatherization jobs to confirm that no undue or excessive enhancements occurred to the value of the dwelling unit. If costs are questionable, an “Open Item Report” is issued to the CAA. Dialogue and documentation determines whether the cost is allowable. If not, it is removed from the billing and the CAA must use non-WAP funding (leveraged funding) to pay questionable job costs.

C. Production

MaineHousing will monitor CAA production schedules. For those CAAs that do not meet their production schedules, MaineHousing may withhold future payments to ensure that cash payments balance with actual work performed. MaineHousing retains the right to provide additional service providers within regions where the CAAs are unable to meet contract obligations.

D. Technical and Fiscal Review

MaineHousing will perform program and fiscal monitoring to satisfy WAP program oversight requirements. Program and fiscal monitoring will include the items described below.

- (1) Regular field monitoring of work performed, completed and in progress.
- (2) Review of project files for complete data including applicant income verification, properly completed program forms, contractor invoices and pictures.
- (3) Assessment of customer education and satisfaction with services received.

1. Compliance and Technical State Monitors Desk Reviews

MaineHousing will exercise the option of conducting less than 100% desk reviews of jobs submitted on monthly billings. If the CAA monthly billing(s) do not result in open items, the State Monitors can elect to review less than 100% of jobs submitted the following month and continue reviewing less than 100% of jobs on subsequently monthly billing submissions thereafter so long as the quality of the jobs being reviewed are still up to standards and State Monitors are comfortable reviewing less than 100% of files.

2. Technical On-Site Monitoring

In addition to scheduled inspections of work in progress and jobs submitted as completed, MaineHousing Technical State Monitors also include periodic monitoring on site at the CAA.

Day 1 (Example)

Morning: Meet with weatherization managers regarding CAA field staff status and performance:

- Contractor capacity and performance
- Production to date
- Training needs
- Other topics as needed

Afternoon: Meet with CAA field staff
Overview of audits entered in HEAT
Other topics as needed

Day 2 (Example)

MaineHousing QCI inspects in progress and final inspection jobs in the field with CAA staff, as available.

Day 3 (Example)

- MaineHousing QCI debriefs CAA managers and field staff regarding inspection results
- Best practices/Training needs
- Other topics as needed
- Outline corrective action plan if needed

3. **MaineHousing provides written report to CAA within 30 business days.**

4. **Fiscal On-Site Monitoring**

On-Site fiscal review of each CAA at least once per year. Fiscal Monitoring may include the following:

- a. review of 2 CFR 200 Uniform Guidance Audit;
- b. review of expenditures, source documentation and cost allocation;
- c. review of productivity to work plan projections;
- d. comparison of program expenditures to budget and work plan; and
- e. analysis of program costs including administration, delivery of services and deficits in the program, if any.

SECTION 16: TRAINING AND TECHNICAL ASSISTANCE (T&TA)

As part of its effort to improve the quality of weatherization services, MaineHousing develops and implements an annual Training and Technical Assistance plan. The T&TA plan supports MaineHousing, CAA technical staff and weatherization contractors. The Maine Weatherization Standards provides guidance on training and certification requirements for CAA technical staff and weatherization contractor staff to participate in WAP. T&TA can only be utilized by CAA staff that work within WAP, Weatherization Contractors, or where WAP would receive the direct benefit of the T&TA.

A. DOE State Plan

Each year MaineHousing identifies a variety of trainings that are outlined in the T&TA section of Maine's DOE WAP State Plan. Training activities are identified through MaineHousing monitoring visits, input from CAAs, weatherization contractors, and DOE WPNs. *See* Maine's DOE State Plan on the CAA Portal.

- (1) CAAs receive an allocation of funds annually for T&TA to develop a qualified work force capable of providing the highest quality weatherization services. CAAs are reminded that allocating T&TA funds is part of the budget process and are encouraged to utilize these resources to maintain and improve program operations across all levels of the WAP.
- (2) CAAs are required to submit a T&TA work plan with their budgets, as well as any budget

amendment that reflects a change in those costs or to the T&TA plan. Once a T&TA budget and/or amendment is approved, copies must be kept on file by the CAA with the executed budget.

B. T&TA Activities

The activities listed below can be considered eligible T&TA costs, but can also be charged as either Administrative costs or, in some cases, Program Support costs. CAAs should consult with MaineHousing for approval to use Program Support dollars for these types of T&TA activities.

Weatherization staff with an active BPI certification are required to self-register CEUs for all trainings attended that do not automatically offer or report the credit. This can be done individually through personal BPI profiles.

Activity	Description
Conferences	Registration, travel, and lodging costs for conferences, seminars, workshops, and on-site training for CAA WAP staff and contractor staff.
Training	Costs incurred to provide training and professional certification for CAA WAP staff and contractor staff.
Certifications	Costs incurred to obtain accredited certifications such as Energy Auditor and QCI.
Weatherization Equipment	Purchase of weatherization equipment and supplies that are needed for and used for training purposes.
Membership and Subscriptions	Membership fees for weatherization-related organizations and Subscriptions to trade papers and magazines.
Applicant/Owner Education	Development and distribution of educational materials for applicant education meetings, workshops, presentations, videos, and other Applicant/owner education activities.

C. T&TA Reimbursement

If the CAA T&TA budget allocation is not sufficient to cover costs associated with trainings or other eligible events for staff and/or contractors, MaineHousing may be able to reimburse the CAA for qualified expenses. The CAA **MUST** contact MaineHousing for preapproval to be reimbursed for qualified T&TA expenses. Please note the following:

1. Conference Registration

Attendees should be aware of any early bird discount registration rates and register for the event as soon as practical. A conference agenda and detailed receipt confirming registration payment must include event name, registrant's name and date of attendance must be provided to MaineHousing to qualify for reimbursement.

2. Airfare

Flights should be arranged as soon as practical to assure availability and the best possible rates. MaineHousing is able to arrange flights and be direct billed from its travel agent.

- a. Contact MaineHousing if the CAA prefers to have MaineHousing arrange and prepay for flights for staff. CAA will need to provide MaineHousing with the legal name that appears on identification and date of birth of the flier.
- b. If the CAA prefers to arrange and prepay flights for staff, a detailed receipt confirming payment must be provided to MaineHousing to qualify for reimbursement. The receipt must include the name of airline, name of passenger, flight dates and flight destinations.

3. Lodging

Reasonable commercial lodging accommodations for business travel at the single occupancy room rate may be reimbursed for attendees traveling more than 75 miles or 90 minutes (one way) to an event. CAAs should choose convenient, safe, and reasonably-priced accommodations whenever practical. Government or

conference rates should be requested whenever available. When attending an event, attendees may stay at the event hotel.

- a. Attendees should make their own lodging reservations as soon as possible to ensure availability and room rate.
- b. Attendees are required to provide a credit card upon arrival to cover costs. MaineHousing can only reimburse for the actual room cost and any associated taxes. Incidentals charges, such as movie rentals and amenity fees, are not eligible for reimbursement by MaineHousing.
- c. A copy of the final paid hotel receipt must be presented to MaineHousing to be eligible for reimbursement. The receipt must include hotel name, guest name, arrival date and departure date.

4. Meals

MaineHousing will not reimburse for meals that are included with the event. Other meals may be reimbursed if the meal is acquired as part of attending the event. MaineHousing will reimburse the actual amount spent for each meal up to the following amounts (including tips up to 20%):

In-State Meals	Out-of-State Meals
Breakfast = \$12	Breakfast = \$25
Lunch = \$20	Lunch = \$25
Dinner = \$30	Dinner = \$48

- a. MaineHousing requires a detailed receipt for each meal purchase, which must include vendor name, date of purchase, the quantity, food name and cost of each meal item. CAAs should deduct/adjust receipts to remove any non-allowable expenses, such as alcohol and related taxes.
- b. If the vendor/restaurant does not provide a detailed receipt, then the traveler must obtain/retain a copy of the restaurant's take out menu or print a copy of the menu from the restaurant website which clearly identifies/describes the item(s) and the cost. This information should accompany the meal payment receipt and the receipt should have a description of the item(s) purchased written on it.

NOTE: The CAA must identify any meals attributable to room service contained on the hotel receipt and adhere to paragraph 4 (Meals) below to qualify the meal for reimbursement.

5. Mileage

Attendees are eligible for mileage reimbursement for traveling to and from the training venue at the CAAs (or Vendor's) mileage reimbursement rate, not to exceed MaineHousing's mileage rate at the time of travel.

6. Tolls

Attendees are eligible for toll reimbursement for traveling to and from the venue. Receipts must be provided.

7. Parking

Attendees are eligible for reimbursement of parking expenses required to attend the event, including airport and venue/hotel parking fees.

D. Contractor Trainings

MaineHousing provides training opportunities for weatherization crews and contractors.

1. Training Expenses

- a. It is considered a qualified use of T&TA allocations to pay for weatherization contractors to receive qualified trainings and/or attend conferences. The CAA may work directly with the contractor or may ask that MaineHousing work directly with the contractor to secure reservations and/or make travel arrangements. In either situation, the CAA must consult with and receive approval from MaineHousing before confirming the payment of training opportunities with contractors. This will ensure that any qualified training opportunities being paid for with T&TA funds are available to all approved weatherization contractors.
- b. If the CAA's T&TA budget allocation is not sufficient to cover costs associated with trainings or other eligible events for weatherization contractors, MaineHousing may be able to reimburse the CAA for qualified expenses. The CAA must contact MaineHousing for preapproval to be reimbursed for qualified T&TA expenses for contractors and must adhere to Section 20.C (T&TA Reimbursement) above when requesting reimbursement.
- c. On occasion, MaineHousing will identify training opportunities for contractors and pay for the training directly from MaineHousing's T&TA allocation.

2. Stipends

MaineHousing may offer a stipend to encourage contractors to participate in trainings.

3. Retention Agreements

WPN 09-1B requires that contractors obtaining pre-approved certification, training and/or attending conferences being paid for with DOE T&TA funds are required to execute a retention agreement for each event. CAAs must provide MaineHousing with a copy of the contractor's Retention Agreement for each training.

E. T&TA Reporting

- (3) MaineHousing is required to report DOE T&TA activity on a semi-annual basis to the Department of Energy.
- (4) MaineHousing requires all CAAs to complete and submit semi-annually, via [ShareFile > Grant Management-Compliance>Reports](#), MaineHousing's *Subgrantee Activity Report*. The *Subgrantee Activity Report* template is available on the CAA Portal in the Weatherization Assistance Programs section under the Program Tools tab.
- (5) Please note the following when completing the *Subgrantee Activity Report*:
 - a. Event/Purpose = Name of training or conference event
 - b. Venue/Location = Event venue and location
 - c. Date(s) = Event date and/or date range
 - d. Attendee Name = Name of individual (CAA staff and/or contractor employee) who attended the event
 - e. Company = Name of attendee's company
 - f. Paid by CAA and Cost = Check the CAA box and enter the dollar amount of expenses paid for by the CAA out of its T&TA allotment. This includes amounts reimbursed to the contractor.
 - g. Paid by Grantee and Cost = Check the Grantee box and enter the dollar amount invoiced to MaineHousing for payment by the CAA. This includes amounts reimbursed to the CAA and/or the contractor.

REMINDER: Agencies are required to obtain and retain an executed Contractor Retention Agreement from an authorized representative of the contractor whenever CAAs use DOE T&TA funds to pay expenses for contractor employees attending trainings and/or conferences. The Contractor Retention Agreement is posted on the CAA Portal in the Weatherization Assistance Programs section under the Program Tools tab.

SECTION 17: DOCUMENT/RECORD MANAGEMENT SYSTEMS

A. In General

- (1) HEAT Enterprise is the system of record for all WAP jobs.
- (2) CAAs must use the WAP forms and bundles available on MaineHousing's CAA Portal or HEAT Enterprise>Program Documents. See the [HEAT Weatherization Software Users Guide](#) for more information. Forms are pdf writable. Download the "Forms Bundle" and complete the bundle's *Project Cover Sheet* (which also contains the Document Checklist) to auto-populate the forms. Use Adobe's bookmark navigation feature to view and/or print forms in the bundle. Individual forms are also available to download, populate and print as needed.
- (3) ShareFile provides authorized users with a secure platform to upload documents without restriction to file size, format or frequency

B. User Access

- (4) In order to gain access to Hancock Software's HEAP Cloud and HEAT Enterprise and/or MaineHousing's ShareFile folders, users will be required to complete an annual on-line security training. MaineHousing will contact users when the annual training is required.
- (5) Each user is required to have a separate account. Multiple employees cannot use the same log-on ID and password.
- (6) Separate CAA System Access Request forms must be submitted for each user.

1. User Set up

IMPORTANT: The user must complete the online training before user access will be activated.

- a. The CAA must complete the *CAA System Access Request form* for each user, check only the applicable boxes in the Authorization section, and email the executed form to MaineHousing at EHSHelpDesk@mainehousing.org. Include "Authorization Request" in the subject line of the email.
- b. MaineHousing will send an email to the user with the applicable system web-site address, log-on user id, temporary password, and system support procedure. The CAA approver will also be notified when access has been granted.
- c. CAA is expected to provide security training for all staff to ensure the protection of client PII and network integrity.

FYI: The CAA System Access Request forms can be downloaded by authorized CAA staff from Sharefile and are found in the EHS Documents folder

2. Change a User's Authorization Level or Remove User Access

IMPORTANT: CAAs must notify MaineHousing Immediately when an agency employee leaves the agency so that access can be terminated.

CAA must email a revised *CAA System Access Request form* to MaineHousing at EHSHelpDesk@mainehousing.org with a subject line of "[CAA Name] User Authorization Form."

3. Confirmation

MaineHousing will notify the CAA Manager/Director signing the *CAA System Access Request form* when access has been granted. Concurrently, an email is sent to the new user with the applicable log-on user ID and password. The user will be required to change their password after initial log on.

C. CAA Portal

WAP forms and bundles are available on MaineHousing's CAA Portal. From the CAA Portal landing page, click on [Weatherization Assistance Programs](#), which takes the user to a screen containing four tabs: (1) Program Forms, (2) Program Tools, (3) Program Guidance & Brochures, and (4) Technical Tools.

- (7) **Open the document.** Be sure to use the most current version of Adobe, which is free. Older versions of Adobe had some glitches.
- (8) **Save then populate (not the other way around).** The browser is not designed to retain data. Once the document is open, "save as" and give the blank document a client file name, which should include the program type, client's name and date.
- (9) **Important: Do not save blank forms on computers for future use.** MaineHousing will be revising and updating forms as necessary (*e.g.*, new forms, correct typos, form fields not properly calculating, etc.). Always obtain documents for each client from the CAA Portal or HEAT.
- (10) **Document functionality.** Bundles have auto-populating functionality. Provide the data on the bundle's cover sheet and the forms will auto-populate. The cover sheet currently contains data which appears on most forms, such as applicant name, contact data, etc.
- (11) **Review Forms.** Review the forms and add missing data.

TIP: Save the CAA Portal as a computer and/or tablet Favorite for easy access. That way forms and documents are one click away.

D. ShareFile

IMPORTANT: CAAs must notify MaineHousing immediately when an agency employee leaves the agency so that access can be terminated.

ShareFile provides authorized users with a secure platform to upload documents without restriction to file size, format or frequency.

- (12) Each CAA is assigned a ShareFile folder that provides access (permissions) to authorized users identified by the agency.
- (13) MaineHousing creates and maintains ShareFile folders and subfolders.
- (14) MaineHousing provides access for CAAs and MaineHousing's Energy and Housing Services (EHS) staff.

CAA Housing Directors/
Managers must email the CAA
System Access Request form
EHShelpdesk@mainehousing.org
to request employee access to the
agency's ShareFile folder(s).

How it Works

1. CAA (re)names the document file with a naming protocol that includes the applicant name and document description.
2. CAA enters ShareFile and uploads the document file to the appropriate subfolder to securely transmit to MaineHousing. That's it! EHS takes it from there.
3. EHS staff receives email notification when a file is uploaded to ShareFile folders and downloads and saves the document on MaineHousing's server for review/processing by EHS staff.
4. Once a file is downloaded/processed by MaineHousing, The file is moved to the "Processed by MaineHousing" subfolder within the agency's ShareFile subfolder. The "Processed by MaineHousing," subfolder was created solely to move processed files out of the CAA's main ShareFile subfolder and still allow CAAs to access previously submitted documents.

E. HEAT Enterprise

1. System of Record

- a. HEAT Enterprise is MaineHousing's weatherization software system of record for WAP jobs.
- b. HEAT Enterprise offers Maine users two software access platforms: web based and tablet based. The web-based platform is referred to as "HEAT Enterprise," the tablet-based platform is referred to as "HEAT," and both platforms are referred to as "HEAT Enterprise."
- c. HEAT Enterprise can be accessed through FireFox. The web address for the Enterprise system is <https://me.hancocksoftware.com/Wx>.
- d. Users trying to log on to the site for the first time using FireFox may need to add the web address to the computer's compatibility settings before log on can be successfully completed.
 - i. Go to FireFox *Tools*, then open *Compatibility View Settings*.
 - ii. Either paste or type in <https://me.hancocksoftware.com/Wx>. In the *Add this website:* section.
 - iii. Click **Add** and then click **Close**.
 - iv. Trying logging on again. If still not able to log on, send an email to HEAThelpdesk@mainehousing.org for assistance.

TIP: Users who are not able to log on to Enterprise because the system does not accept their username and/or password should check the computer's compatibility settings before proceeding.

2. WAP Forms

- a. Only form bundles are available in HEAT Enterprise. Each bundle contains a "Project Cover Sheet" and the MaineHousing forms needed to administer a project. The *Project Cover Sheet* contains a Document Checklist specifying the required documents that need to be submitted to MaineHousing for each job.
- b. Double click on the bundle name to download, save, populate and distribute for signature.

SECTION 18: VEHICLES, EQUIPMENT AND SUPPLIES

A. In General

- (1) Prior to the purchase of any equipment/supplies (including vehicles), CAAs must receive written authorization from MaineHousing if the cost exceeds \$5,000 **OR** life expectancy exceeds one year. CAAs must plan ahead and evaluate the need for purchases well in advance so that purchases are not delayed. The request can be submitted in person, via e-mail, fax, or ground delivery, but must be submitted in writing to MaineHousing.
- (2) Upon receipt of the request, MaineHousing will provide the CAA with a written response, approving or denying the request.
- (3) Approval of purchases for equipment must be obtained from MaineHousing prior to the purchase.

NOTE: *Weatherization vehicles and equipment/supplies are not intended for generalized office use and may not be used by staff for personal or recreational purposes.*

B. Purchase of Equipment/Supplies

CAAs are required to submit MaineHousing's *CAA Equipment/Supply Purchase Request* form to MaineHousing to request approval for the purchase of equipment/supplies costing more than \$5,000 **OR** has a life expectancy of more than one (1) year. The following information is required:

- (4) Name of requesting CAA.
- (5) Where the equipment will be used. Specify full or part time use in Weatherization program.
- (6) A statement of whether this is a replacement or an expansion equipment. If this is a replacement, an explanation of how outdated equipment being disposed of.
- (7) Brief explanation of how procurement will be done, and confirmation that State and Federal procurement guidelines will be met. *See* Section 20, Procurement.
- (8) Identify the preferred funding source used to purchase the equipment.
- (9) Copies of bid specs (including vehicle description with options requested) and **all** bids received must be available for MaineHousing inspection upon request.
- (10) Statement that lowest bid will be selected, or justification if lowest bid not selected.

C. Purchase of Vehicles

- (11) CAAs are required to submit MaineHousing's *Equipment Purchase Request* form to MaineHousing to request authorization for approval for the purchase of vehicles. The following information is required:
 - a. Name of requesting CAA.
 - b. Where the vehicle will be used. Specify full or part time use in Weatherization program.
 - c. A statement of whether this is a replacement or an expansion vehicle. If this is a replacement, explain how the trade-in is being addressed.
 - d. Brief description of how procurement will be done, and confirmation that State and Federal procurement guidelines will be met. *See* [Section 20](#), Procurement.
 - e. Identify the preferred funding source used to purchase the vehicle.
 - f. Copies of bid specs (including vehicle description with options requested) and **all** bids received.
 - g. Statement that lowest bid will be selected, or justification if lowest bid not selected.

- (12) CAAs must maintain comprehensive insurance on all vehicles. Additionally, vehicle operators must be licensed within the State of Maine, and must operate in a safe, legal, and proper fashion. If a program vehicle is involved in an accident, copies of the accident report and all insurance filings must be maintained in the program administrative files.
- (13) When purchased, vehicles are for the explicit use of weatherization program staff to conduct weatherization related travel. This travel includes, but is not limited to, applicant intake visits, project estimation and inspection, installations, meetings and training/conference attendance.

D. MaineHousing Approval

- (14) Upon receipt of the *Equipment Purchase Request*, MaineHousing will submit a request to the applicable federal funding agency to receive approval for the purchase. The cost of vehicles or equipment to support the program may be charged to the vehicle/ equipment or program operations budget categories.
- (15) Approval of the *Equipment Purchase Request* is with the understanding that state and federal procurement guidelines are adhered to and met.
- (16) Once CAA has proceeded with procurement procedures, proof of purchase documents must be sent to MaineHousing within 45 days of the purchase. The approval is valid for 90 days from the date of the approval letter. If the purchase is not made, the CAA must notify MaineHousing in writing.
 - a. MaineHousing will provide the requesting CAA with written approval to proceed.
 - b. MaineHousing must be listed as the lien holder for all vehicles.

DOE T&TA funds may not be used to purchase vehicles

E. Vehicle/Equipment Maintenance and Reporting

- (17) Vehicles and equipment must be maintained to ensure operating efficiency and to preserve the life expectancy. Proper care for a vehicle requires that service(s) and/or repairs done to that vehicle be appropriately documented and will be reviewed during program monitoring.
- (18) Equipment must be routinely serviced and/or calibrated as required by the manufacturer.
- (19) CAAs must take and retain pictures of vehicles purchased with federal funds. These pictures should be updated annually. Pictures provide documentation of visual condition and can be used as part of explaining any physical changes that may occur to the vehicle.
- (20) CAAs must provide MaineHousing with access to inspect the vehicle/equipment as well as provide MaineHousing with electronic copies of photographs upon request.
- (21) CAAs are required to submit the *Equipment Inventory Report* to MaineHousing on a semi-annual basis.

F. Vehicle/Equipment Disposal

- (22) Vehicles or equipment purchased with federal funds which have no more useful life may be sold or discarded (junked) in accordance with the mandates listed in 2 CFR 200.313.
- (23) Federal regulation and MaineHousing require that vehicles and equipment must be offered to the weatherization network before being sold or discarded otherwise.
- (24) Items may be sold on the open market to any purchaser only after all CAAs have had an opportunity to make an offer to purchase or have declined.
- (25) CAAs must receive written permission from MaineHousing to dispose of equipment/ supplies (including vehicles) purchased with federal funds. The written request must include all appropriate information. MaineHousing will secure the necessary written permission from the applicable federal funding source (and/or any other funding source). CAAs will then receive a

follow-up notice that disposition of the equipment/supplies has been authorized.

- (26) Funds received from the sale of a vehicle or equipment must be used to complete the replacement purchase of other vehicles or equipment or for other program support related activities authorized by MaineHousing.
- (27) CAAs may not depreciate the value of equipment/vehicles for the business benefit of their agencies.
- (28) A vehicle ownership may be transferred between CAAs if permission for this transfer is obtained from MaineHousing. If the vehicle changes hands, the vehicle's new owner operator is responsible for updating the registration, licensing and maintaining all required insurances.

SECTION 19: INVENTORY

A. In General

- (1) CAAs are required to maintain a record of inventory for all equipment, tools and vehicles purchased with federal funds.
- (2) An adequate inventory labeling and management system must be in place for all vehicles and equipment.
- (3) All vehicles and equipment must be documented and listed on a fixed asset ledger. Small tools and all materials must be listed on an inventory record. Refer to 2 CFR 200.313 for more detailed requirements that must be followed.

B. Inventory Maintenance and Reporting

- (4) CAAs are required to submit the *CAA Equipment/Supplies Inventory Report* to MaineHousing on a semi-annual basis identifying all purchases made with DOE funds for equipment and supplies (including vehicles).
- (5) CAAs must submit a copy of the current inventory list to MaineHousing upon request as well as during each compliance monitoring visit.
- (6) Records are required for all equipment/vehicles, including any special notations, are required for any equipment/vehicle that is amortized or receiving debt service from grant funds.
- (7) All vehicle/equipment services and/or calibrations must be documented and these records available for verification.
- (8) Per 2 CFR 200.313(d)(1) inventory records must include property record information:
 - a. Item name/description;
 - b. A serial number or other identification number;
 - c. The source of funding for the property;
 - d. Who holds title;
 - e. The acquisition date;
 - f. Cost of the property;
 - g. Location of the property;
 - h. Use and condition of the property; and
 - i. Any ultimate disposition data including the date of disposal and sale price of the property.
- (9) A physical inventory must be taken and the results reconciled with the property records at least every two years.
- (10) A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft must be investigated and documented.
- (11) Adequate maintenance procedures must be developed to keep the property in good condition.

Maintenance must be documented and retained by the CAA.

- (12) MaineHousing will maintain a general inventory list of grant funded vehicles/equipment in use by all CAAs. CAA inventory ledgers will be reviewed by MaineHousing during monitoring visits. .

SECTION 20: PROCUREMENT

Federal regulations related to procurement are found in 2 CFR 200.317-327. The CAAs are required to abide by the procurement requirements found in the Code of Federal Regulations when using federal funding. CAAs must have a procurement policy that complies with 2 CFR 200.317-327, which must include competitive and non-competitive bid processes as required in 2 CFR 200.319 (Competition). In addition, the policy must establish benchmarks for the different procurement types that the CAA currently utilizes or may utilize in the future.

MaineHousing will request a copy of the CAA's procurement policy to confirm compliance.

SECTION 21: REPORTING REQUIREMENTS

A. DOE Demographics

Each quarter MaineHousing provides a DOE Demographics report to the Department of Energy. This report is generated from HEAT Enterprise and compiles results consisting of completed jobs during a designed date range.

B. Historic Preservation Report (SHPO)

MaineHousing is required to provide an annual State Historic Preservation Office (SHPO) Report to the Department of Energy. This report is compiled from HEAT Enterprise and consists of jobs completed within a specified date range. Information for the report is pulled from various places in HEAT Enterprise. In addition, CAAs must indicate whether a job is exempt from Section 106 activities in the designed section of the HEAT Enterprise. *See the [HEAT Weatherization Software Users Guide](#) for more information*

C. CAA Reporting

MaineHousing is required to provide semi-annual reports to the Department of Energy consisting of DOE T&TA activity, as well as equipment and supplies purchased using DOE funds. The information for the report(s) must be provided to MaineHousing from CAAs. Report templates can be found on MaineHousing's CAA Portal under [Weatherization Assistance Programs>Program Tools>Reports](#).

NOTE: Reports must be submitted to MaineHousing semi-annually by uploading the report to ShareFile under the [Grant Management > Reports](#) subfolder.

1. **Subgrantee Activity Report**

CAAs must identify each attendee (CAA staffs and/or weatherization contractor employees) benefiting from the use of funds paid for by the CAA's DOE T&TA allocation during the period being reported.

2. **CAA Equipment/Supply Inventory Report**

CAAs must identify equipment (including vehicles) and/or supplies purchased by CAA with federal funds during the period being reported. Copies of procurement documents and bid specifications must be made available for MaineHousing inspection upon request.

SECTION 22: AGREEMENTS, BUDGETS AND WORK PLANS

A. In General

Each CAA is required to enter into a Subgrant Agreement and develop a budget for each funding source for each respective grant period. CAAs are also required to submit a work plan describing the CAA's policies and procedures for delivering WAP services. Together, the budgets and work plan should address all weatherization services that CAAs plan to provide each plan year allocation. Budgets will not be uploaded to HEAT Enterprise until the work

plan has been approved. The following templates are available in the CAA Portal to aid in the development of the budget and work plan for each funding source/year:

- (1) Administration and Production Allocations
- (2) Work Plan Template
- (3) Production Schedule Template
- (4) Budget Template
- (5) Support Salaries Schedule

B. Subgrant Agreements

Subgrant Agreements and subsequent amendments will be issued to each CAA for each funding source/funding year. Subgrant Agreements will contain funding allocations appropriated to each CAA for the respective grant and grant period. Advances up to twenty-five percent (25%) may be issued for each Program Year upon subgrantees' request and MaineHousing's approval of subgrantees' budgets and work plans.

C. Budget Preparation

1. Projected Expenditures

Installed weatherization and repair materials should be recorded on the line marked Weatherization Materials. Do not include contractor or crew labor; they go on the Direct Labor line. Again, report the number of household units you expect to weatherize.

- a. Supporting schedules for the following line-items must be submitted as part of the budget:
- b. Support Salaries & Fringe (the *Support Salaries Schedule* form is available on the CAA Portal)
- c. Equipment Purchases
- d. Support "Other"
- e. Administration (include a copy of the CAA's HHS approved Indirect Rate Agreement, if applicable)
- f. Production Schedule

2. Support Salaries Schedule

The Support Salaries Schedule is designed to present a more complete picture of how staff time and salary cost will be divided between MaineHousing's WAP programs and other CAA programs. CAAs are requested to report salaries only on this schedule. Federal cost principles require that staff salary allocations, between two or more programs, should be proportionate to the actual amount of time that staff work on those programs, as documented by signed time sheets. Salaries and fringe budgeted to federally funded programs should reflect the CAA's best projections for how much time CAA staff will work on different programs. Final billings must be based on actual time and efforts, not budgeted. CAA staff must support time billed to MaineHousing's funded programs with task lists (nouns and verbs).

3. Administrative Cost

Include a copy of the CAA's HHS approved Indirect Rate Agreement, if applicable.

4. Support "Other"

Provide a schedule or an explanation to back up all items that will exceed \$10,000.00 billed to this budget type.

5. Insurance

Provide backup for liability and POI insurance (if applicable)

6. Budget lines \$10,000 or greater

Excluding Salaries and Fringe items or other items specifically addressed above), CAAs must provide a breakdown or a journal of what the budgeted costs will be applied towards.

NOTE: As part of its review, MaineHousing may request an explanation for items under \$10,000.

7. Revised Budgets

Agencies will be required to submit revised budgets whenever actual expenditures differ from budgeted line items by more than \$1,000 and the deviation is greater than 10% of the budget line item. The revised budget must be accompanied by an explanation of the variances.

D. Work Plan Preparation

CAAs must submit a work plan on the template provided by MaineHousing on or before the due date specified in the respective Subgrant Agreement. Work Plan templates are provided as part of the Subgrant Agreement delivered to each CAA and are also available on the CAA Portal. Each work plan should summarize the CAA's policies and procedures for delivering WAP and describe how the CAA will meet major program requirements. The following is a list (not exhaustive) of the topics that may be asked about in the work plan.

1. Production Schedules

Provide projected number of units to be weatherized and billed each month under the grant. CAA must use MaineHousing's *Production Schedule* template and attach the completed form to the Work Plan as Attachment A. CAA must also use the template to provide MaineHousing with revised production numbers if Subgrant Agreement Amendments result in a change in CAAs production schedule.

2. Priorities for Weatherization and Wait List policies

Describe how the CAA will prioritize servicing eligible households.

3. WAP Delivery Considerations

How does CAA plan to bring WAP services to the agency's service area? Describe geographic considerations, transportation, etc. that impact the agency's delivery of WAP.

4. Tribal Organizations

What is CAA's process/procedure for delivering WAP services to the tribal organizations, if applicable.

5. Deferrals

How does CAA identify, process and track deferrals that prevent WAP services.

6. CTEs

How does CAA identify and address CTEs for WAP eligible households.

7. Leveraged Resources

How does CAA use non-WAP funds in conjunction with WAP funds in servicing eligible homes? List specific resources anticipated to be used to leverage WAP.

8. Weatherization Personnel

Provide the names of WAP personnel, their relevant experience in and certification/license for weatherization activities. The list must include the certification name/type and date of expirations for each weatherization personnel. The list must include, but is not limited to, BPI certifications, RRP certifications, Maine Fuel Board licenses and other relevant certification/licenses. The list must also include management

personnel, their title and responsibilities regarding weatherization activities.

9. Training and Technical Assistance (T&TA)

CAAs are required to submit a Subgrantee T&TA Plan and Budget for Grantee approval. CAAs must use the *Subgrantee T&TA Plan* template and attach the completed template to the Work Plan. **Note:** CAAs are required to submit a *Subgrantee Activity Report* to MaineHousing bi-annually.

10. Policy Changes

Describe all significant changes in CAA’s policies, procedures and new initiatives since the last WAP Work Plan submission. Provide copies of policy and procedure changes.

11. Insurance

Provide documentation to validate POI coverage.

12. Equipment Purchases

Identify the equipment and/or supplies (with a life expectancy of more than one year) the CAA intends to purchase with federal funds during the plan year on the *Subgrantee Equipment Request* template provided by MaineHousing. **Note:** CAAs are required to submit a *Subgrantee Equipment/Supplies Inventory Report* to MaineHousing bi-annually.

13. Equipment Maintenance

What is the CAA’s process/procedure for maintaining equipment (calibrations, frequency, tracking, etc.)

14. Inventory

What is the CAA’s process for maintaining a “record of inventory” for all equipment, tools and vehicles purchased with federal funds that have a life expectancy of more than one year. Attach a copy of the agency’s current record of inventory.

15. Other Information

Provide any other information relevant to the administration and delivery of WAP.

E. Submission to MaineHousing

Before submission to MaineHousing, the completed Work Plan and Budget must be signed by either the CAA’s Housing Director or Executive Director and must be received by MaineHousing on or before the date prescribed in the respective Subgrantee Agreement. CAAs must submit completed Work Plans and Budgets to MaineHousing’s ShareFile subfolder Grant Management Compliance>Budgets-Workplans.

SECTION 23: CONFLICT OF INTEREST PROCEDURES

The CAA must follow MaineHousing’s Conflict of Interest Policy – MaineHousing Partners. This policy applies to all MaineHousing programs. This policy is on our partner portal and can be accessed here [Conflict of Interest](#)