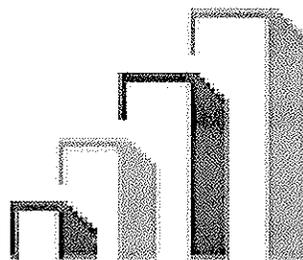


**REQUEST FOR PROPOSAL
ARRA Weatherization Assistance Program**

**The State of Connecticut
Department of Economic and Community Development
Office of Housing Development and Finance**

**Request for Proposal
For Weatherization of State-Financed Housing Units**

ARRA Weatherization Assistance Program



D E C D

**Deadline for Submission:
November 18, 2009
4:00 p.m.**

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I. STATEMENT OF OBJECTIVES

As a result of the American Recovery and Reinvestment Act of 2009 (ARRA), the State of Connecticut is designated as a grantee for the federal Weatherization Assistance Program (WAP) for low-income people. The ARRA WAP is a temporary three year stimulus program designed to create new green technology jobs and assist low-income persons to minimize energy-related costs and fuel usage in their homes. The Department of Social Services (DSS), which has traditionally handled weatherization for Connecticut, will receive additional funding in the amount of \$64.3 million from the federal Department of Energy (DOE) to carry out the ARRA WAP.

The DOE-approved ARRA WAP state plan authorized the Department of Economic and Community Development (DECD) to act as a subgrantee of DSS for participation in the ARRA WAP program and to provide weatherization services to the state-financed portfolio of housing. These properties generally house very low income elderly persons, as well as persons with disabilities and families, and typically generate very high fuel bills.

DSS has allocated a total of \$19,087,125 to DECD, a minimum of \$15,250,000 up to \$18,500,000 for energy efficiency improvements and the remaining funds for training and technical assistance and administration. It is the intent of the DSS/DECD agreement to weatherize, as a first priority, elderly housing units where heat is not included in the rent. Housing units with tenants who are disabled or have children under the age of six will be weatherized if funds are available after the elderly housing units have been weatherized. All funds, including those DECD will administer, must be spent in accordance with the DOE regulations governing WAP found at 10 CFR Sec. 440.1 *et seq.* DECD will carry out this program following all USDOE regulations for ARRA WAP and in accordance with the Memorandum of Agreement between DECD and DSS.

Since 1949, Connecticut's state-financed rental housing stock includes more than 8,100 units of housing for the elderly and disabled and more than 7,800 units of family housing. More than 30% of state-financed rental housing stock is more than 50 years old. State-financed housing for the elderly and disabled was first constructed in the early 1960's. This means that most housing of this type was built at a time when energy costs were low and the technology to produce energy-efficient housing was unavailable. The goal for DECD is to weatherize between 2,350 and 2,850 units of state-financed housing over the term of the ARRA WAP funding which begins April 1, 2009 and ends June 30, 2012.

Many households in Connecticut that are eligible for weatherization assistance live in rental housing. Households with incomes below the poverty level are especially likely to live in rental housing and to live in older units. A considerable number of low-income households in Connecticut live in state-financed housing that was constructed or rehabilitated with state funds and about 45% of households in state-financed rental housing heat their homes with electric heat, 44% with oil heat and 11% with gas heat. Unfortunately, the oldest state-financed elderly/disabled housing was built using inferior energy conservation techniques and heated with electric resistance heating. This is a significant concern given the high costs of electricity in Connecticut especially with Connecticut's harsh climate and high energy costs. It is not uncommon for low-income residents of Connecticut to pay 15% or more of their monthly income for utility costs.

The purpose of the DECD weatherization initiative is to install energy conservation measures in state-financed rental housing of income-eligible persons, primarily rental units occupied by elderly persons who pay their own heating bills. Funds will be targeted to the most cost-effective conservation measures determined from an on-site energy audit of the building and each unit. The DECD weatherization initiative is intended to reduce the impact of higher energy costs on low-income people. Energy conservation work in state-financed housing will ensure that this housing will remain affordable and viable by reducing tenant housing costs and owner operating costs. DECD will choose a contractor(s) to provide the weatherization services described in this RFP. The contractor can be an individual, an individual organization or multiple organizations, if necessary. The use of the word "contractor" or "organization" in this RFP can denote any of these three (3) possibilities. Community Action Agencies that are in good standing with DSS are eligible to compete for the provision of weatherization services as

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an individual organization or as multiple organizations. Organizations that may be involved in a pilot project on state-financed multifamily housing units through DECD will not receive any special preference if and when they apply under this RFP.

II. AWARD CRITERIA

All proposals will be evaluated using the following criteria:

1. **Narrative (10%)** – Each proposal should describe thoroughly: 1) what area(s) of the state the contractor is applying to cover, preferably the entire state or, if necessary, by region(s); 2) the contractor's detailed plan and staff capacity to cover the entire state or more than one region (see # 2 and # 3 below and page 5 for details to be included), 3) the plan for hiring and training of any new personnel brought on to do the weatherization work, including the details enumerated under # 2 below and on page 5 of this RFP., in particular, the number of positions under each category on each weatherization team. Each proposal will be evaluated based on: 1) the contractor's previous experience in performing weatherization services; 2) the clarity of the contractor's management policies as they relate to this project; 3) the ability to maintain totally separate financial records of ARRA WAP expenditures; 4) the ability to deliver skilled workmanship with workers who are trained and qualified to do weatherization work; 5) the use of high quality, DOE-approved materials on all jobs; and 6) the plan and schedule to perform timely weatherization services on multiple units of state-financed housing.
2. **Experience and Capacity (30%)** – Each proposal should provide an overview of the contractor's organization including specific detail on the level and years of experience of staff doing weatherization work. You should include the experience level of management staff and any weatherization teams currently available to do such work. At a minimum, the contractor should provide the resumes of individuals who will be responsible for this project. Please include information on the background of personnel (that is, general qualifications, training and any formal certifications to do weatherization work). Identify similar projects completed and how that experience directly translates to the capacity of the contractor's organization to undertake this project. The background and experience of the project manager and participating staff will be considered carefully in selecting a contractor(s) to do this work. The contractor will be expected to have both experienced weatherization staff and to hire new staff under this project. DECD and our contractor(s) will be working with DSS, DOL, the Community Colleges, Workforce Investment Boards and the Office for Workforce Competitiveness in terms of training and hiring new staff. DSS has developed agreements with the above entities and all training for both current and new workers through the above venues will be at no charge to the selected contractor(s) under this RFP. It will be expected that any contractor chosen under this RFP will draw new workers from the pool of workers to be trained by the above-named systems. The project manager will work under the direction of the DECD project manager and may be required to attend periodic meetings as well as provide regular status reports to be determined by DSS and DOE. Weatherization Assistance projects funded or assisted in whole or in part by the ARRA funds are subject to Davis Bacon prevailing wages. DECD will ensure that appropriate wages are paid to laborers and mechanics performing weatherization services pursuant to the Davis Bacon Act. See Exhibit 18.1 for more information on Davis Bacon Act Requirements.
3. **Timeliness to Complete Work (35%)** – Timeliness is critical for this project. The formal project period to conduct weatherization work under the ARRA WAP is April 1, 2009 through June 30, 2012, thus the national timeline is already in progress. **The timeline under this RFP for this award is December 4, 2009 through June 30, 2012.** Please provide an overall plan for starting and completing weatherization work to state-financed housing units. All actual weatherization work must be completed by March 31, 2012. The last three (3) months through June 30, 2012 is for final billing and accounting purposes. This plan should include the location (town, name of property and unit address) where the work will begin and show an anticipated, progressive schedule of work to be done by area of the state, town, property name, unit numbers (if available), date, time, and number of weatherization teams to do the work. Include the job-site or

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weatherization team supervisor and contact number (either office telephone or cell phone). DECD would like the actual weatherization work (starting with determining client eligibility and then progressing through the steps) to begin within two (2) weeks of finalizing and signing of contracts under this RFP. Time is of the essence in working on and completing this project due to the number of state-financed elderly units to be weatherized across the state.

4. **Proposed Budget (20%)** – The DECD budget for the actual weatherization services to be provided to state-financed housing units is broken down into five (5) area budgets which mirror the service delivery areas that DECD will be using to implement this project as discussed on page 6 of this RFP. The figures shown do not include funds for administration and/or training and technical assistance. The areas and corresponding budgets are as follows:

• The Bridgeport, Norwalk, Stamford Area:	\$2,960,000.00
• The Hartford, Bristol, New Britain Area:	\$5,550,000.00
• The Greater New Haven, Derby Area:	\$1,850,000.00
• The Waterbury, Danbury, Meriden Area:	\$ 450,000.00
• The Danielson, Norwich Area:	\$4,440,000.00
• Total State =	\$15,250,000.00

Please Note: The amount of money shown for weatherization of multifamily housing units under this RFP shows a lower amount for the Waterbury, Danbury and Meriden area because DECD will be doing a fast-track pilot in that area and using \$3,250,000 to do that pilot. In addition, the number of units shown for the same area as shown on page 6 is reduced because, under the pilot, 500 units of multifamily housing will be weatherized.

The ARRA WAP regulations currently allow an average spending limit of \$6,500 including materials, labor and program support costs per dwelling unit which is adjusted annually for inflation. Except as otherwise defined in the USDOE regulations and/or the ARRA WAP Connecticut State Plan, a minimum of \$50.00 and a maximum average of \$1,857.00 per eligible dwelling unit shall be spent on the materials and items necessary to install the weatherization measures. The maximum spending limit per dwelling unit is \$10,000. Within that maximum limit, the maximum for health and safety measures, as related to weatherization work to be completed, is \$2,500 per dwelling unit. A selected contractor will be responsible for ensuring that the \$6,500 average per unit is maintained in the units they weatherize.

Each proposal should include a budget that clearly reflects the area(s) of the state the contractor is applying to cover under ARRA WAP. Again, the preference is that the selected contractor will cover the entire state but, if necessary, the contractor should show a budget that covers only those regions of the state the contractor is applying to cover. The costs requested should include direct weatherization costs (including staff salaries and materials) corresponding to the number of units within the area(s) applied for under this RFP.

If a potential contractor has the capability and chooses to add to the weatherization of state-financed housing units, the proposal should also include a full description and approximate monetary worth of any contributions that the contractor wants to make to the project. For example, a potential contractor may have the capability and want to contribute certain weatherization materials and measures that cannot be covered under the DOE-funded program. Or where a client in a multifamily building deemed eligible earns above 60% of State Median Income and is thus deemed ineligible, as an individual, for the DOE ARRA WAP, a potential contractor may choose to provide weatherization materials and services to that client's unit for specific measures shown as needed under the CL&P WRAP Home Check Energy Audit. Special consideration will be given to any additional contribution of time, money and/or materials provided by any potential contractor so that weatherization of state-financed, low-income elderly housing units which are high-energy cost units can be improved to meet what the energy audit deems necessary.

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As stated previously, each contractor selected under this RFP will be required to sign a document stating that the organization can and will keep the ARRA WAP funds in separate accounts. Any co-mingling of funds will be strictly prohibited and funds must be segregated in checking accounts that are completely separate from regular operational accounts.

5. **Using Minority/Women-Owned Businesses and the Hiring of New Personnel (5%)** -- DECD encourages an organization(s) to make good faith efforts to utilize small, minority and women-owned businesses as potential subcontractors for this program including any weatherization measures to be completed and/or for identification and mitigation of health and safety issues, as related to weatherization work to be completed, in elderly units. In addition, there is a goal under the ARRA WAP in Connecticut to create or retain a so called "green workforce." The goal is to increase job opportunities and provide specialized training for and access to jobs, with the ultimate goal being that these jobs will lead to skills that will be transferable to the "green" job market in the future. Recruitment shall target a diverse population, some skilled and some new to the workforce, with a focus on low-income individuals, displaced and unemployed workers, persons with disabilities, veterans and older workers. Please see Exhibit 12.1 for a list of positions that DSS and DECD anticipate will be created or retained as a direct result of funding through ARRA WAP along with the three (3) year target employment goals anticipated over the lifetime of this project. DECD will be working in conjunction with DSS and the Department of Labor (DOL) on this aspect of the project. Please indicate what efforts the contractor's organization has made in the past and will make under this project to use minority and women-owned businesses and to hire new personnel that would reflect the populations described in this paragraph.

III. EVALUATION PROCESS

A screening committee consisting of representatives of DECD, DSS, and the Office for Workforce Competitiveness (OWC) will review all proposals received. If at least three qualified proposals are received, the committee shall rate and rank the proposals submitted based on the weighted award criteria noted above. The committee shall create a ranked list using the point values noted above and provide the names of the top three potential contractors to the Commissioner of DECD for consideration. The Commissioner, in consultation with the Office of Policy and Management, shall decide which contractor(s) receives the contract to do weatherization services.

In the event that less than three (3) qualified proposals are received, the screening committee shall determine if sufficient diversity exists between the proposals to make a recommendation to the Commissioner.

The Commissioner will consider proposals that address the entire scope of work but require more than one subcontractor and separate contracts to accomplish the entire scope of work. Justification for a separation of duties and the proposed contractual relationships must be detailed. Any such submission shall be evaluated on the benefit to DECD and the State of Connecticut on a pass/fail basis. This determination of pass/fail will be at the sole discretion of the Commissioner and is not subject to appeal.

IV. SCOPE OF WORK FOR WEATHERIZATION OF STATE-FINANCED HOUSING

The Performance of Weatherization Services as a Bundle or Complete Package

DECD will enlist the use of a contractor(s) to meet the demands of the ARRA WAP through this Request for Proposals. Any contractor(s) of DECD will be required to follow sound internal management policies and provide skilled workmanship, high quality materials and timely weatherization of units. Services to be contracted for include:

- Identification of eligible clients (including income verification and application process);
- Evaluation/audit of dwelling units to be weatherized;
- Installation of energy saving measures;

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- Identification and mitigation of related health and safety concerns as related to weatherization work to be completed; and
- Supervision of weatherization work performed by subcontractors.

Preference will be given to an individual or organization that applies to perform the first four (4) services as a bundle and agrees to do that bundle of services for the entire state. If a contractor cannot provide services to the entire state, an application can be submitted to provide services on a regional basis (preferably multiple regions) but the contractor must cover an entire region vs. selected properties or towns in a region. DECD is looking for an individual, an organization or organizations to do the identification of clients, energy audit of units, installation of weatherization measures and the identification and mitigation of related health and safety concerns, as related to weatherization work to be completed, as a full and complete package of weatherization services for state-financed elderly rental units for: 1) the entire state or 2) multiple regions. If the contractor has or can enlist the staff capacity to do the entire state or multiple regions, the contractor should develop and submit a detailed plan to DECD describing the plan for accomplishing that work. Elements of a plan to cover a larger service area should include: 1) the area(s) of the state the contractor is applying to cover; 2) the makeup and number of weatherization teams necessary to cover all such areas; 3) the number of positions under each category on each team (that is, personnel for client identification, energy audit, installation of measures, potential health and safety personnel and/or inspection of completed work); and 4) the process and timeline on hiring and training new personnel and a target date for beginning weatherization work in the larger service area for which the contractor is applying.

The fifth (5th) service category, the supervision or inspection of completed weatherization work, is considered by DECD to be a separate service. DECD is looking for the selected contractor(s) to find a totally separate contractor to provide inspection services or, at a minimum, to provide a written guarantee that the inspection of completed weatherization work can and will be provided by an individual or entity within the contractor's overall organization who is completely separate from the persons performing weatherization services for the entire state or for inclusive single or multiple regions vs. selected towns or properties within a region.

Process of Determining Eligible Buildings and Eligible Individual Units

This RFP targets specific units of state-financed housing potentially eligible to receive weatherization services under ARRA WAP. DECD, with the assistance of the Connecticut Housing Finance Authority (CHFA), has identified 5,917 properties that may have income eligible households for this program. See Exhibit 14.1. The federal WAP regulations govern the determination of dwelling unit eligibility for the ARRA WAP. Households must meet all eligibility requirements for the unit to be weatherized. For two (2) to four (4) unit multifamily buildings, at least 50% of the tenants must be income eligible. For larger buildings, at least 66% of the tenants must be income eligible. Generally speaking, a multifamily building, not previously weatherized, is eligible to be weatherized, as long as it is not for sale, in foreclosure, or in need of major rehabilitation.

DECD will use income limits set at 60% of the State Median Income adjusted for family size. This threshold has been selected in accordance with the guidelines used by DSS in its Energy Assistance and regular Weatherization Assistance programs at 60% of State Median Income. See Exhibit 15.1. **Please Note:** There is a possibility that a tenant in a state-financed housing unit may earn more than 60% of State Median Income. In this instance, that client would be deemed "ineligible" for the DOE ARRA WAP. However, if the building, as a whole, is deemed eligible and work is going to be done to the building envelope, primarily attic and/or sidewall insulation, then the over 60% client will be considered eligible for that work only. No other weatherization measures specific only to that tenant's unit can be performed because the tenant does not meet the required income limit. An exception would apply if additional weatherization measures specific to the over 60% client's unit are paid by a source other than DOE funds for ARRA WAP.

As stated previously, the first priority for weatherization services will be given to elderly tenants in rental units who pay their own heat. Funds will be used to weatherize these dwelling units that have high fuel costs in relation to their household income. Because the initiative will be limited to state-financed rental

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housing, eligible households are and will continue to be income qualified each year by the property owner/manager.

DECD will work with property owners and managers (local housing authorities, non-profit or for-profit entities) to promote the ARRA WAP and to identify and solicit participation from owners and managers statewide. Once these initial meetings have been held, the contractor(s) selected under this RFP will be expected to work with individual property owners and managers to determine: 1) if a particular multifamily building is eligible to be weatherized according to the guidelines stated above; 2) once a multifamily building is deemed eligible, if the individual client is interested in having weatherization work done so that 3) an energy audit and subsequent measures can be installed in the client's unit. In addition, any contractor(s) selected under this RFP is encouraged to coordinate efforts around client/household eligibility with the local community action agency in the region where the contractor is going to work. The local community action agency may have identified clients who are eligible for the DSS Energy Assistance Program and, as this is a dual application process, those clients may already have been deemed eligible for the weatherization program. This coordination will help to ensure a correct process around determining eligibility and will avoid duplication of effort.

Service Areas in Connecticut Covered by this RFP

DECD will "divide" its minimum of 2,350 units of state-financed housing to be weatherized by region and will use regional boundaries that align with the Weatherization Program Service Delivery Areas of Connecticut Community Action Agencies. The five (5) service delivery areas with the corresponding number of state-financed rental units with potential to be weatherized are as follows:

- 456 units in the ABCD Area (Action for Bridgeport Community Development, Inc.) with properties primarily in Fairfield County;
- 855 units in the CRT Area (Community Renewal Team) with properties in the central corridor of Connecticut from Granby, Suffield and Enfield through the Greater Hartford area down to Branford, Guilford, Madison, Clinton, Westbrook and Old Saybrook;
- 285 units in the Greater New Haven and Derby areas and covered by New Opportunities, Inc.
- 70 units in the New Opportunities, Inc. Area, with properties in the Greater Danbury, Torrington-Northwest Connecticut and Waterbury areas; and
- 684 units in the ACCESS Area (ACCESS Community Action Agency, Inc.) with properties in the Northeastern and Southeastern sections of the state.

A specific map of each area is shown in Exhibit 16.1. Again, preference is given to an individual or organization that applies for and agrees to perform weatherization services for the entire state or multiple regions of the state rather than limited participation in selected properties and/or towns within a region.

Please note: as shown above, the number of units remaining in the New Opportunities, Inc. area is lower due to the fast-track pilot project on multifamily housing being conducted by DECD.

Overview of Process Once Eligibility is Determined

Once it has been determined which individual units at identified properties are receptive to having weatherization services completed, DECD will require the contractor(s) to complete an energy audit to determine the weatherization needs of each unit. The federal WAP regulations govern the expenditure of ARRA WAP funds and these regulations require the use of a DOE-approved energy audit, or priority list, to determine measures to be completed on each job. The audit must prioritize recommended measures by savings-to-investment ratio (SIR). Except for approved health and safety measures, only measures with an overall SIR of 1.0 or more can be completed.

DECD will use the CL&P WRAP Home Check Energy Audit for the ARRA WAP program. This is the only energy audit currently approved by DOE for use in Connecticut. This audit is also supported by all of Connecticut's major electric and natural gas public utility companies, as mandated by section 16a-46 of the Connecticut General Statutes.

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The ARRA WAP Connecticut State Plan includes detailed descriptions of the weatherization measures allowed pursuant to this program. Weatherization services undertaken by or through DECD shall comply with specifications and funding restrictions as outlined in this plan. Typical services shall include, but not be limited to, the following:

- Clean, tune, test and safety check heating systems;
- Replacements of oil burners;
- Installation of programmable thermostats;
- Pipe and duct insulation;
- Crawlspace ceiling insulation;
- Installation of insulation on hot water heaters;
- Installation of carbon monoxide/smoke detectors;
- Blower door directed air-sealing guidance;
- Attic insulation;
- Sidewall insulation;
- Heating system repairs/replacements;
- Repair or replacement of primary windows and/or doors; and
- Repair or replacement of storm windows and/or doors.

It is important to note that, in accordance with the ARRA WAP Connecticut State Plan, prior permission must be received from DSS to replace heating systems, primary windows and/or primary doors or storm doors *before installation*.

Historically, DSS has allowed installation of any measures permitted by federal regulations. The work done in each unit is determined by the DOE-approved CL&P WRAP Home Check energy audit and typically consists of the items cited directly above. Work can also include electric base load reduction and other work items that mitigate energy-related health and safety concerns. Other than health and safety measures, only those measures with an overall savings-to-investment ratio of 1.0 or greater can be installed in a unit. In other words, the cost of installing energy conservation measures in a building must not exceed the savings that can be expected during the normal life of the installed work.

DECD encourages the use of renewable energy systems, alternative energy sources and other "green" practices in their housing and energy programs. However, it is understood that the installation of renewables will only be permitted when consistent with DOE guidance and justified by an overall savings-to-investment ratio of 1.0 or higher, or by other allowable considerations. Any materials used must meet the specifications listed in 10 CFR 440, Appendix A (see Exhibit 17.1), or otherwise be approved by DOE for use in the program.

DSS and DECD propose to continue to coordinate ARRA WAP activity with other low-income programs to maximize services to eligible households. These other programs are: the FOCB Low-Income Heating and Hot Water System Program, Connecticut Light and Power (CL&P) Weatherization Residential Assistance Partnership (WRAP) Program, United Illuminating (UI) Helps Program and Municipality Utility Conservation Programs.

Specific Responsibilities of Any Contractor Selected Under this RFP

The following are specific responsibilities of any contractor selected under this RFP. All of these requirements must be addressed in the proposal:

- Any contractor(s) selected to do weatherization services for DECD under ARRA WAP must have previous experience doing weatherization work. It is expected that the contractor will be hiring additional persons to complete such work in the area(s) for which the contractor applied. The contractor(s) must describe the process and timeline for hiring and training personnel to ready them for work on state-financed housing units, including a specific target date to start the actual weatherization work. The contractor(s) must draw new workers from a pool of workers who have been trained through DOL, the Community Colleges, Workforce Investment Boards and/or the

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Office for Workforce Competitiveness. DSS and DECD will be working with these entities to prepare additional workers to be hired by their agencies' contractors to do the weatherization work required under the ARRA WAP.

- The contractor can apply to do weatherization work preferably on a statewide basis or, if necessary, for inclusive single or multiple regions. If choosing a regional approach, the contractor MUST apply to serve an entire region rather than a particular town or towns, property or properties and must be willing to cover all properties within a designated region(s). Having the capacity to cover the entire state or more than one (1) region will depend on the staffing capacity of the contractor's organization and the detailed plan mentioned earlier in this RFP that will show DECD a contractor's readiness to proceed in a larger service area;
- The contractor is also required to provide an overall plan for starting and completing weatherization work to state-financed housing units. This plan should include the location (town, name of property and unit address) where the work will begin and should show an anticipated progressive schedule of work to be done by area of the state, town, property name, unit numbers, date, time, number of weatherization teams on the job, job-site supervisor's name and contact number. This requirement will allow DECD to track where the work is being done on a daily basis and to be aware of any problems or unforeseen circumstances that may arise in the course of the weatherization work;
- As a condition for selection under this RFP, the selected contractor(s) will be required to keep the ARRA WAP funds received from DECD in a separate account from all other funds in the contractor's domain. Any co-mingling of funds is strictly prohibited and the contractor chosen to receive funds will be required to segregate ARRA WAP funds in checking accounts that are completely separate from regular operational accounts. If a potential contractor is unable to adhere to these requirements, the contractor will not be eligible for participation in this program. As part of the grant proposal, the contractor is required to sign a statement verifying that the contractor can, in fact, keep ARRA WAP funds in a separate account. See Exhibit 11.1 for the statement the contractor will be asked to sign and date.
- The contractor must be thoroughly familiar with the USDOE regulations that govern the ARRA WAP program found at 10 CFR Sec. 440 and with the State of Connecticut Plan on the ARRA Weatherization Program. Please see Exhibit 20.1.

VI. PROPOSAL FORMAT

Proposals should be submitted as follows:

1. All proposals must be submitted in sealed envelopes or packages;
2. All proposals must be addressed to the Official Agency Contact;
3. The name and address of the respondent must appear in the upper left hand corner of the envelope or package;
4. An original (clearly identified as such) and four (4) conforming copies of the proposal must be submitted;
5. The proposal must be signed by the respondent;
6. Unsigned proposals will be rejected;
7. All materials must be tabbed by section and placed in the same order as they appear in the proposal. Each tabbed section must include all relevant materials for that section, including proposal exhibits;
8. Respondents are advised not to include in their proposals any proprietary information. The Connecticut Freedom of Information Act generally requires the disclosure of documents in the possession of the state upon request of any citizen, unless the content of the document falls within certain categories of exemption. An example of an exemption is a "trade secret," as defined by statute (C.G.S. 1-19(b)(5)). If the information is not readily available to the public from other sources and the respondent submitting the information requests confidentiality, then the

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information provided is "given in confidence." Confidential information must be isolated from other material in the proposal and labeled CONFIDENTIAL.

9. Proposals transmitted by facsimile will not be accepted or reviewed.

VII. LETTER OF INTENT

Potential respondents are encouraged to file a ***Letter of Intent to apply for this project with DECD by 4:00 p.m., local time, on November 4, 2009.*** As an original signature is required, a letter of intent sent by e-mail will not be accepted. At a minimum, this Letter of Intent should identify the individual or company, the primary contact for the individual or company, including the mailing address, telephone number and e-mail address. This Letter of Intent will be used to gauge potential interest, and may be used for contacts for the purpose of clarifying the information provided in the proposal. Failure to submit a Letter of Intent shall not be considered grounds for disqualification. Letters of Intent should be directed in writing to the Official Agency Contact at the following address:

**Jeri Fazzaloro
Planning Specialist
Department of Economic and Community Development
Office of Housing Development and Finance
505 Hudson Street
Hartford, CT 06106-7106**

Letters of Intent may be preceded by a call to Ms. Fazzaloro at (860) 270-8164, or by e-mail at Geraldine.Fazzaloro@po.state.ct.us. A Letter of Intent is non-binding in that the respondent is not required to submit a proposal. The purpose of the Letter of Intent is to enable DECD to send interested respondents new information concerning this RFP in a timely manner. ***Fill out the Letter of Intent form shown as Exhibit 10.1 and return by November 4, 2009.***

VIII. INSTRUCTIONS

1. Completed proposals and all materials should be delivered or mailed to the Official Agency Contact at the address shown above. ***All proposals must be received at DECD on or before 4:00 p.m. on November 18, 2009.***
2. All responses to this Request for Proposal must conform to these instructions. Failure to conform may be considered appropriate cause for rejection of the response.
3. An individual authorized to act on behalf of the respondent must submit the proposal. The proposal must also provide the name, title, address, telephone number, fax number, e-mail address and working hours of the person authorized to negotiate and contractually bind the individual/company, and for his/her alternate who may be contacted for the purpose of clarifying information provided in the proposal. This contact information should also be included in the transmittal letter.
4. Respondents may be required to give one (1) presentation.

IX. MINIMUM SUBMISSION REQUIREMENTS

At a minimum, proposals must be:

1. Submitted on or before the deadline;
2. Follow the required format;
3. Satisfy the packaging and labeling requirements;
4. Be complete;
5. Proposals that fail to meet these minimum submission requirements may be disqualified and not reviewed further.

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X. QUESTIONS

All questions related to this RFP must be submitted to Jeri Fazzalano in writing at the above address, by FAX at 860-270-8200, or by e-mail at DECD.Weatherization@ct.gov **no later than Noon (EST) on November 9, 2009**. Each question should begin by referencing the RFP page number and section number to which the question relates. Questions will not be accepted over the telephone. Anonymous questions will not be answered. The agency reserves the right to provide a combined answer to similar questions. **Answers to all questions will be mailed directly by both regular mail and by e-mail on or before November 12, 2009** to those firms that have submitted either questions or a Letter of Intent. Any respondent who has not received the amendment within two (2) business days following the distribution date may contact the Official Agency Contact by telephone to request a copy. Any and all amendments to the RFP will be posted on the DECD website at www.decd.org.

XI. COMMUNICATIONS NOTICE

All communications with the agency or any person representing this agency concerning this RFP are **strictly prohibited, except as permitted by this RFP**. Any violation of this prohibition by respondents or their representatives may result in disqualification or other sanctions, or both.

XII. REVISIONS TO THE RFP

Only written modifications issued via addendum are considered to be alterations to the RFP. Oral comments are not binding. An addendum will be issued by the DECD for any revisions, modifications, clarifications or alterations to the RFP and will become part of the final contract resulting from this RFP. If it becomes necessary to amend the RFP, an addendum will be issued by the DECD a minimum of two (2) working days in advance of the bid opening date and time, which will be extended, if necessary in order to meet the two (2) day requirement.

XIII. ERRORS

If a respondent discovers an error after submitting a bid, but prior to bid opening, the respondent may request that the bid be withdrawn. An officer or authorized representative of the firm must submit the request in writing and sign such request. If the request is approved, the respondent may submit a revised bid as long as it is received prior to the date and time of bid opening.

No alterations or corrections to bids are permitted after bids are opened. If an error is discovered after the bid opening, but before contract award, the respondent may request that the bid be withdrawn. An officer or authorized representative of the firm must submit this request in writing. The decision to permit withdrawal of a bid will be at the discretion of the Commissioner.

XIV. SUBCONTRACTING OR ASSIGNMENT

The contract may not be subcontracted or assigned by the respondent, in whole or in part, without the prior written consent of the DECD. Such consent, if granted, shall not relieve the respondent of any responsibilities under the contract.

In the event the respondent proposes to subcontract for the services to be performed under the terms of the contract award, the respondent shall state this in the bid. The respondent must also attach a list of said subcontractor(s) for approval as well as an itemization of the products and/or services to be supplied by the subcontractor(s). Nothing contained in the specifications shall be construed as creating any contractual relationship between any subcontractor(s) and the DECD.

XV. RIGHT TO INSPECT FACILITIES AND RECORDS

The DECD reserves the right to inspect the respondent's establishment before making an award for the

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purposes of ascertaining whether the respondent has the necessary facilities for performing the contract.

The DECD may also consult with clients of the respondent during the evaluation of bids. Such consultation is intended to assist the DECD in making a contract award that is most advantageous to the DECD.

XVI. CONDITIONS

Any prospective contractor must be willing to adhere to the following conditions and must positively state them in the proposal:

1. **Acceptances or Rejection by the State:** The state reserves the right to accept or reject any or all proposals submitted for consideration. All proposals will be kept sealed and safe until the date, time, and place of public opening.
2. **Conformance with Statutes:** Any contract awarded as a result of this RFP must be in full conformance with statutory requirements of the State of Connecticut and the federal government.
3. **Ownership of Proposals:** All proposals in response to this RFP are to be the sole property of the state, and subject to the provisions of Section 1-19 of the Connecticut General Statutes (Re: Freedom of Information).
4. **Ownership of Subsequent Products:** Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP, is to be sole property of the state unless stated otherwise in the RFP or contract.
5. **Timing and Sequence:** Timing and sequence of events resulting from this RFP will ultimately be determined by the state.
6. **Stability of Proposed Price:** Any price offerings must be valid for a period of 90 days from the due date of the proposals.
7. **Oral Agreements:** Any alleged oral agreement or arrangement made by a subcontractor with any department or employee will be superseded by the written agreement.
8. **Amending or Canceling Requests:** The state reserves the right to amend or cancel this RFP, prior to the due date and time, if it is in the best interests of the department and the state.
9. **Rejection for Default or Misrepresentation:** The state reserves the right to reject the proposal of any subcontractor that is in the default of any prior contract or for misrepresentation.
10. **State's Clerical Errors in Awards:** The state reserves the right to correct inaccurate awards resulting from its clerical errors.
11. **Rejection of Qualified Proposals:** Proposals are subject to rejection in whole or in part if they limit or modify any of the terms and conditions and/or specifications of the RFP.
12. **Presentation of Supporting Evidence:** Any individual/company, if requested, must be prepared to present evidence of experience, ability, service facilities, and financial standing necessary to satisfactorily meet the requirements set forth or implied in the proposal.
13. **Changes to Proposal:** No additions or changes to the original proposal will be allowed after submittal. While changes are not permitted, clarification at the request of the department may be required at the subcontractor's expense.
14. **Collusion:** By responding, the respondent implicitly states that the proposal is not made in connection with any competing respondent submitting a separate response to the RFP, and is in all respects fair and without collusion or fraud. It is further implied that the respondent did not participate in the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no employee of the department participated directly or indirectly in the respondent's proposal preparation.
15. **Contract Provisions:** Agree to state contract requirements.

XVII. CONFLICT OF DOCUMENTS

Should any of the terms of any documents connected to the offer, acceptance, supply of goods, performance of services, and/or any verbal representations be in conflict with this RFP, the terms of the RFP shall supersede all other documents and/or verbal representations. The only exception would be if the DECD amends the RFP.

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XVIII. SEVERABILITY

The invalidity of any portion of this RFP will not and shall not be deemed to affect the validity of any other provision. In the event that any provision of this RFP is held to be invalid, the parties agree that the remaining provisions shall be deemed to be in full force and effect as if they had been executed by both parties subsequent to the expungement of the invalid provision.

XIX. RIGHTS RESERVED BY THE STATE

The DECD reserves the right to discontinue, modify, suspend, or amend this RFP, at any time, with or without further notice to any interested party. All costs incurred in the preparation of the proposal are the sole responsibility of the respondent. Materials submitted will become the property of the DECD and will not be returned.

All decisions of the DECD are subject to such additional conditions, restrictions, and requirements as determined by the DECD in its sole discretion to best achieve agency objectives.

XX. PROPOSAL SUBMISSION/CONTACT INFORMATION

Any proposal received after the established deadline shall not be considered. The Commissioner reserves the right to waive any informal processes as part of this Request for Proposals. All proposals should be addressed as follows:

**Ms. Jeri Fazzalano
Department of Economic and Community Development
Attention: RFP for Weatherization Assistance Program
Office of Housing Development and Finance
505 Hudson Street
Hartford, CT 06106-7106**

XXI. NOTIFICATION OF AWARD

The selected respondent will receive a Notice of Award. The Notice may contain certain contingency requirements that must be satisfied within a designated time frame. Failure to comply with all provisions of the Notice of Award letter will disqualify that respondent and the award will be directed to the next qualified respondent.

XXII. CONTRACT TERM

This project will start upon the signing of the contract and continue until the end of the contract period. **The project period or timeline for this award is December 4, 2009 through June 30, 2012.** If for any reason the DECD is not satisfied with the successful candidate, the contract will be terminated by written notification.

If, for any reason, the project for which the respondent's services were contracted should be suspended, the Commissioner may suspend this contract upon seven (7) business days written notice to the respondent. Upon receipt of such notice, unless otherwise directed in writing by the Commissioner, the respondent shall immediately discontinue all work under the contract. Upon such notification, the respondent shall be paid a proportion of the fee which the services actually and satisfactorily performed by it shall bear to the total services completed under the contract, less payments previously made. The DECD may order that the work on the project be stopped temporarily, and upon seven (7) business days written notice from the Commissioner, the respondent shall cease all work on the project except as necessary to properly secure the project. If the DECD directs that the work on the project resume within six (6) months, the respondent shall be obliged to complete the project for the basic fee provided for in this contract, plus additional compensation for any work necessitated by the stop order as approved by

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the Commissioner in writing.

XXIII. TERMINATION OF THE CONTRACT AWARD

The Commissioner may terminate the contract award at any time during the duration of the contract, without penalty, subject to the following provisions:

1. Change of Circumstances: Where circumstances change and/or the needs of the DECD change, or the contract is otherwise deemed by the Commissioner to no longer be in the public interest, the Commissioner may terminate the contract award upon no less than thirty (30) calendar days notice to the respondent. In the event of such a termination of the contract award, the respondent shall furnish to the DECD, free of charge, such closeout reports as may reasonably be required.
2. For Cause:
 - a. Where a respondent fails to perform or comply with the contract and/or fails to provide information requested by the DECD, the Commissioner may terminate the contract award upon ten (10) calendar days notice to the respondent with an opportunity to protest said termination and/or request an informal hearing, if necessary, and issue a final DECD decision regarding termination of the contract.
 - b. Where a respondent continues to perform a contract poorly as demonstrated by written findings issued by the DECD and provided to the respondent, the Commissioner, or the Commissioner's designee, may issue a Notice of Intent to Terminate the Contract Award with a ten (10) calendar day opportunity for the respondent to protest such termination and/or request an informal hearing. If the respondent protests, the Commissioner will complete the hearing, if necessary, and issue a final DECD decision regarding termination and related issues including, but not limited to, damages payable to the state.
 - c. The Commissioner's right to terminate award for cause includes any reason set forth in any other provision contained in the contract.
 - d. The failure of a respondent to respond to the Commissioner's notice of intent to terminate the contract award within the ten (10) calendar day period automatically converts said notice into a final DECD decision without further action of the Commissioner.
 - e. The Commissioner's right to terminate the contract award for cause includes the respondent's performance on any other state contract, a violation of state or federal law (as demonstrated by the respondent's admissions of same or a final decision of an appropriate decision-making body), or any reason related to the ability of the respondent to fulfill its contractual obligations. The Commissioner may also terminate any contract with a respondent that has been debarred by Connecticut, another state or the federal government.
 - f. In cases of emergency, the Commissioner may shorten the time periods of notification and may dispense with an opportunity to respond.
3. Upon a termination of the contract award under this or any other paragraph herein, the respondent shall be entitled to receive as full compensation for services rendered to the date of termination or that portion of the fee which represents the services actually and satisfactorily performed by it, as determined by the Commissioner, shall bear to the total services contemplated under this contract, less payments previously made.
4. Upon termination of the contract award, the Commissioner may acquire the services, which are the subject of the contract, from another source and may charge the respondent whose contract award has been terminated the difference in price, and the said respondent shall be liable for same.
5. All protests of the Commissioner's intent to terminate a contract award must be accompanied by a statement of the factual and/or legal basis of the protest and copies of all documents which the respondent believes support its position.

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6. If the Commissioner determines that an informal hearing is required, the Commissioner, or the designee thereof, shall conduct an informal hearing prior to the issuance of the final DECD decision regarding the interpretation of the contract, respondent performance and/or termination of the contract award.

XXIV. PRICE AND PAYMENT

Please see Exhibit 19.1 Program Costs, specifically the Materials and Program Support sections. The selected contractor(s) agrees to comply with the definitions and requirements under these sections with regard to payment costs for materials and program support. **For more information, see DOE regulations at 10 CFR Sec. 440.**

RESPONDENT INFORMATION

Name: _____

Address: _____

Zip Code: _____

Contact Person: _____

Title: _____

Telephone Number: _____

Fax Number: _____

E-Mail Address: _____ Website Address: _____

FEIN No: _____ SSN (if individual): _____ - _____ - _____

State Sales Tax No: _____ If you are using a **THIRD PARTY** to write this proposal, please provide the following:

Consultant Name: _____

Company (if applicable): _____

Address: _____

Phone Number: _____ Fax Number: _____

E-Mail Address: _____ Website Address: _____

NARRATIVE DESCRIPTION OF ACTIVITY

- 2.1** Provide up to a 2-page description of the proposed activity. **Attach as Exhibit 2.1.**

CAPACITY

- 3.1** Describe the nature of your organization, staffing and overall qualifications to perform and complete this Scope of Work. See page 2, #2 under Award Criteria for more information on what is required as far as this area is concerned. **Attach as Exhibit 3.1.**
- 3.2** Please identify any past experience your organization has in providing this service, including a description of the service, timeframe in which the service was completed, special skills associated with providing this service and any other relevant information. **Attach as Exhibit 3.2.**
- 3.3** Please provide a list of properties/organizations/businesses where you have provided similar services over the last 5 years. **Attach as Exhibit 3.3.**
- 3.4** Please include three (3) letters of reference from recent clients. Provide the following information for each reference: name, title, and company address and phone number. **Attach as Exhibit 3.4.**

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- 3.5 Please read the CHRO document entitled "Notification to Bidders" and fill out and **provide a signed and certified copy of the CHRO "Bidder Contract Compliance Monitoring Report" form** as part of your proposal. **Attach as Exhibit 3.5.**
- 3.6 Please read and **provide a signed and notarized copy of the CHRO "Affidavit for Certification of Subcontractors as Minority Business Enterprises (MBE)." Attach as Exhibit 3.6.**
- 3.7 Please read the CHRO "Notice Concerning Contract Compliance Responsibilities" and be aware that, if selected as the contractor under this RFP, you are required to post this notice in your place of business. **This is for your information only; do not attach to your application.**
- 3.8 Please attach the last three years' audited corporate financial statements (include notes and projections). If audited statements do not exist, attach last three years' federal tax returns. **Attach as Exhibit 3.8.**
- 3.9 Please attach certificate of insurance showing the current coverage. **Attach as Exhibit 3.9.**
- 3.10 Is the respondent a defendant in any litigation?
 YES NO

If yes, indicate the nature of the litigation and the status of that litigation. **Attach as Exhibit 3.10.**

TIMELINESS TO COMPLETE WORK

- 4.1 Please provide an overall plan for starting and completing weatherization work to state-financed housing units. This plan should include the location (town, name of property and unit address) where the work will begin and show an anticipated, progressive schedule of work to be done by area of the state, town, property name, unit numbers (if available), date, time and number of weatherization teams to do the work. See page 2, #3, Timeliness to Complete Work for more information. Note: The actual weatherization work must be fully completed by March 31, 2012. The final three months through June 30, 2012 are for final billing and accounting purposes. **Attach statement as Exhibit 4.1.**

PROPOSED FEES

- 5.1 Please see Exhibit 19.1, specifically the sections related to Administration Costs (C), Financial Audit (D) and Liability Insurance (E) according to the definitions and requirements as outlined in those sections. The potential contractor(s) shall identify and break down anticipated costs of C, D and E by unit, project and total anticipated administrative cost for program. **For more information, see DOE regulations at 10 CFR Sec. 440.**

SUBCONTRACTOR CERTIFICATION FORM

- 6.1 Subcontractor Certification Form must be completed, as required. **Attach statement as Exhibit 6.1.**

CERTIFICATION BY AGENCY OFFICIAL/EMPLOYEE AUTHORIZED TO EXECUTE CONTRACT

- 7.1 Certification by Agency Official/Employee Authorized to Execute Contract Form must be completed and submitted with the response to the RFP. Please note that the certification of the notary (signature and seal) must be done previous to or on the same date as the authorized signature and date on the application. **Attach as Exhibit 7.1.**

CERTIFICATIONS FOR STATE CONTRACTS

The following exhibits under 8.1, 8.2 and 8.3 are included and **must be completed, signed notarized and returned as part of your proposal.**

- 8.1 Gift and Campaign Certification Form pursuant to C.G.S. 4-250 and 4-252 and Executive Order No. 72.
- 8.2 Consulting Agreement Affidavit Form pursuant to Section 51 of Public Act 05-287

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8.3 Affirmation of Receipt of State Ethics Law Summary pursuant to C.G.S. 1-101mm and 1-101qq.

TIMELINE FOR RFP AND CONTRACTING PROCESS

9.1 Timeline for RFP and Contracting Process is included as Exhibit 9.1 for your information so that you will be aware of and can adhere to required dates related to this process. **This is for your information only; do not attach to your application.**

LETTER OF INTENT FOR HOUSING REGISTRY AND RELATED SERVICES RFP

10.1 Letter of Intent Form should be completed and dated with an original signature and submitted to Official Agency Contact **by 4:00 p.m. on November 4, 2009.**

SIGNED STATEMENT OF APPLICATION ON SEGREGATION OF ARRA WAP FUNDS

11.1 Signed Statement on Segregation of ARRA Funds Form should be read, signed and dated. *If you do not sign and date this form, your application will be deemed incomplete and ineligible for funding.* Attach as Exhibit 11.1.

ANTICIPATED EMPLOYMENT CREATED AND RETAINED UNDER THIS PROJECT

12.1 Anticipated Employment Figures are included for your information only. This page shows both the kinds of workers needed for the weatherization project and the anticipated number of positions for each kind of job. **This is for your information only; do not attach to your application.**

CORE COMPETENCIES FOR THE WEATHERIZATION ASSISTANCE PROGRAM

13.1 The Core Competencies document is included for your information only. This document was created by a national group of weatherization trainers, state managers, etc. and lays out the basic knowledge and experience workers in the weatherization field should have. **This is for your information only; do not attach to your application.**

STATE-FINANCED ELDERLY UNITS BY REGION OF STATE TO BE WEATHERIZED

14.1 This list of **State-Financed Elderly Units** to be weatherized is included for your information only. It provides information on state-financed properties that are potentially eligible to take advantage of and have weatherization measures installed in elderly units where tenants pay their own utility costs. **This is for your information only; do not attach to your application.**

INCOME GUIDELINES AT 60% OF STATE MEDIAN INCOME FOR ELIGIBILITY PURPOSES

15.1 The information presented on **Income Guidelines** is for your information only. This page shows income limits set at 60% of the State Median Income adjusted for family size and will be used to determine multifamily building eligibility and individual client/unit eligibility. **This is for your information only; do not attach to your application.**

RESPONDENT CERTIFICATION

Please Note: Make sure to sign and date the Respondent Certification page as this is signature page for the entire application; if you do not sign and date this page, your application will be disqualified.

It is hereby represented by the respondent (undersigned) as an inducement to the DECD to consider the proposal, that to the best of my knowledge and belief, no information or data contained in the proposal or in the attachments are in any way false or incorrect, and that no material information has been omitted, including the financial statements. The respondent (undersigned) agrees that banks, credit agencies, the

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Connecticut Department of Labor, the Connecticut Department of Revenue Services, and other references are hereby authorized now, or any time in the future, to give DECD any and all information in connection with matters referred to in this proposal. In addition, the respondent (undersigned) has read and accepts the RFP's conditions, the department's standard contract and conditions, and the state's contract compliance requirements in their entirety and without amendment.

Certifying Representative:

Type Name and Title: _____

Signature: _____

Date: _____

**Exhibits for
ARRA WAP RFP**

Exhibits for the ARRA Weatherization RFP

- Exhibit 2.1 Description of Proposed Activity**
(Provided by the respondent)
- Exhibit 3.1 Organization, Staffing and Qualifications to Perform Scope of Work**
(Provided by the respondent)
- Exhibit 3.2 Description of Past Experience**
(Provided by the respondent)
- Exhibit 3.3 List of Contacts Where You Have Provided Similar Services**
(Provided by the respondent)
- Exhibit 3.4 References**
(Provided by the respondent)
- Exhibit 3.5 CHRO Bidder Contract Compliance Monitoring Report**
(Read the document; complete, sign and date the required form)
- Exhibit 3.6 CHRO Affidavit for Certification of Subcontractors as Minority Business Enterprises (MBE)**
(Read, complete, sign, date and have this form notarized as required)
- Exhibit 3.7 CHRO Notice Concerning Contract Compliance Responsibilities**
(For information only; if selected as Contractor, required to post in workplace)
- Exhibit 3.8 Audited Corporate Financial Statements**
(Provided by the respondent)
- Exhibit 3.9 Certificate of Current Insurance Coverage**
(Provided by the respondent)
- Exhibit 3.10 Any Litigation Pending/Nature and Status**
(Provided by the respondent)
- Exhibit 4.1 Proposed Timeframes to Develop/Implement Project**
(Provided by the respondent)
- Exhibit 5.1 Proposed Fees**
(Provided by the respondent)
- Exhibit 6.1 Subcontractor Certification Form**
(Read, sign and date the document as required)
- Exhibit 7.1 Certification by Agency Official/Employee Authorized to Execute Contracts**
(Read, sign, date and have this form notarized as required; **NOTE: the certification of the notary (signature and seal) must be done previous to or on the same date as the authorized signature and date on the application.**)
- Exhibit 8.1 Gift and Campaign Certification Form**
(Read, complete, sign, date and have this form notarized as required)

- Exhibit 8.2 Consulting Agreement Affidavit**
(Read, complete, sign, date and have this form notarized as required)
- Exhibit 8.3 Affirmation of Receipt of State Ethics Law Summary**
(Read, complete, sign, and date as required)
- Exhibit 8.4 Non-Discrimination Certification**
(*Read information thoroughly and choose either Form C or Form D, complete, sign, date and have this form notarized as required*)
- Exhibit 9.1 Timeline for RFP and Contracting Process**
(For information only)
- Exhibit 10.1 Letter of Intent Form**
(Read, complete, sign, date and *return by 4 p.m. on November 4, 2009*)
- Exhibit 11.1 Signed Statement of Applicant on Segregation of ARRA WAP Funds**
(Read, sign, and date; *if you do not sign and date this form, your application will be deemed incomplete and ineligible for funding.*)
- Exhibit 12.1 Anticipated Employment Created and Retained over Three-Year Period of ARRA WAP**
(For information only)
- Exhibit 13.1 Core Competencies for the Weatherization Assistance Program**
(For information only)
- Exhibit 14.1 List of State-Financed Elderly Units by Region to be Weatherized**
(For information only)
- Exhibit 15.1 Income Guidelines at 60% of State Median Income**
(For information only)
- Exhibit 16.1 Map of CAA Weatherization Program Service Delivery Areas with List of Municipalities in each SDA**
(For information only)
- Exhibit 17.1 Standards for Weatherization Materials (10 CFR Part 440, Appendix A)**
(For information only)
- Exhibit 18.1 Davis Bacon Act Requirements**
(For information only)
- Exhibit 19.1 Program Administration Information**
(For information only; *see DOE regulations at 10 CFR Sec. 440 for more complete information*)
- Exhibit 20.1 DSS Weatherization Assistance Program Procedures**
(For information only)

Exhibit 3.5

COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES CONTRACT COMPLIANCE REGULATIONS NOTIFICATION TO BIDDERS

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by Sections 4a-60 and 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to "aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials." "Minority business enterprise" is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: "(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n." "Minority" groups are defined in Section 32-9n of the Connecticut General Statutes as "(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . ." An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder's qualifications under the contract compliance requirements:

- (a) the bidder's success in implementing an affirmative action plan;
- (b) the bidder's success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- (c) the bidder's promise to develop and implement a successful affirmative action plan;
- (d) the bidder's submission of employment statistics contained in the "Employment Information Form", indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) the bidder's promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

INSTRUCTIONS AND OTHER INFORMATION

The following BIDDER CONTRACT COMPLIANCE MONITORING REPORT must be completed in full, signed, and submitted with the bid for this contract. The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidders good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

1) Definition of Small Contractor

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding ten million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.

Exhibit 3.5

2) Description of Job Categories (as used in Part IV Bidder Employment Information) (Page 2)

<p>MANAGEMENT: Managers plan, organize, direct, and control the major functions of an organization through subordinates who are at the managerial or supervisory level. They make policy decisions and set objectives for the company or departments. They are not usually directly involved in production or providing services. Examples include top executives, public relations managers, managers of operations specialties (such as financial, human resources, or purchasing managers), and construction and engineering managers.</p> <p>BUSINESS AND FINANCIAL OPERATIONS: These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, management analysts, labor relations specialists, and budget, credit, and financial analysts.</p> <p>COMPUTER SPECIALISTS: Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists</p> <p>ARCHITECTURE AND ENGINEERING: Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers.</p> <p>OFFICE AND ADMINISTRATIVE SUPPORT: All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, payroll clerks, bill and account collectors, customer service representatives, files clerks, dispatchers, shipping clerks, secretaries and administrative assistants, computer operators, mail clerks, and stock clerks.</p>	<p>BUILDING AND GROUNDS CLEANING AND MAINTENANCE: This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.</p> <p>CONSTRUCTION AND EXTRACTION: This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters. Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category..</p> <p>INSTALLATION, MAINTENANCE AND REPAIR: Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment; millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category.</p> <p>MATERIAL MOVING WORKERS: The job titles included in this group are Crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.</p>
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3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information)

<p><u>White</u> (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the middle East.</p> <p><u>Black</u> (not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa.</p> <p><u>Hispanic</u> – All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.</p>	<p><u>Asian or Pacific Islander</u> – All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa.</p> <p><u>American Indian or Alaskan Native</u> – All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.</p>
---	---

Exhibit 3.5

BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I – Bidder Information

(Page 3)

Company Name Street Address City & State Chief Executive	Bidder Federal Employer Identification Number _____ Or Social Security Number _____
Major Business Activity (brief description)	Bidder Identification (response optional/definitions on page 1) -Bidder is a small contractor. Yes ___ No ___ -Bidder is a minority business enterprise Yes ___ No ___ (If yes, check ownership category) Black ___ Hispanic ___ Asian American ___ American Indian/Alaskan Native ___ Iberian Peninsula ___ Individual(s) with a Physical Disability ___ Female ___
Bidder Parent Company (if any)	-Bidder is certified as above by State of CT Yes ___ No ___
Other Locations in Ct. (if any)	- DAS Certification Number _____

PART II – Bidder Nondiscrimination Policies and procedures

1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards? Yes ___ No ___	7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.? Yes ___ No ___
2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards? Yes ___ No ___	8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability? Yes ___ No ___
3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy? Yes ___ No ___	9. Does your company have a mandatory retirement age for all employees? Yes ___ No ___
4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes ___ No ___	10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors? Yes ___ No ___ NA ___
5. Do you notify the Ct. State Employment Service of all employment openings with your company? Yes ___ No ___	11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor? Yes ___ No ___ NA ___
6. Does your company have a collective bargaining agreement with workers? Yes ___ No ___ 6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? Yes ___ No ___ 6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct? Yes ___ No ___	12. Does your company have a written affirmative action Plan? Yes ___ No ___ If no, please explain. 13. Is there a person in your company who is responsible for equal employment opportunity? Yes ___ No ___ If yes, give name and phone number.

Part III - Bidder Subcontracting Practices

1. Will the work of this contract include subcontractors or suppliers? Yes ___ No ___ 1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary) 1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes ___ No ___
--

PLEASE COMPLETE REVERSE SIDE

Exhibit 3.5

PART IV – Bidder Employment Information

Date:

(Page 4)

JOB CATEGORY	OVERALL TOTALS	WHITE (not of Hispanic origin)		BLACK (not of Hispanic origin)		HISPANIC		ASIAN or PACIFIC ISLANDER		AMERICAN INDIAN or ALASKAN NATIVE	
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Management											
Business & Financial Ops											
Computer Specialists											
Architecture/Engineering											
Office & Admin. Support											
Bldg/ Grounds Cleaning/ Maintenance											
Construction & Extraction											
Installation, Maintenance & Repair											
Material Moving Workers											
TOTAL ABOVE											
Total One Year Ago											

FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)

Apprentices											
Trainees											

PART V – Bidder Hiring and Recruitment Practices

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)				2. Check (X) any of the below listed requirements that you use as a hiring qualification	3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination
SOURCE	YES	NO	% of applicants provided by source		
State Employment Service				(X)	Work Experience
Private Employment Agencies					Ability to Speak or Write English
Schools and Colleges					Written Tests
Newspaper Advertisement					High School Diploma
Walk Ins					College Degree
Present Employees					Union Membership
Labor Organizations					Personal Recommendation
Minority/Community Organizations					Height or Weight
Others (Please identify)					Car Ownership
					Arrest Record
					Wage Garnishments

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60a, and related sections of the CONN. GEN.STAT.

(Signature)	(Title)	(Date Signed)	(Telephone)
-------------	---------	---------------	-------------

Exhibit 3.6

**Affidavit for Certification of Subcontractors
as Minority Business Enterprises (MBE)**

*(To be completed only for subcontractors not certified as MBE's
by the Department of Administrative Services)*

To document the ●good faith efforts● of the below named state contractor to include minority business enterprises as subcontractors (for services and/or material suppliers) on the state contract also identified below, I certify that the following subcontractors meet the criteria for minority business enterprises set forth in CONN. GEN. STAT. § 4a-60(b). I attest that each named minority business enterprise will be contracted by the named state contractor to participate on the identified state contract as a subcontractor.

The subcontractors being identified to be bona fide minority business enterprises are:

Subcontractor Name	Complete Address	Subcontractor's Principal Officer's Name

(use additional sheets as necessary)

I further certify and affirm that I have read and understand the contract compliance requirements codified at CONN. GEN. STAT. Sections 4a-60 & 46a-71(d), and the Contract Compliance Regulations codified at Sections 46a-68j-21 through 43 of the Administrative Regulations of Connecticut State Agencies. I also understand that any false statements made herein are punishable by law.

_____ state contractor legal name

_____ type full printed name and title of official submitting this affidavit on behalf of contractor

_____ state contract number

_____ signature of official

_____ state contract awarding agency

_____ date of affidavit

Subscribed and sworn to before me, this _____ day of _____ 20 _____

Notary Public/Commissioner of the Superior Court
My Commission expires _____

Exhibit 3.7

STATE OF CONNECTICUT COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES

NOTICE CONCERNING CONTRACT COMPLIANCE RESPONSIBILITIES

TO ALL LABOR UNIONS, WORKER=S REPRESENTATIVES AND VENDORS:

Any contract this contractor has with the State of Connecticut or political subdivisions of the state other than municipalities shall be performed in accordance with CONN. GEN. STAT. Section 4a-60 and Section 4a-60a.

This means that this contractor:

1. Agrees to provide the Commission on Human Rights and Opportunities (CHRO) with any Information concerning this contractor=s employment practices and procedures which relates to our responsibilities under CONN. GEN. STAT. Sections 4a-60 or 46a-56 or Section 4a-60a.; and
2. Agrees to include the provisions of CONN. GEN. STAT. Section 46a-60(a) and Section 4a-60a in each and every subcontract and purchase order and to take whatever action the CHRO deems necessary to enforce these provisions.
- 3.

WITH REGARD TO RACE, COLOR, RELIGIOUS CREED, AGE, MARITAL STATUS, NATIONAL ORIGIN, ANCESTRY, SEX, MENTAL RETARDATION OR PHYSICAL DISABILITY, this means that this contractor:

1. Shall not discriminate or permit discrimination against anyone;
2. Shall take affirmative action so that persons applying for employment are hired on the basis of job-related qualifications and that employees once hired are treated without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation or physical disability, unless the contractor can show that the disability prevents performance of the work involved;
3. Shall state in all advertisements for employees that it is an Affirmative action-equal opportunity employer@;
4. Shall comply with CONN. GEN. STAT. Sections 4a-60, 46a-68e and 46a-68f and with each regulation or relevant order issued by the CHRO under CONN. GEN. STAT. Sections 46a-56, 46a-68e and 46a-68f; and
5. Shall make, if the contract is a public works contract, good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials.

WITH REGARD TO SEXUAL ORIENTATION, WHICH INCLUDES HOMOSEXUALITY, BISEXUALITY AND HETEROSEXUALITY:

1. The contractor will not discriminate or permit discrimination against anyone, and employees will be treated without regard to their sexual orientation once employed; and
2. The contractor agrees to fully comply with Section 4a-60a and each regulation or relevant order issued by the CHRO under CONN. GEN. STAT. Section 46a-56.

Persons having questions about this notice or their rights under the law are urged to contact the:

COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES DIVISION OF AFFIRMATIVE ACTION, MONITORING & CONTRACT COMPLIANCE

21 Grand Street
Hartford, Connecticut 06106
(860) 541-3400

COPIES OF THIS NOTICE SHALL BE POSTED IN CONSPICUOUS PLACES
AVAILABLE TO ALL EMPLOYEES AND APPLICANTS FOR EMPLOYMENT

Exhibit 6.1

SUBCONTRACTOR CERTIFICATION

It is hereby represented by the subcontractor (undersigned) as an inducement to the Department of Economic and Community Development to consider the participation as requested herein, that to the best of my knowledge and belief, no information or data contained in the application or in the attachments are in any way false or incorrect, and that no material information has been omitted, including the financial statements. It is also hereby stated that the undersigned will comply with all program requirements for any approved activity and that the organization and its principals are not suspended or debarred as defined in 24 CFR part 5 Subpart A of the Code of Federal Regulations. The undersigned agrees that banks, credit agencies, the Connecticut Department of Labor, the Connecticut Department of Revenue Services, the Connecticut Department of Environmental Protection, and other references are hereby authorized now, or any time in the future, to give the Department of Economic and Community Development any and all information in connection with matters referred to in this response.

Certifying Representative

Type Name and Title: _____

Signature: _____

Date: _____

Exhibit 7.1

OPM Ethics Form 3

Rev. 08-01-07



STATE OF CONNECTICUT
CERTIFICATION OF STATE AGENCY OFFICIAL OR EMPLOYEE
AUTHORIZED TO EXECUTE CONTRACT

Certification to accompany a State contract, having a value of more than \$50,000, pursuant to Connecticut General Statutes §§ 4-250 and 4-252(b), and Governor M. Jodi Rell's Executive Order 7C, Paragraph 10

INSTRUCTIONS:

Complete all sections of the form. Sign and date in the presence of a Commissioner of the Superior Court or Notary Public. Submit to the awarding State agency at the time of contract execution.

CERTIFICATION:

I, the undersigned State agency official or State employee, certify that (1) I am authorized to execute the attached contract on behalf of the State agency named below, and (2) the selection of the contractor named below was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Contractor Name

Awarding State Agency

State Agency Official or Employee Signature

Date

Printed Name

Title

Sworn and subscribed before me on this ___ day of ___, 200__.

Commissioner of the Superior Court
or Notary Public



STATE OF CONNECTICUT GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Certification to accompany a State contract with a value of \$50,000 or more in a calendar or fiscal year, pursuant to C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8, and No. 7C, Para. 10; and C.G.S. §9-612(g)(2), as amended by Public Act 07-1

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution (and on each anniversary date of a multi-year contract, if applicable).

CHECK ONE: Initial Certification Annual Update (Multi-year contracts only.)

GIFT CERTIFICATION:

As used in this certification, the following terms have the meaning set forth below:

- 1) "Contract" means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties; if this is an Annual Update, "Execution Date" means the date this certification is signed by the Contractor;
- 3) "Contractor" means the person, firm or corporation named as the contractor below;
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) "Gift" has the same meaning given that term in C.G.S. § 4-250(1);
- 6) "Planning Start Date" is the date the State agency began planning the project, services, procurement, lease or licensing arrangement covered by this Contract, as indicated by the awarding State agency below; and
- 7) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am the official authorized to execute the Contract on behalf of the Contractor. I hereby certify that, between the Planning Start Date and Execution Date, neither the Contractor nor any Principals or Key Personnel has made, will make (or has promised, or offered, to, or otherwise indicated that he, she or it will, make) any **Gifts** to any Applicable Public Official or State Employee.

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding **Gifts** by providing for any other principals, key personnel, officials, or employees of the Contractor, or its or their agents, to make a **Gift** to any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

CAMPAIGN CONTRIBUTION CERTIFICATION:

I further certify that, on or after December 31, 2006, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(g)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(g)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after December 31, 2006 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(g)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:



**STATE OF CONNECTICUT
GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION**

Lawful Campaign Contributions to Candidates for Statewide Public Office:

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

Lawful Campaign Contributions to Candidates for the General Assembly:

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Printed Contractor Name

Signature of Authorized Official

Subscribed and acknowledged before me this _____ day of _____, 200__.

Commissioner of the Superior Court (or Notary Public)

For State Agency Use Only

_____ Awarding State Agency	_____ Planning Start Date
_____ Contract Number or Description	



STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a State contract for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b)

INSTRUCTIONS:

If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete all sections of the form. If the bidder or vendor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. If the bidder or vendor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if the contractor enters into any new consulting agreement(s) during the term of the State contract.

AFFIDAVIT: [Number of Affidavits Sworn and Subscribed On This Day: _____]

I, the undersigned, hereby swear that I am the chief official of the bidder or vendor awarded a contract, as described in Connecticut General Statutes § 4a-81(a), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, except for the agreement listed below:

Table with columns: Consultant's Name and Title, Name of Firm (if applicable), Start Date, End Date, Cost, Description of Services Provided.

Is the consultant a former State employee or former public official? [] YES [] NO

If YES: Name of Former State Agency, Termination Date of Employment

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Printed Name of Bidder or Vendor, Signature of Chief Official or Individual, Date, Printed Name (of above), Awarding State Agency

Sworn and subscribed before me on this _____ day of _____, 200__.

Commissioner of the Superior Court or Notary Public



STATE OF CONNECTICUT
AFFIRMATION OF RECEIPT OF STATE ETHICS LAWS SUMMARY

Affirmation to accompany a large State construction or procurement contract, having a cost of more than \$500,000, pursuant to Connecticut General Statutes §§ 1-101mm and 1-101qq

INSTRUCTIONS:

Complete all sections of the form. Submit completed form to the awarding State agency or contractor, as directed below.

CHECK ONE:

- I am a person seeking a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency with my bid or proposal. [Check this box if the contract will be awarded through a competitive process.]
I am a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency at the time of contract execution. [Check this box if the contract was a sole source award.]
I am a subcontractor or consultant of a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the contractor.

IMPORTANT NOTE:

Contractors shall submit the affirmations of their subcontractors and consultants to the awarding State agency. Failure to submit such affirmations in a timely manner shall be cause for termination of the large State construction or procurement contract.

AFFIRMATION:

I, the undersigned person, contractor, subcontractor, consultant, or the duly authorized representative thereof, affirm (1) receipt of the summary of State ethics laws* developed by the Office of State Ethics pursuant to Connecticut General Statutes § 1-81b and (2) that key employees of such person, contractor, subcontractor, or consultant have read and understand the summary and agree to comply with its provisions.

* The summary of State ethics laws is available on the State of Connecticut's Office of State Ethics website at http://www.ct.gov/ethics/lib/ethics/guides/contractors_guide_09_final.pdf

Signature

Date

Printed Name

Title

Firm or Corporation (if applicable)

Street Address

City

State Zip

Awarding State Agency

**Guide to the Code of Ethics
For Current or Potential
State Contractors**



2009

Exhibit 8.3
Guide for Current or Potential State Contractors

INTRODUCTION

The Connecticut Office of State Ethics (OSE) is an independent regulatory agency for the state of Connecticut, charged with administering and enforcing Connecticut General Statutes, Chapter 10, Part I and Part II, with limited jurisdiction over Part IV.

The Ethics Codes under the OSE's jurisdiction are comprised of:

- The Code of Ethics for Public Officials (Part I);
- The Code of Ethics for Lobbyists (Part II); and
- Limited jurisdiction over Ethical Considerations Concerning Bidding and State Contracts (Part IV).

This guide provides general information only. The descriptions of the law and the OSE are not intended to be exhaustive. Please contact the OSE with any questions regarding interpretation of the law.

For more information on the subjects discussed in this guide, call, write or visit:

Connecticut Office of State Ethics
18-20 Trinity Street
Suite 205
Hartford, CT 06106

860/263-2400
www.ct.gov/ethics



Citizen's Ethics Advisory Board:

Robert Worgaftik, Chairperson (through September 2009)
Sister Sally J. Tolles, Vice Chairperson (through September 2009)
Ernest Abate (through September 2011)
G. Kenneth Bernhard (through September 2011)
Kathleen F. Bornhorst (through September 2012)
Thomas E. Dooley (through September 2009)
Rebecca M. Doty (through September 2011)
Dennis Riley (through September 2010)
Shawn T. Wooden (through September 2013)

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Exhibit 8.3
Guide for Current or Potential State Contractors

THE OFFICE OF STATE ETHICS (OSE)

The Connecticut Office of State Ethics (OSE) was officially created on July 1, 2005, by Public Act 05-183. The governing body of the OSE is the Citizen's Ethics Advisory Board (CEAB), nine members appointed by the Governor and legislative leadership. The CEAB holds monthly meetings that are open to the public and that are often covered by CT-N. A schedule of CEAB meeting dates, times and locations is available on the OSE's Web site, www.ct.gov/ethics.

The OSE is an independent watchdog agency for the state of Connecticut that administers Connecticut General Statutes, Chapter 10, Parts I and II, with limited jurisdiction over Part IV.

Simply put, the OSE educates all those covered by the law (the "regulated community"); provides information to the public; interprets and applies the codes of ethics; and investigates potential violations, and otherwise enforces the codes.

The OSE is made up of the following components:

- Citizen's Ethics Advisory Board
- Executive Director
- Legal Division
- Enforcement Division

THE BIG PICTURE

All state officials and employees (except judges) are covered by Part I of the Code of Ethics for Public Officials (henceforth, Part I, or the Code). It is important to remember that certain provisions of the Code also apply to public officials and state employees after they leave state service.

As you read through this guide, be aware that these laws were enacted to prevent individuals from using their public position or authority for personal, financial benefit.

Each state agency also has its own ethics policy, which in many cases may be more restrictive than what follows. Be sure to obtain a copy of the agency's policy before you attempt to provide any benefit to an agency official or employee.

Exhibit 8.3
Guide for Current or Potential State Contractors

GIVING BENEFITS TO STATE PERSONNEL



Gifts

As a current or potential state contractor, you are presumably doing business with or seeking to do business with a state agency, and are therefore considered to be a **restricted donor**. In general, public officials, state employees and candidates for public office may not accept gifts from restricted donors.

Restricted Donors

Restricted donors include:

- Registered lobbyists (a list is available on the OSE's Web site) or a lobbyist's representative;
- Individuals or groups doing business with a state department or agency;
- Individuals or groups seeking to do business with a state department or agency;
- Individuals or groups engaged in activities regulated by a state department or agency; or
- Contractors pre-qualified by the Connecticut Department of Administrative Services (Conn. Gen. Stat. § 4a-100).

A **gift** is defined as anything of value that is directly and personally received by a public official or state employee (or sometimes family members of those two categories) *unless* consideration of equal or greater value is provided. Conn. Gen. Stat. § 1-79 (e).

Gift Exceptions

There are, however, certain exceptions to this definition of gift. Not all exceptions are covered below; see Conn. Gen. Stat. § 1-79 (e) (1) – (17) for the complete list.

- *Token Items* – Restricted donors such as current or potential state contractors may provide any item of value that is not more than \$10 (such as a pen, mug, or inexpensive baseball cap) to a public official or state employee, provided that the annual aggregate of such items from a single source is \$50 or less. Conn. Gen. Stat. § 1-79 (e) (16).
- *Food and Beverage* – Restricted donors may also provide less than \$50 worth of food and beverage in a calendar year to a public official or state employee, provided that the restricted donor or his/her representative is in attendance when the food and/or beverage is being consumed. Conn. Gen. Stat. § 1-79 (e) (9).
- *Training* – Vendors may provide public officials and state employees with training for a product purchased by a state or quasi-public agency provided such training is offered to all customers of that vendor. Conn. Gen. Stat. § 1-79 (e) (17).

Exhibit 8.3
Guide for Current or Potential State Contractors

- *Gifts to the State* – Restricted donors may provide what are typically referred to as “gifts to the state.” These gifts are goods and services provided to a state agency or quasi-public agency for use on state or quasi-public agency property or that support an event, and which facilitate state or quasi-public action or functions. Conn. Gen. Stat. § 1-79 (e) (5).
- *Other Exceptions* – There are a total of 17 separate gift exceptions in the Code. Also exempt from the definition of gift are items such as informational materials germane to state action, ceremonial plaques or awards costing less than \$100, or promotional items, rebates or discounts also available to the general public. See Conn. Gen. Stat. § 1-79 (e) (1) – (17).

Note: The popularly-cited exception for major life events does not apply to those who are regulated by, doing business with or seeking to do business with a state agency. The only restricted donor that can make use of this very narrow exception is a registered lobbyist.

Gift Provisions

Example: You are in the process of submitting a contracting bid to a state agency. You provide the agency head with a gift certificate for \$45 to a popular West Hartford eatery for her to use on her own. You have not previously given anything of value to this individual.

Even though you are under the permissible \$50 food and beverage limit, this gift is not allowed because you or your representative will not be in attendance while the food and beverage is being consumed.

Reporting Requirements

Should you or your representative give anything of value to a public official or state employee, you must, within **10 days**, give the gift recipient and the head of that individual’s department or agency a written report stating:

- Name of the donor;
- Description of item(s) given;
- Value of such item(s); and
- Total cumulative value of all items to date given to that recipient during the calendar year.



This helps both you and the state employee keep track of the gift exceptions noted above, so that permissible limits are not exceeded. Conn. Gen. Stat. § 1-84 (o).

Exhibit 8.3
Guide for Current or Potential State Contractors

Necessary Expenses

You may provide necessary expenses to a public official or state employee *only* if the official or employee, in his/her official capacity, is actively participating in an event by giving a speech or presentation, running a workshop, or having some other active involvement.

Necessary expenses are limited to:

- Travel (not first class);
- Lodging (standard cost of room for the nights before, of, and immediately following the event);
- Meals; and
- Related conference expenses.

Conn. Gen. Stat. § 1-79 (9).

Entertainment costs (tickets to sporting events, golf outings, night clubs, etc.) are *not* necessary expenses. Necessary expense payments also *do not* include payment of expenses for family members or other guests.



Fees/Honorariums

Public officials and state employees may *not* accept fees or honorariums for an article, appearance, speech or participation at an event in their official capacity.



Fees or honorariums for such activities, if offered based solely on expertise and without any regard to official capacity, may be acceptable. Contact the OSE before offering such payment to an official or employee. Conn. Gen. Stat. § 1-84 (k).

Necessary Expenses, Fees and Honorariums

Example: You invite a state employee to travel to New York City to give a speech to your managers on issues surrounding contracting with a state agency. You provide Amtrak fare for the employee as well as his spouse, who will spend the day in the city. The evening of the speech, you will treat the employee and his spouse with complimentary tickets to a Broadway show in lieu of a speaking fee.

You may provide non-first class travel expenses only to the state employee who is actively participating in an event. In this case, you may only provide Amtrak fare for the employee giving the speech, not his spouse. Entertainment costs, such as tickets to a show, are not considered necessary expenses and may not be provided. Additionally, state employees may not accept fees or honorariums for a speech given in their official capacity.

Exhibit 8.3
Guide for Current or Potential State Contractors

HIRING STATE PERSONNEL

Post-state Employment (Revolving Door)

If you are considering hiring a *former* state employee, you should be aware of the Code's post-state employment, or revolving door, provisions.

Lifetime Bans

- Former state employees may **never** disclose any confidential information they learned during the course of their state service for anyone's financial gain. Conn. Gen. Stat. § 1-84a.
- A former state official or employee may **never** represent anyone other than the state regarding a particular matter in which he or she was personally or substantially involved while in state service and in which the state has a substantial interest. This prevents side-switching. Conn. Gen. Stat. § 1-84b (a).

One-year Bans

- If you hire or otherwise engage the services of a former state official or employee, he or she may not represent you before his or her former agency for a period of **one year** after leaving state service. Conn. Gen. Stat. § 1-84b (b). (See Advisory Opinion 2003-3, which provides a limited exception to this provision if the employee is providing purely technical expertise, for example, to help implement a previously-awarded contract. This exception applies to extremely limited circumstances; contact the OSE for guidance.)
- You are prohibited from hiring a former state official or employee for a period of **one year** after he or she leaves state service if that individual was substantially involved in, or supervised, the negotiation or award of a contract (that you or your business was a party to) valued at \$50,000 or more, and the contract was signed within his or her last year of state service. Conn. Gen. Stat. § 1-84b (f).
- Employees who held certain specifically-designated positions (with significant decision-making or supervisory responsibility) at certain state regulatory agencies are prohibited from seeking or accepting employment with any business subject to regulation by the individual's agency within **one year** of leaving the agency. Note that there is an exception for *ex-officio* board or commission members. Conn. Gen. Stat. § 1-84b (c).

Post-state Employment

Example: You run a hospital regulated by the Office of Health Care Access (OHCA). You would like to offer a job to the former Commissioner of OHCA, who has been out of state service for 5 months.

Because the hospital is regulated by a state agency whose Commissioner is specifically designated in 1-84b (c), the former head of such agency would not be permitted to accept employment with you for one full year after leaving state service. See Advisory Opinion 2003-19.

Exhibit 8.3
Guide for Current or Potential State Contractors

**Outside Employment for Current Public Officials
and State Employees**

If you are considering hiring a *current* state employee, especially from a state agency with which you do business or by which you are regulated, you should be aware of the following rules regarding the employment of current state employees.

- A current state employee may not accept outside employment that impairs his or her independence of judgment regarding his or her state duties, or that encourages him or her to disclose confidential information learned in his or her state job. Conn. Gen. Stat. § 1-84 (b).
- A current state employee may not use his or her state position for his or her own financial gain or the gain of his or her family (spouse, child, child's spouse, parent, brother or sister) or an associated business, however inadvertent that use may be. Conn. Gen. Stat. § 1-84 (c).

Other Considerations

Business entities engaged in Indian gaming activities in the state should be aware of specific provisions that apply to present or former Gaming Policy Board or Division of Special Revenue public officials or employees. See Conn. Gen. Stat. §§ 1-84b (d) and (e).



Outside Employment

Example: Your small business occasionally receives grants or contracts from Agency X. You know that a particular contract manager with Agency X has the skills you need to help you grow your business. This employee has expressed interest in earning a little extra money for himself, while helping you with your business in the evenings and on weekends.

It would constitute an impermissible impairment of judgment for the employee of Agency X, who has contract management responsibilities, to accept outside employment with your business – a business that receives grants or contracts from Agency X.

Guide for Current or Potential State Contractors

OTHER PROVISIONS

Prohibited Activities for Consultants or Independent Contractors

If you are hired by the state as a consultant or independent contractor, you are prohibited from the following:

- Using your authority under the contract or any confidential information acquired during the course of the contract for your financial gain or the financial gain of your immediate family;
- Accepting another state contract that would impair your independence of judgment or your performance in your existing state contract; and
- Accepting anything of value based on the understanding that your actions on behalf of the state would be influenced.

Conn. Gen. Stat. § 1-86e (1) – (3); see also Conn. Gen. Stat. § 1-101nn.

Gift and/or Campaign Contribution Certifications

Contractors seeking large state contracts must provide certifications regarding gifts and/or campaign contributions made to certain state employees or public officials in the two-year period prior to the submission of a bid or proposal. Copies of these certifications and other updated information regarding state contractors can be found on the Web sites of the Department of Administrative Services (www.das.state.ct.us) and the Office of Policy and Management (www.opm.state.ct.us).



Investment Services and the Office of the Treasurer

If you or your business provides investment services, as defined in the Code, and you make a political contribution to the State Treasurer's campaign, you may be prohibited from contracting with the Office of the Treasurer. See Conn. Gen. Stat. § 1-84 (n).

Registering as a Lobbyist

If you or your business spends or receives over \$2,000 in a calendar year for activities that constitute lobbying under Part II of the Code of Ethics (whether to affect legislation or the actions of an administrative state agency), you/your business may have to register as a lobbyist with the Office of State Ethics. Lobbyist registration information is available at www.ct.gov/ethics.



Contribution Ban for Communicator Lobbyists (Conn. Gen. Stat. § 9-610 (g) and (h).)

Registered communicator lobbyists, their affiliated political action committees (PACs), as well as members of their immediate families are banned from soliciting or donating political campaign contributions. Please contact the State Elections Enforcement Commission at 860-566-1776 for more information.

Exhibit 8.3
Guide for Current or Potential State Contractors

Sessional Contribution Ban for Client Lobbyists (Conn. Gen. Stat. § 9-610 (e).)

Registered lobbyists and their affiliated political action committees (PACs) are banned from soliciting or donating political campaign contributions. Specifically, there is a temporary ban while the General Assembly is in session that applies to all registered client lobbyists and their affiliated PACs. Please contact the State Elections Enforcement Commission at 860-566-1776 for more information.

Public Act 05-287

Public Act 05-287 prohibits anyone who is a party (or seeking to become a party) to a large state construction, procurement, or consultant services contract over \$500,000 from:

- Soliciting information from a public official or state employee that is not available to other bidders for that contract, with the intent to obtain a competitive advantage;
- Intentionally or recklessly charging a state agency for work not performed or goods or services not provided;
- Falsifying invoices or bills; or
- Intentionally violating or circumventing state competitive bidding and ethics laws.

This Act also requires any prospective state contractor to affirm in writing that he or she has received a summary of the state's ethics laws and that his or her key employees have read and understood the summary and agree to comply with the applicable provisions. Conn. Gen. Stat. § 1-101qq.

An affirmation form is available through the Connecticut Office of Policy and Management.

Executive Orders

Executive Order 3

Under this Order, the Department of Administrative Services established and maintains on its Web site the State Contracting Portal for purposes of posting all contracting opportunities with state agencies and providing information on contracting processes and procedures.

Executive Order 7C

This Order covers the State Contracting Standards Board, established to conduct a comprehensive review of existing procurement and contracting laws and prepare a uniform code to govern all aspects of procurement and contracting.

The full text of these Executive Orders can be found on the Governor's Web site, www.ct.gov/governorrell/site/default.asp.

Exhibit 8.3
Guide for Current or Potential State Contractors

FOR MORE INFORMATION

This guide provides general information only. The descriptions of the law and the OSE are not intended to be exhaustive. For more information regarding the Code of Ethics as it pertains to current or potential state contractors, please contact the Office of State Ethics, Monday – Friday, 8:30 a.m. to 5:00 p.m.

Office of State Ethics
18-20 Trinity Street
Hartford, CT 06106-1660



T: 860/263-2400
F: 860/263-2402
www.ct.gov/ethics



Specific Contacts:

Questions or advice regarding the Ethics Codes: Ethics.Code@ct.gov
Lobbyist filing/reporting questions: lobbyist.OSE@ct.gov
Public official filing/reporting questions: SFI.OSE@ct.gov
Enforcement questions: Ethics.Enforcement@ct.gov
All other inquiries: ose@ct.gov



Exhibit 8.4



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REQUIRED FOR ALL CONTRACT TYPES

Nondiscrimination Certification

Effective Date: June 30, 2009

- [Form A](#) Representation By Individual
- [Form B](#) Representation By Entity
- [Form C](#) Affidavit By Entity
- [Form D](#) New Resolution By Entity
- [Form E](#) Prior Resolution By Entity

DESCRIPTION

The Office of the Attorney General has approved the above nondiscrimination certification forms to assist executive branch agencies in complying with the State's contracting requirements under Connecticut General Statutes §§ 4a-60 (a)(1) and 4a-60a(a)(1), as amended.

By law, a contractor must provide an awarding State agency with *written representation or documentation* that certifies the contractor complies with the State's nondiscrimination agreements and warranties.

A nondiscrimination certification is required for all State contracts -- regardless of type, term, cost, or value. The appropriate form must be submitted to the awarding State agency prior to contract execution.

*****See list of exempt entities (below).*****

FORMS & DESCRIPTIONS

There are five different certification forms. Form A is *always* used for contracts with an individual who is not an entity, regardless of the contract value. Form B is *always* used for contracts with an entity when the contract value is less than \$50,000. Form C is *recommended* for contracts valued at \$50,000 or more with an entity. If Form C is not used, either Form D or E must be used; both require a resolution (new or prior).

<i>For Use By:</i>	Value Less Than \$50,000	Value \$50,000 or More
Individual	Form A <i>Representation</i>	
Entity	Form B <i>Representation</i>	Form C <i>Affidavit</i>
		Form D <i>New Resolution</i>
		Form E <i>Prior Resolution</i>

Definitions

Exhibit 8.4

- *individual*: a person who is not an entity
- *entity*: corporation, limited liability company, or partnership

EXPLANATION OF FORMS

Form A. Representation: For use by an individual when entering into any contract, regardless of contract value.

Form B. Representation: For use by an entity when entering into any contract valued at less than \$50,000 for any year of the contract.

Form C. Affidavit: (Recommended) For use by an entity when entering into any contract valued at \$50,000 or more for any year of the contract **and** the entity certifies through an affidavit that a complying nondiscrimination policy is currently in place.

Form D. New Resolution: For use by a entity when entering into any contract valued at \$50,000 or more for any year of the contract **and** the entity has a complying nondiscrimination policy adopted by a new resolution of the board of directors, shareholders, managers, members, or other governing body.

Form E. Prior Resolution: For use by a entity when entering into any contract valued at \$50,000 or more for any year of the contract **and** the entity has a complying nondiscrimination policy adopted by a prior resolution of the board of directors, shareholders, managers, members, or other governing body.

EXEMPTIONS

The entities listed below are exempt and, therefore, not required to submit a nondiscrimination certification form when entering into a contract with the State:

1. political subdivisions of the State of Connecticut, including, but not limited to municipalities;
2. quasi-public agencies, as defined in C.G.S. § 1-120;
3. other states of the United States, including, but not limited to, the District of Columbia, Puerto Rico, U.S. territories and possessions, and federally recognized Indian tribal governments, as defined in C.G.S. § 1-267;
4. the federal government;
5. foreign governments; and
6. an agency of a subdivision, agency, state or government listed in items 1-5.

For Further Information, Contact:

Please direct any questions about the nondiscrimination certification forms to the Commission on Human Rights and Opportunities:

Tel. 860/ 541-3400
Connecticut Toll Free Tel. 1-800/ 477-5737

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STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – New Resolution
By Entity
For Contracts Valued at \$50,000 or More

Documentation in the form of a corporate, company, or partnership policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of a contractor that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended

INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at \$50,000 or more for any year of the contract. Complete all sections of the form. Submit to the awarding State agency prior to contract execution.

CERTIFICATION OF RESOLUTION:

I, _____, _____, of _____,
Authorized Signatory Title Name of Entity

an entity duly formed and existing under the laws of _____,
Name of State or Commonwealth

certify that the following is a true and correct copy of a resolution adopted on the _____ day of _____, 20____ by the governing body of _____,
Name of Entity

in accordance with all of its documents of governance and management and the laws of _____, and further certify that such resolution has not been modified
Name of State or Commonwealth

or revoked, and is in full force and effect.

RESOLVED: That the policies of _____ comply with the
Name of Entity

nondiscrimination agreements and warranties of Connecticut General Statutes
§§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

The undersigned has executed this certificate this _____ day of _____, 20____.

Authorized Signatory

Date

Printed Name

Exhibit 9.1
For information only

**DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT
Weatherization Assistance Program RFP**

TIMELINE FOR THE RFP AND CONTRACTING PROCESS

October 20, 2009	Request to OPM to Enter into RFP Process
October 20, 2009	Legal Notice to Newspaper
October 28, 2009	RFP Released/Legal Notice Published
November 4, 2009	Letter of Intent Due
November 9, 2009	Deadline for Questions
November 12, 2009	Official Answers Released
November 18, 2009 by 4:00 p.m.	Deadline for Submitting Proposals
November 19-20, 2009	Review of Proposals
November 23, 2009	Recommendations to Commissioner
November 25, 2009	Contactor Selection
November 30, 2009	Start of Contract Negotiations
December 4, 2009	Start of Contract

Exhibit 10.1

LETTER OF INTENT

**State of Connecticut
Department of Economic and Community Development**

RFP for Weatherization Assistance Program

Return to: Jeri Fazzalano, Planning Specialist
Department of Economic and Community Development
Compliance Office and Planning/Program Support
505 Hudson Street
Hartford, CT 06106
Phone: 860-270-8164
Fax: 860-270-8200

Return Deadline: 4:00 p.m., November 4, 2009

The individual, for profit organization or non-profit organization below intends to submit a proposal in response to the above referenced RFP.

Note: This letter is a non-binding expression of interest and does not obligate the sender to submit a proposal.

Name:

Mailing Address:

Contact Person:

Telephone:

Fax #:

E-mail:

Signature

Title

Date

Exhibit 11.1

**DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT
Weatherization Assistance Program RFP**

Statement of Applicant on Segregation of ARRA WAP Funds

It is hereby represented by the subcontractor (undersigned) that I have read the RFP thoroughly and that I understand that all funds received by our applicant organization must, can and will be kept in separate accounts from any other funds under our domain. I understand that all ARRA WAP funds awarded to our organization from the Department of Economic and Community Development (DECD) through the Department of Social Services (DSS) and the US Department of Energy (DOE) must be kept separately and that any co-mingling of funds is strictly prohibited under this program and that funds must be segregated in checking accounts that are completely separate from our regular operations. I attest that our organization is capable of following this rule in accordance with the regulations of the US Department of Energy (DOE).

Certifying Representative

Type Name and Title _____

Signature _____

Date _____

Please Note: If you do not attest to understanding this rule and to being able to carry it out, and if you do not sign and date this sheet, your application will be deemed "incomplete" and ineligible for funding.

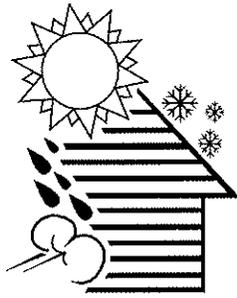
Exhibit 12.1

DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT Weatherization Assistance Program RFP

Employment Created and Retained Under ARRA WAP

A goal of the ARRA WAP Connecticut State Plan is to ensure that funding dedicated to weatherization assistance leads to the creation or retention of a so-called "green workforce." The intention is to distribute ARRA WAP funding in a way that will increase job opportunities and provide specialized training for and access to jobs, with the ultimate goal being that these jobs will lead to skills that will be transferable to the "green" job market in the future. Recruitment shall target a diverse population, some skilled and some new to the workforce, with a focus on low-income individuals, displaced and unemployed workers, persons with disabilities, and veterans and older workers. Below is a list of positions that DSS anticipates will be created or retained as a direct result of funding through ARRA WAP, along with the target employment goals anticipated through the provision of funding through DECD.

<u>Position Title</u>	<u>DECD Target Employment Goals</u>
Crew workers/installers	84
Crew Chiefs/Job Site Supervisors	16
HVAC Contractors	8
Energy Auditors	14
Inspectors	9
Intake/Eligibility	19
Client Education Specialists	3
Local Agency Coordinators	8
Technical Monitors/On-site Monitoring/Oversight	5
Program Administration/Desk Monitoring/Oversight	5
Fiscal Administration/Financial Oversight & Audit	8
Trainers/Teachers/Technical Assistance	9
Equipment, Material & Supply Providers/Transportation	8
Operation/Maintenance of Vehicles & Equipment	2
Inventory Control	3
Total	201



*Weatherization
Works*

**CORE COMPETENCIES FOR THE
WEATHERIZATION ASSISTANCE PROGRAM**

**DEVELOPED
BY:**

THE WEATHERIZATION TRAINERS CONSORTIUM

FOR:

**U.S. DEPARTMENT OF ENERGY
WEATHERIZATION ASSISTANCE PROGRAM**

MARCH 26, 2007

Exhibit 13.1

CORE COMPETENCIES FOR THE WEATHERIZATION ASSISTANCE PROGRAM

INTRODUCTION

Specialized knowledge and skills are required at the local, state, and federal level to run an effective Weatherization Program. While there is a general understanding of the competencies required, these have not been articulated on a national scale.

As part of the Weatherization *Plus* effort to plan the continued evolution of the Weatherization Program, a subcommittee was formed to increase the consistency of quality weatherization services delivered to low-income homes across the country. The goal is that every house that is weatherized receives all appropriate, cost-effective measures installed properly to provide long-term savings.

As a first step, this means recognizing the varying approaches states use to train staff.

- Some states require technical staff at local agencies to obtain certification from an organization such as the Building Performance Institute, while other states have developed their own certification criteria.
- Many states do not have formal certification requirements, but instead require local weatherization staff to attend standardized training courses offered on a regular basis.
- Others have no standardized certification or training requirements, but offer training periodically as the need is perceived and funds allow.

Technical weatherization training for auditors, technicians, and monitors is available from many training centers and independent trainers across the country. Only a few states have developed administrative training for weatherization program managers at the local level. In-depth administrative training for state weatherization staff is even harder to find outside National Association for State Community Services Programs (NASCSPP) conference “newcomer” sessions.

The Weatherization *Plus* subcommittee and the Weatherization Trainers Consortium believe that publishing a set of core competencies will increase awareness and raise expectations. Not all the competencies will be appropriate for every state. Workers repairing or replacing heating and cooling systems often require certification or licensing from the state. Therefore, this work may be subcontracted to licensed contractors outside the Weatherization Program. However, just because a heating, ventilation, and air conditioning (HVAC) contractor is licensed by the state does not mean they possess the HVAC competencies required by the Weatherization Program. Someone at the local agency must be competent to specify what work the contractor is to do and to verify that the completed work complies with state and local codes as well as the technical standards of the Weatherization Program.

The competencies that a weatherization worker should possess depend on their position. For example, an auditor needs to conduct diagnostic testing that may not be required of an installer. The point of entry also dictates which core competencies are required. An

Exhibit 13.1

entry-level installer requires a minimum set of competencies. This installer must acquire additional skills to become a crew chief, and still more to become an auditor. A new auditor hired off the street must already possess auditor-level competencies as a condition of hire. These increasing levels of competency also provide a career or development path for agency and contractor personnel.

The following core competencies were compiled from course offerings of several weatherization training centers and from the technical program standards of a handful of states. Core competencies for the following topical areas are listed:

- Basic competencies,
- Safe work practices,
- Building evaluation,
- Measure installation,
- Final inspection,
- Consumer education,
- Monitoring,
- Program management, and
- Training.

Definitions

- **Competency** means the possession of a minimum level of knowledge and proficiency required to collect appropriate information, make informed decisions, and physically take the needed actions to deliver the high-quality weatherization service in question.
- **Possess a working knowledge of** means to:
 - ◆ Know how a particular topic impacts the weatherization process;
 - ◆ Have the relevant information committed to memory or be able to locate it in readily available sources; and
 - ◆ Use the knowledge to make informed decisions and guide weatherization work.
- **Demonstrate the ability to** means to:
 - ◆ Physically conduct a test, procedure, or technique on an actual house, a prop, or in a training lab in the presence of someone qualified to assess the particular competency.

BASIC COMPETENCIES

All weatherization workers must possess the following Basic Competencies:

- Ability to read and write legibly;
- Basic verbal and written communication skills;
- Basic construction knowledge;
- Basic math skills (see appendix for a test to verify basic math skills); and
- Basic computer skills (see appendix for a test to verify basic computer skills).

Exhibit 13.1

Depending on the position of the weatherization worker, the following Core Competencies help ensure the delivery of effective weatherization services.

SAFE WORK PRACTICES

All field workers must exhibit safe work practices by possess the following competencies.

- Possess a working knowledge of:
 - ♦ U.S. Department of Energy (DOE) program regulations/policy and Environmental Protection Agency (EPA) guidelines for asbestos, lead, mold, and other health hazards;
 - ♦ Material Safety Data Sheets; and
 - ♦ Occupational Safety and Health Act (OSHA) standards:
 - Ladder safety;
 - Fall protection;
 - Personal protective equipment;
 - Respiratory protection;
 - Motor vehicles;
 - Power-operated hand tools;
 - Fire prevention;
 - Permit-required confined spaces;
 - Other worker-related OSHA standards.
- Demonstrate the ability to:
 - ♦ Select, fit, and use the appropriate Personal Protection Equipment for a particular task;
 - ♦ Safely use basic hand and power tools;
 - ♦ Use a basic first aid kit to treat common job-site injuries;
 - ♦ Work lead safe;
 - ♦ Identify serious mold conditions; and
 - ♦ Assess work area safety hazards.

INSTALLER

The following competencies are required by workers that install weatherization measures.

- **Prerequisites**
 - ♦ Possess *Safe Work Practices* competencies
- **Air Sealing**
 - ♦ Possess a working knowledge of:
 - Proper materials selection based on location of leakage areas
 - Minimum ventilation rates.
 - ♦ Demonstrate the ability to:
 - Use the blower door to locate leakage sites within the building
 - Seal attic and floor bypasses at penetrations for plumbing, electrical wiring, flue vents, ducts; dropped soffits, and balloon-framed walls;
 - Seal typical bypasses in kneewalls and finished attic spaces;
 - Seal basement band joists;
 - Properly apply caulk and spray foam insulation;

Exhibit 13.1

- Identify, select, and install weatherstripping on doors, windows, and attic hatches;
- Cut glass, replace broken window panes, and apply glazing compound;
- Repair plaster and sheetrock (drywall); and
- Modify or install mechanical ventilation to ensure acceptable indoor air quality for post-air-sealing conditions.
- **Duct Sealing**
 - ♦ Demonstrate the ability to:
 - Properly seal duct connections with mastic and fiberglass mesh tape or other approved material; and
 - Repair or modify duct systems as specified in a work order.
- **Insulation**
 - ♦ Possess a working knowledge of:
 - Properties and appropriate application of different insulation materials; and
 - Potential hazards of insulating around knob-and-tube wiring.
 - ♦ Demonstrate the ability to:
 - Install blown and batt attic insulation;
 - Access closed wall cavities and properly install dense-packed cellulose wall insulation including removing and replacing siding;
 - Install blown insulation and batt insulation in a floor;
 - Install water heater installation blankets;
 - Install insulation on ducts, hydronic distribution pipes, and domestic hot water pipes; and
 - Safely operate and properly maintain insulation blowing machines and generators.
- **Base-Load Measures**
 - ♦ Demonstrate the ability to:
 - Replace incandescent light bulbs with compact fluorescent lamps while maintaining or improving lighting levels; and
 - Install low-flow showerheads and faucet aerators;
 - Assess the existing condition of plumbing pipes and faucets that may prohibit these measures.

CREW CHIEF

Personnel that supervise field workers such as *Installers* must possess the following competencies.

- **Prerequisites**
 - ♦ Possess *Safe Work Practices* and *Installer* competencies.
 - ♦ Possess a working knowledge of building science principles.
- **Project Management**
 - ♦ Demonstrate the ability to:
 - Manage a crew of *Installers* so weatherization work is conducted safely, effectively, and efficiently;
 - Ensure that the job site and *Installers* comply with the *Safe Work Practices* described previously;

Exhibit 13.1

- Maintain quality control of weatherization work and ensure it meets program stands;
- Understand a work order;
- Order and obtain materials, supplies, and equipment in time to avoid delays and wasted time on the job site; and
- Warehouse materials as necessary to avoid delays in completing weatherization work.
- **Inspection and Measurement**
 - ♦ Possess a working knowledge of:
 - Air and heat flow in buildings;
 - Factors that affect building heat loss;
 - Construction features and critical junction points of common housing types;
 - Insulation R-values;
 - Different insulation materials and installation techniques;
 - Various air-sealing techniques and appropriate materials;
 - Causes of and remedies for existing and potential moisture problems;
 - Causes of and remedies for other existing and potential indoor air quality problems;
 - Residential mechanical ventilation systems;
 - Minimum ventilation rates/building tightness limits based on the appropriate ASHRAE 62 standard; and
 - Electric base-load usage.
 - ♦ Demonstrate the ability to:
 - Measure the dimensions of floors, walls, ceilings, windows, and doors, and compute surface areas;
 - Compute the volume of conditioned space of a building;
 - Define the thermal envelope of a building; and
 - Assess the effectiveness of existing insulation and the effective R-values.
- **Diagnostic Testing**
 - ♦ Blower door
 - Possess a working knowledge of:
 - Principles of air movement and how they relate to building heat loss;
 - Typical air leakage problems in common housing types; and
 - Minimum ventilation rates.
 - Demonstrate the ability to:
 - Set up a blower door;
 - Prepare a building for a blower door test; and
 - Take blower door reading and interpret results.
 - ♦ Zone pressure diagnostics
 - Possess a working knowledge of:
 - The air barrier of a building and the importance of aligning it with the thermal barrier; and
 - Primary and intermediate zones of a house.
 - Demonstrate the ability to:
 - Conduct zone pressure diagnostics and interpret results; and
 - Determine the location and effectiveness of the air barrier of a house.

Exhibit 13.1

- ◆ Duct testing
 - Possess a working knowledge of:
 - Problems associated with different types of duct leakage.
 - Demonstrate the ability to:
 - Determine dominant duct leakage;
 - Determine the amount of duct leakage or least the existence of significant duct leakage by conducting pressure pan, duct blaster, or delta Q tests.
 - Measure room pressure imbalances in houses with forced-air systems.
 - Resolve room pressure imbalances.
- **Combustion Appliance Safety**
 - ◆ Possess a working knowledge of:
 - CO action levels;
 - Common code requirements related to:
 - Vent system sizing, materials, clearances, and installation;
 - Safety shut-off devices;
 - Gas line sizing; and
 - Combustion air;
 - Causes of and remedies to common vent system problems.
 - ◆ Demonstrate the ability to:
 - Measure the CO level in ambient air;
 - Measure the CO level of vented and unvented combustion appliances;
 - Measure the CO levels of gas- or propane-fired cook stoves (oven and burners) and remedy high CO levels through basic cleaning and adjustments;
 - Understand the difference between as-measured and air-free CO readings;
 - Detect gas, propane, and fuel oil leaks; and
 - Conduct a worst-case draft test of a combustion appliance zone; and
 - Measure the steady-state efficiency of a vented combustion appliance.
- **Insulation**
 - ◆ In addition to the insulation-related *Installer* competencies, possess a working knowledge of:
 - Local codes relating to attic ventilation.
- **Training**
 - ◆ Possess a working knowledge of:
 - Adult learning concepts; and
 - Benefits of cross training on-site personnel.
 - ◆ Demonstrate the ability to:
 - Provide on-site training to *Installers* in a positive environment to strengthen competency in existing skills and increase the number of skill areas.

Exhibit 13.1

AUDITOR

- **Prerequisites**
 - ♦ Possess *Safe Work Practices, Installer, and Crew Chief* competencies.
 - ♦ Possess a working knowledge of building science principles.
- **Inspection and Measurement**
 - ♦ Possess a working knowledge of:
 - Air and heat flow in buildings;
 - Factors that affect building heat loss;
 - Construction features and critical junction points of common housing types;
 - Insulation R-values;
 - Different insulation materials and installation techniques;
 - Various air-sealing techniques and appropriate materials;
 - Causes of and remedies for existing and potential moisture problems;
 - Causes of and remedies for other existing and potential indoor air quality problems;
 - Residential mechanical ventilation systems;
 - Minimum ventilation rates/building tightness limits based on the appropriate ASHRAE 62 standard; and
 - Electric base-load usage.
 - ♦ Demonstrate the ability to:
 - Measure the dimensions of floors, walls, ceilings, windows, and doors, and compute surface areas;
 - Compute the volume of conditioned space of a building;
 - Define the thermal envelope of a building;
 - Assess the effectiveness of existing insulation and the effective R-values; and
 - Analyze utility bills including breaking out base-load usage from heating and cooling usage.
- **Diagnostic Testing**
 - ♦ Blower door
 - Possess a working knowledge of:
 - Principles of air movement and how they relate to building heat loss;
 - Typical air leakage problems in common housing types; and
 - Minimum ventilation rates.
 - Demonstrate the ability to:
 - Set up a blower door;
 - Prepare a building for a blower door test; and
 - Take blower door reading and interpret results.
 - ♦ Zone pressure diagnostics
 - Possess a working knowledge of:
 - The air barrier of a building and the importance of aligning it with the thermal barrier; and
 - Primary and intermediate zones of a house.
 - Demonstrate the ability to:
 - Conduct zone pressure diagnostics and interpret results;
 - Determine the location and effectiveness of the air barrier of a house; and
 - ♦ Duct testing

Exhibit 13.1

- Possess a working knowledge of:
 - Problems associated with different types of duct leakage.
- Demonstrate the ability to:
 - Determine dominant duct leakage; and
 - Conduct pressure tests. Potential tests include:
 - , Pressure pan
 - , Duct Blaster
 - , Delta-Q
 - Seal duct leaks with appropriate materials and good workmanship.
 - Measure room pressure imbalances in houses with forced-air systems.
- ◆ Steam and hot water distribution system testing
 - Possess a working knowledge of:
 - The components of typical steam and hot water distribution systems and the characteristics of their proper operation.
 - Demonstrate the ability to:
 - Test air vents, steam traps, thermostatic radiator valves, and hot water zone valves; and
 - Estimate the energy impacts of existing overheating problems.
- ◆ Base-load systems
 - Demonstrate the ability to:
 - Meter electrical devices to determine their annual energy consumption.
- **Combustion Appliance Safety**
 - ◆ Possess a working knowledge of:
 - CO action levels;
 - Common code requirements related to:
 - Vent system sizing, materials, clearances, and installation;
 - Safety shut-off devices;
 - Gas line sizing; and
 - Combustion air;
 - Causes of and remedies to common vent system problems.
 - ◆ Demonstrate the ability to:
 - Measure the CO level in ambient air;
 - Measure the CO level of vented and unvented combustion appliances;
 - Measure the CO levels of gas- or propane-fired cook stoves (oven and burners);
 - Understand the difference between as-measured and air-free CO readings;
 - Detect and natural gas, propane, and fuel oil leaks;
 - Conduct a worst-case draft test of a combustion appliance zone;
 - Measure the CAZ to assure sufficient volume for combustion air;
 - Clock a gas meter to determine the actual input of a gas-fired combustion appliance;
 - Conduct basic temperature-rise and static-pressure-drop tests on forced-air furnaces;
 - Measure the steady-state efficiency of a vented combustion appliance; and
 - Assess the potential inadequacy of supply and return plenum and duct sizes for forced-air systems.

Exhibit 13.1

- **Measure Selection**
 - ◆ Possess a working knowledge of:
 - What materials are allowed to be installed based on 10 CFR 440 Appendix A;
 - The regulatory and policy requirements for selecting weatherization measures using DOE-approved energy audit software or priority lists; and
 - The interaction between typical weatherization measures (e.g., the impact of air-sealing and insulation measures on the potential savings of heating efficiency improvements).
 - ◆ Demonstrate the ability to:
 - Use a DOE-approved energy audit to input accurate building data and recommend appropriate, cost-effective weatherization measures;
 - If required, use a DOE-approved priority list to select appropriate, cost-effective weatherization measures;
 - Prioritize air-sealing efforts;
 - Estimate the heating and/or cooling load of a dwelling to ensure proper equipment sizing if the heating or cooling system is to be replaced;
 - Select the proper CFL to replace an incandescent lamp while maintaining or improving lighting levels; and
 - Meter an existing refrigerator or locate its DOE tested usage in a database to estimate annual energy consumption.
- **Work Scope Development**
 - ◆ Demonstrate the ability to:
 - Accurately estimate the type and quantity of materials required to cost-effectively weatherize an eligible dwelling unit; and
 - Prepare clearly written work orders for work crews or contractors.

CONTRACTOR

Contractors hired by local weatherization agencies to perform weatherization work must possess the following competencies. See *HVAC Installer/Contractor* for the competencies required of these specialty contractors.

- **Prerequisites**
 - ◆ Possess *Safe Work Practices, Installer, and Crew Chief* competencies.
 - ◆ Possess a working knowledge of building science principles.
- **Business Management**
 - ◆ Demonstrate the ability to:
 - Maintain the licenses required by the state and local jurisdiction for the type of work the *Contractor* is hired to perform;
 - Possess adequate insurance;
 - Employ U.S. citizens or properly documented aliens; and
 - Bid, negotiate, and sign contracts, as necessary.

Exhibit 13.1

- **Project Management**

- ◆ Demonstrate the ability to:
 - Manage a crew of *Contractor*-employed *Installers* so weatherization work is conducted safely, effectively, and efficiently;
 - Ensure that the job site and *Contractor*-employed *Installers* comply with the *Safe Work Practices* described previously;
 - Understand a work order;
 - Maintain quality control of weatherization work and ensure it meets program standards;
 - Order and obtain materials, supplies, and equipment in time to avoid delays and wasted time on the job site; and
 - Warehouse materials as necessary to avoid delays in completing weatherization work.

Depending on the type of work the *Contractor* is hired to perform, the following inspection, diagnostic testing, combustion appliance safety, and/or insulation competencies may be required.

- **Inspection and Measurement**

- ◆ Possess a working knowledge of:
 - Air and heat flow in buildings;
 - Factors that affect building heat loss;
 - Construction features and critical junction points of common housing types;
 - Insulation R-values;
 - Different insulation materials and installation techniques;
 - Various air-sealing techniques and appropriate materials;
 - Causes of and remedies for existing and potential moisture problems;
 - Causes of and remedies for other existing and potential indoor air quality problems;
 - Residential mechanical ventilation systems;
 - Minimum ventilation rates/building tightness limits based on the appropriate ASHRAE 62 standard; and
 - Electric base-load usage.
- ◆ Demonstrate the ability to:
 - Measure the dimensions of floors, walls, ceilings, windows, and doors, and compute surface areas;
 - Compute the volume of conditioned space of a building;
 - Define the thermal envelope of a building; and
 - Assess the effectiveness of existing insulation and the effective R-values.

- **Diagnostic Testing**

- ◆ Blower door
 - Possess a working knowledge of:
 - Principles of air movement and how they relate to building heat loss;
 - Typical air leakage problems in common housing types; and
 - Minimum ventilation rates.
 - Demonstrate the ability to:
 - Set up a blower door;
 - Prepare a building for a blower door test; and

Exhibit 13.1

- Take blower door reading and interpret results.
- ◆ Zone pressure diagnostics
 - Possess a working knowledge of:
 - The air barrier of a building and the importance of aligning it with the thermal barrier; and
 - Primary and intermediate zones of a house.
 - Demonstrate the ability to:
 - Conduct zone pressure diagnostics and interpret results; and
 - Determine the location and effectiveness of the air barrier of a house.
- ◆ Duct testing
 - Possess a working knowledge of:
 - Problems associated with different types of duct leakage.
 - Demonstrate the ability to:
 - Determine dominant duct leakage;
 - Determine the amount of duct leakage or least the existence of significant duct leakage by conducting pressure pan, duct blaster, or delta Q tests;
 - Measure room pressure imbalances in houses with forced-air systems; and
 - Resolve room pressure imbalances.
- **Combustion Appliance Safety**
 - ◆ Possess a working knowledge of:
 - CO action levels;
 - Common code requirements related to:
 - Vent system sizing, materials, clearances, and installation;
 - Safety shut-off devices;
 - Gas line sizing; and
 - Combustion air;
 - Causes of and remedies to common vent system problems.
 - ◆ Demonstrate the ability to:
 - Measure the CO level in ambient air;
 - Measure the CO level of vented and unvented combustion appliances;
 - Measure the CO levels of gas- or propane-fired cook stoves (oven and burners) and remedy high CO levels through basic cleaning and adjustments;
 - Understand the difference between as-measured and air-free CO readings;
 - Detect gas, propane, and fuel oil leaks; and
 - Conduct a worst-case draft test of a combustion appliance zone; and
 - Measure the steady-state efficiency of a vented combustion appliance.
- **Insulation**
 - ◆ In addition to the insulation-related *Installer* competencies, possess a working knowledge of:
 - Local codes relating to attic ventilation.

Exhibit 13.1

HEATING, VENTILATION, AND AIR CONDITIONING (HVAC) INSTALLER/CONTRACTOR

- **Heating and Cooling Equipment**
 - ◆ Prerequisites:
 - Possess *Auditor/Combustion Appliance Safety* and *Safe Work Practices* competencies; and
 - Possess the HVAC certifications and licenses required by the state and local jurisdiction.
 - ◆ Possess a working knowledge of:
 - The components of typical steam and hot water distribution systems and the characteristics of their proper operation.
 - ◆ Demonstrate the ability to:
 - Maintain quality control of weatherization work and ensure it meets program standards;
 - Repair or replace heating and cooling equipment in a code-compliant manner;
 - Estimate the heating and/or cooling load of a dwelling per Manual J to ensure proper sizing of replacement heating or cooling systems;
 - Repair or replace vent systems of combustion appliances in a code-compliant manner;
 - Repair or replace a water heater in a code-compliant manner (some states may require a licensed plumber to replace a water heater);
 - Ensure proper sizing of gas lines;
 - Assess the adequacy of supply and return plenum and duct sizes for forced-air systems;
 - Add return and supply plenums and ducts as required;
 - Determine dominate duct leakage;
 - Conduct duct pressure tests, which could include:
 - Pressure pan;
 - Duct Blaster; and
 - Delta-Q;
 - Measure and solve room pressure imbalances in houses with forced-air systems;
 - Test air vents, steam traps, thermostatic radiator valves, and hot water zone valves;
 - Bleed unwanted air from a hot water distribution system;
 - Estimate the energy impacts of existing overheating problems in steam and hot water heating systems;
 - Warehouse materials as necessary to avoid delays in completing weatherization work; and
 - Test out to assure system is operating properly and safely.

Exhibit 13.1

INSPECTOR

- Prerequisites:
 - ♦ Inspectors should possess *Safe Work Practices, Installer, and Auditor* competencies.
- Possess a working knowledge of:
 - ♦ Relevant DOE Weatherization Program regulations and policy;
 - ♦ Building science principles; and
 - ♦ Relevant local codes.
- Demonstrate the ability to:
 - ♦ Verify that the weatherized house is safe by conducting all appropriate combustion appliance safety tests;
 - ♦ Evaluate the allowability and appropriateness of the installed weatherization measures taking into consideration program regulations, policy, energy audit results, and/or priority lists;
 - ♦ Assess whether the measures were installed with good workmanship, proper materials, and in such a manner to comply with local code and ensure long-term energy savings over the life of the measures;
 - ♦ Ensure that all measures charged to the job were actually installed; and
 - ♦ Verify the effectiveness of air-sealing efforts by conducting a blower door test and zone pressure diagnostics.

CONSUMER EDUCATION

- Competency
 - ♦ Principles of adult education
- Possess a working knowledge of:
 - ♦ What actions can be taken to reduce energy use in the home;
 - ♦ The basic steps in the Weatherization process from auditing, testing, installation, inspection, and monitoring;
 - ♦ The purpose of the basic equipment involved in weatherizing a house, including a blower door, pressure pan, combustion analyzer, gas leak detector, insulation blowing machine, and generator; and
 - ♦ What actions need to be taken to maintain a healthful indoor environment.
- Demonstrate the ability to:
 - ♦ Estimate the economic impacts of suggested actions to bolster customer commitment to change.

Exhibit 13.1

MONITOR (TECHNICAL)

- Prerequisites:
 - ◆ Monitors should possess all *Safe Work Practices, Auditor, and Inspector* competencies.
 - ◆ Monitors should be knowledgeable of *Installer* competencies.
- Possess a working knowledge of:
 - ◆ Principles of building science; and
 - ◆ Principles of adult education.
- Demonstrate the ability to:
 - ◆ Produce written reports that clearly identify weaknesses and provide sound solutions;
 - ◆ Provide on-site training and technical assistance; and
 - ◆ Solve complex technical problems.

MONITOR (ADMINISTRATIVE)

- Possess a working knowledge of:
 - ◆ Principles of adult education;
 - ◆ Enabling legislation governing the U.S. Department of Energy's (DOE's) Weatherization Assistance Program;
 - ◆ DOE program regulations 10 C.F.R. 440;
 - ◆ DOE program guidance and policy issued via Weatherization Program Notice or memoranda;
 - ◆ Federal, state, and local budget processes;
 - ◆ Federal financial assistance regulations 10 C.F.R. 600 and relevant OMB circulars;
 - ◆ Applicable state procurement regulations; and
 - ◆ State and local approaches to monitoring, training, and technical assistance.
- Demonstrate the ability to:
 - ◆ Produce written reports that can clearly identify weaknesses and provide sound solutions; and
 - ◆ Provide on-site training and technical assistance;

PROGRAM MANAGER

- Possess a working knowledge of:
 - ◆ Enabling legislation governing the U.S. Department of Energy's (DOE's) Weatherization Assistance Program;
 - ◆ DOE program regulations 10 C.F.R. 440;
 - ◆ DOE program guidance and policy issued via Weatherization Program Notice or memoranda;
 - ◆ Federal, state, and local budget process;
 - ◆ Federal financial assistance regulations 10 C.F.R. 600 and relevant OMB circulars;
 - ◆ Applicable state procurement regulations;
 - ◆ State and local approaches to monitoring, training, and technical assistance;

Exhibit 13.1

- ◆ Applicable computer databases and tracking systems and the importance that they remain up-to-date, are secured and backed-up, and are used effectively to manage the program; and
- ◆ Building science principles.
- For state staff:
 - ◆ Demonstrate the ability to:
 - Prepare an annual state plan;
 - Prepare an annual weatherization grant application;
 - Submit accurate financial and production reports in a timely manner;
 - Develop, maintain, and enforce state technical program standards;
 - Provide adequate technical and administrative training for coordinators, auditors, technicians, and inspectors directly employed by local agencies, and ensure that subcontractors receive appropriate technical training;
 - Develop and manage an effective monitoring program;
 - Coordinate resources;
 - Develop and implement innovative leveraging strategies; and
 - Process reimbursement requests in a timely manner.
- For local agency weatherization coordinators:
 - ◆ Demonstrate the ability to:
 - Effectively communicate and manage weatherization staff and subcontractors;
 - Prepare and track a budget for implementing a local weatherization program;
 - Maintain a purchase order system to track contracted services and materials and tool requisitions;
 - Maintain a coding system to assure expenditures are charged to the correct budget category;
 - Maintain inventory tracking system for materials, tools, and equipment;
 - Submit accurate financial and production reports in a timely manner;
 - Comply with federal limits on administrative expenses;
 - Manage a small construction/production-focused operation;
 - Ensure rigorous, unbiased, and accurate final inspection of all completed units;
 - Provide adequate technical training for auditors, technicians, and inspectors directly employed by the local agency, and ensure that subcontractors receive appropriate technical training;
 - Ensure that weatherization work complies with state technical program standards;
 - Coordinate resources; and
 - Develop and implement innovative leveraging strategies.

Exhibit 13.1

TRAINER

- Prerequisites:
 - ◆ Trainers should possess *Safe Work Practices, Auditor, and Inspector* competencies;
 - ◆ Trainers should be knowledgeable of *Installer* competencies;
 - ◆ Completion of adult education training program; and
 - ◆ Certification in subject areas of presented training.
- Possess a working knowledge of:
 - ◆ Principles of building science;
 - ◆ Principles of adult education;
 - ◆ Benefits of cross-training;
 - ◆ Building codes, especially energy and health/safety-related codes;
 - ◆ Allowable activities at the location of training (e.g., knob-and-tube wiring requirements); and
 - ◆ Available resources to aid students in future understanding and application.
- Demonstrate the ability to:
 - ◆ Develop curriculum based on student needs;
 - ◆ Tailor each class to the experience and needs of the students;
 - ◆ Motivate students through inspirational presentations;
 - ◆ Provide hands-on training;
 - ◆ Use technology to enhance the learning experience, especially as related to adult education principles; and
 - ◆ Direct students to other resources to get answers beyond the capacity of the trainer to provide.

Exhibit 14.1

Elderly Units Where Tenants Pay Own Utilities by CAA Region																	
Region A: Bridgeport, Norwalk, Stamford Area																	
State Number	CHFA #	Development Name	Development Address	OWNER	Municipality	Program Type	ELDERLY	FAMILY	NONPROFIT	PROFIT	HA	STRUCTURE	HEAT TYPE	UNITS	BUILDING	# CHILDREN	
E-114L	85218D	Canal Park	5 Canal Street	Westport Housing Authority	WESTPORT	SH Elderly Section 8	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	50	9	0
E-13	85180D	Edward Czesnik Homes	186 Greenwich Avenue	Stamford Housing Authority	STAMFORD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	50	3	0
E-173	86005D	Fairway Acres	358 Wheeler Road	Monroe Housing Authority	MONROE	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	30	8	0
E-179	88048D	Lucas Gardens	125 Arbor Street	Stratford Housing Authority	STRATFORD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	7	0
E-201	92080D	Lucas Gardens II	125 Arbor Street	Stratford Housing Authority	STRATFORD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	23	5	0
E-116	85135D / 99041D	Ludlow Village	1 Emerson Street	Norwalk Housing Authority	NORWALK	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	3	0
E-186	89008D	McKinney Terr. II	73-77 Vinci Drive	Greenwich Housing Authority	GREENWICH	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	51	1	0
E-187	88004D	Old Town Hall	719 Boston Post Road	Darien Housing Authority	DARIEN	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	5	0
E-23	85052D	Pine Tree Apts.	15 Pine Tree Lane	Fairfield Housing Authority	FAIRFIELD	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	20	6	N/R
E-56	85053D	Pine Tree Apts.	15 Pine Tree Lane	Fairfield Housing Authority	FAIRFIELD	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	18	5	N/R
E-27	85195D	Stern Village	1-54 Hedgehog Circle	Trumbull Housing Authority	TRUMBULL	SH Elderly	yes	no	no	no	no	Y	GARDEN/TOWNHOUSE	ELECTRIC - TENANT PAYS	50	12	0
E-110	85196D	Stern Village	55-100 Hedgehog Circle	Trumbull Housing Authority	TRUMBULL	SH Elderly	yes	no	no	no	no	Y	GARDEN/TOWNHOUSE	ELECTRIC - TENANT PAYS	50	14	0
E-146	85197D	Stern Village	100-158 Hedgehog Circle	Trumbull Housing Authority	TRUMBULL	SH Elderly	yes	no	no	no	no	Y	GARDEN/TOWNHOUSE	ELECTRIC - TENANT PAYS	58	15	0
E-167	88050D	Stern Village	159-186 Hedgehog Circle	Trumbull Housing Authority	TRUMBULL	SH Elderly	yes	no	no	no	no	Y	GARDEN/TOWNHOUSE	ELECTRIC - TENANT PAYS	28	7	0
E-137L	85054D	Trefoil Court	20 Trefoil Court	Fairfield Housing Authority	FAIRFIELD	SH Elderly Section 8	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	30	9	N/R
														Total # of Units #	848		
Region B: Bristol, Hartford, New Britain Area																	
State Number	CHFA #	Development Name	Development Address	OWNER	Municipality	Program Type	ELDERLY	FAMILY	NONPROFIT	PROFIT	HA	STRUCTURE	HEAT TYPE	UNITS	BUILDING	# CHILDREN	
E-58	85220D / 96105D	Adams Apts	55 Lanchester Road	Wethersfield Housing Authority	WETHERSFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	29	1	0
E-80	85032D	Bellwood Court	1 - 31 West Drive	East Hampton Housing Authority	EAST HAMPTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	8	0
E-160	85069D	Boston Terrace	41 Boston Terrace	Guilford Housing Authority	GUILFORD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	12	0
E-180	88049D	Broder Place	125 Bridge Street	Suffield Housing Authority	SUFFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	20	1	0
E-129	84001D	Center View Manor	234 East Street	Plainville Housing Authority	PLAINVILLE	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	30	3	0
E-62	85057D	Center Village	75E New London Turnpike	Glastonbury Housing Authority	GLASTONBURY	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	50	10	0
E-162	95025D / 85222D	Chatham Acres	2 - 8 West Drive	East Hampton Housing Authority	EAST HAMPTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	6	0
E-165	85222D	Conhall Conv	55A Lanchester Road	Wethersfield Housing Authority	WETHERSFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	1	1	0
C-14	90030D	D.J. Komanevsky	81 Grove Avenue	Bristol Housing Authority	BRISTOL	SH Congregate	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	GAS - TENANT PAYS	44	1	0
E-125/192	85049D	Ella Grasso Manor	25 Central Street	Enfield Housing Authority	ENFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	11	0
E-21	85045D	Enfield Man Ext	17 Enfield Terrace	Enfield Housing Authority	ENFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	GAS - TENANT PAYS	30	5	0
E-10	85044D	Enfield Manor	17 Enfield Terrace	Enfield Housing Authority	ENFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	GAS - TENANT PAYS	50	13	0
E-164	85051D	Essex Court	16 Main Street	Essex Housing Authority	ESSEX	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	36	12	0
E-194	90115D	Flox Hill	30 Foster Street	South Windsor Housing Authority	SOUTH WINDSOR	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	8	0
E-195	94056D	Florence S. Lord	155 South Main Street	Marlborough Association for Sr Hsg (MASH)	MARLBOROUGH	SH Elderly	yes	no	yes	no	no	N	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	24	1	0
E-190	89005D	Glenhaven	159 Glenwood Road	Clinton Housing Authority	CLINTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	4	0
E-37	85148D	Gosinski Park	31 Gosinski Park	Plymouth Housing Authority	PLYMOUTH	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	7	0
E-98	85149D	Gosinski Park Ext	31 Gosinski Park	Plymouth Housing Authority	PLYMOUTH	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	7	0
E-55	85067D	Guilford Court	32 Guilford Court	Guilford Housing Authority	GUILFORD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	6	0
E-90	85068D	Guilford Court Ext	32 Guilford Court	Guilford Housing Authority	GUILFORD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	OIL - TENANT PAYS	20	2	0
E-181	88052D	Harvey R. Fuller	31 Butler Street	Wethersfield Housing Authority	WETHERSFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	32	1	0
C-16	91071D	Herbert Clark House	43 Canine Road	Glastonbury Housing Authority	GLASTONBURY	SH Congregate	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	GAS - TENANT PAYS	45	1	0
E-121/188	85132D	Hillside Terrace Ext	167 Branford Road	North Branford Housing Authority	NORTH BRANFORD	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	30	5	0
E-79	85221D	James Devlin Court	60 Lanchester Road	Wethersfield Housing Authority	WETHERSFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	50	10	0
E-204	77007D	Kirland Commons	60 Main Street	Deep River Housing Authority	DEEP RIVER	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	OIL - TENANT PAYS	26	1	0
E-149	85058D	Knox Lane Annex	10 Knox Lane	Glastonbury Housing Authority	GLASTONBURY	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	4	0
E-60	85185D	Laurel Court	133 Bridge Street	Suffield Housing Authority	SUFFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	8	0
E-28	85184D	Maple Court	81 Bridge Street	Suffield Housing Authority	SUFFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	20	4	0
E-94	85095D	Maple Village	75 Maple Avenue Ext.	Farmington Housing Authority	FARMINGTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	GAS - TENANT PAYS	40	3	0
E-101	85100D	Marino Manor	1361 Randolph Street	Middletown Housing Authority	MIDDLETOWN	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	40	7	0
E-43	85227D	Millbrook Village	35 Mack Street	Windsor Housing Authority	WINDSOR	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	60	9	0
E-139L	85010D	Mt. Laurel Manor	81 Field Street	Bristol Housing Authority	BRISTOL	SH Elderly Section 8	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	10	0
E-99	85164D	Murphy Apts Ext	1600 Hopmeadow Street	Simsbury Housing Authority	SIMSBURY	SH Elderly	yes	no	no	no	no	Y	SCATTERED SITE	ELECTRIC - TENANT PAYS	30	3	0
E-51	85038D	Park Hill	76 Park Hill	East Windsor Housing Authority	EAST WINDSOR	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	5	0
E-89	85039D	Park Hill Ext	1 Park Hill Street	East Windsor Housing Authority	EAST WINDSOR	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	24	4	0
E-175	90040D	Park Hill Ext	7 Park Hill Street	East Windsor Housing Authority	EAST WINDSOR	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	6	0
E-119	85228D / 99069D	Shad Run Terrace	40 Henry Street	Windsor Housing Authority	WINDSOR	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	30	9	0
E-178	87027D	Shad Run Terrace Ext	40 Henry Street	Windsor Housing Authority	WINDSOR	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	22	9	0

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E-182	87028D / 95140D	Southwest Terrace Apts	124 Southwest Avenue	Windsor Locks Housing Authority	WINDSOR LOCKS	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	1	0			
E-151	85091D	Spencer Vill. Ext.	26-50 Pascal Lane	Manchester Housing Authority	MANCHESTER	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	40	8	0			
E-17	85146D	Sunset Village	20 Stillwell Drive	Plainville Housing Authority	PLAINVILLE	SH Elderly	yes	no	no	no	no	Y	DUPLEX	OIL - TENANT PAYS	40	9	0			
E109L	85014D	TWENTY ONE	21 Dowd Avenue	Canton Housing Authority	CANTON	SH Elderly Section 8	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	6	0			
E-39	85056D	Village Green	10 Knox Lane	Glastonbury Housing Authority	GLASTONBURY	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	50	13	0			
E-78	85172D	Wapping Mews	50 Elm Street	South Windsor Housing Authority	SOUTH WINDSOR	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	9	0			
E-31	85046D	Windsor Court	1-40 Windsor Street	Enfield Housing Authority	ENFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	GAS - TENANT PAYS	20	10	0			
E-50	85047D	Windsor Crt Ext	1-40 Windsor Street	Enfield Housing Authority	ENFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	GAS - TENANT PAYS	20	10	0			
E-63	85147D	Woodmoor Village	234 East Street	Plainville Housing Authority	PLAINVILLE	SH Elderly	yes	no	no	no	no	Y	DUPLEX	ELECTRIC - TENANT PAYS	50	13	0			
E-61	85048D	Woodside Park	1-40 Post Road	Enfield Housing Authority	ENFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	11	N/R			
															Total # of Units =			1633		
Region C: Derby - New Haven Area																				
State Number	CHFA #	Development Name	Development Address	OWNER	Municipality	Program Type	ELDERY	FAMILY	NONPROFIT	PROFIT	HA	STRUCTURE	HEAT TYPE	UNITS	BUILDING	# CHILDREN				
E-9	85101D	C. McKeen Village	45-56 Jepson Drive	Milford Housing Authority	MILFORD	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	25	6	0			
E-68	85102D	C. McKeen Village	101-111 Jepson Dr	Milford Housing Authority	MILFORD	SH Elderly	yes	no	no	no	no	Y	TOWNHOUSE	ELECTRIC - TENANT PAYS	40	8	0			
E-120	85072D	Centerville Village	51 Worth Street	Hamden Housing Authority	HAMDEN	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	10	0			
E-47	85031D	Cicia Manor	2-26 Anson Street	Derby Housing Authority	DERBY	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	GAS - TENANT PAYS	40	11	0			
92068D /																				
E-197	01011D	Crestview Ridge	100 Stekum Circle	Oxford Housing Authority	OXFORD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	34	5	0			
E-153	85103D	DeMaio Gardens	24-90 DeMaio Drive	Milford Housing Authority	MILFORD	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	30	5	0			
E-48	85161D	Devaux Apts	91 Howe Street	Shelton Housing Authority	SHELTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	4	0			
E-40	85070D	Hamden Village	66 Clifford Street	Hamden Housing Authority	HAMDEN	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	60	15	1			
E-82	85071D	Hamden Village Ext	66 Clifford Street	Hamden Housing Authority	HAMDEN	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	50	1	0			
E-75	85001D	J.J. O'Donnell Apts	63 Woodlawn Avenue	Ansonia Housing Authority	ANSONIA	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	1	0			
E-191	90037D	Lakeview Apts	1-30 Gardino Terrace	Derby Housing Authority	DERBY	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	GAS - TENANT PAYS	30	1	0			
C-4	85074D	Mount Carmel	33 Woodruff Street	Hamden Housing Authority	HAMDEN	SH Congregate	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	1	0			
E-150	85073D	Mount Carmel	33 Woodruff Street	Hamden Housing Authority	HAMDEN	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	2	1			
851606 /																				
E-76	01012D	Norman L. Ray House	133 Walnut Street	Seymour Housing Authority	SEYMOUR	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	40	1	0			
E-105	85134D	Parkside Manor	191 Pool Road	North Haven Housing Authority	NORTH HAVEN	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	4	0			
E-145	85162D	Sinsabaugh Heights	187 Meadow Street	Shelton Housing Authority	SHELTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	8	0			
E-213	99049D	Sinsabaugh Heights II	187 Meadow Street	Shelton Housing Authority	SHELTON	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	40	8	0			
E-185	89035D	Temple Pines	555 Pool Road	North Haven Housing Authority	NORTH HAVEN	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	1	0			
															Total # of Units =			689		
Region D: Danbury - Meriden - Waterbury Area																				
State Number	CHFA #	Development Name	Development Address	OWNER	Municipality	Program Type	ELDERY	FAMILY	NONPROFIT	PROFIT	HA	STRUCTURE	HEAT TYPE	UNITS	BUILDING	# CHILDREN				
E-159 &A	85156D	Ballard Green Ext	21-25 Gilbert Street	Ridgefield Housing Authority	RIDGEFIELD	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	20	5	0			
E-138L	85015D	Beachport	50 Rumberg Road	Cheshire Housing Authority	CHESHIRE	SH Elderly Section 8	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	48	7	0			
E-29	85211D	Begg Apts	1106 Bank Street	Waterbury Housing Authority	WATERBURY	SH Elderly	yes	no	no	no	no	Y	MID RISE (5 TO 9 FLOORS)	ELECTRIC - TENANT PAYS	76	1	0			
85011D /																				
E-135	00002D	Brooks Quarry	3 Brooks Quarry Road	Brookfield Housing Authority	BROOKFIELD	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	35	1	N/R			
E-156	85215D	Buckingham Terrace	935 Buckingham Street	Watertown Housing Authority	WATERTOWN	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	40	5	0			
E-18	85206D	Eastside Terrace	10-39 East Terrace	Wallingford Housing Authority	WALLINGFORD	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	40	10	1			
E-200	92056D	Eldridge	109 East Street	Morris Housing Authority	MORRIS	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	20	5	0			
E-24	85210D	F. D. Roosevelt Apts	27 Kearney Drive	Waterbury Housing Authority	WATERBURY	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	48	9	0			
E-64	85168D	Forgione Terrace	408 Main Street	Southington Housing Authority	SOUTHINGTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	6	0			
E-33	85167D	Gen. Pulaski Terrace	6 Carter Lane	Southington Housing Authority	SOUTHINGTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	10	0			
85022D/9501																				
E-2	9D	Glen Apartments	67 Rocky Glen Road	Danbury Housing Authority	DANBURY	SH Elderly	yes	yes	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	GAS - TENANT PAYS	50	12	0			
85023D/9501																				
E-16	9D	Glen Apartments	25 Memorial Drive	Danbury Housing Authority	DANBURY	SH Elderly	yes	yes	no	no	no	Y	DUPLEX	GAS - TENANT PAYS	50	11	0			
E-49	85186D	Green Manor	1 Union Street	Thomaston Housing Authority	THOMASTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	6	0			
E-74	85187D	Green Manor	1 Union Street	Thomaston Housing Authority	THOMASTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	32	7	0			
85223D /																				
E-72	01018D	Greenwoods Garden Apts	49 Gay Street	Winchester Housing Authority	WINCHESTER	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	40	10	0			
E-196	92082D	John P. Savage	1-34 Martin Avenue	Wallingford Housing Authority	WALLINGFORD	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	35	9	0			
E-147	85212D	Kelley Apts	119-125 Fairmont Street	Waterbury Housing Authority	WATERBURY	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	4	0			
E-35	85193D	Laurel Acres	523 Torrington West	Torrington Housing Authority	TORRINGTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	13	0			
E-73	85194D	Laurel Acres Ext	523 Torrington West	Torrington Housing Authority	TORRINGTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	16	6	0			
E-168	85171D	Lincoln Lewis Terrace	43 Academy Street	Southington Housing Authority	SOUTHINGTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	1	0			
E-132L	85002D	Marjorie Moore Village	250 Kensington Road	Berlin Housing Authority	BERLIN	SH Elderly Section 8	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	40	6	0			
E-70	85208D	McGuire Court	1-50 McGuire Court	Wallingford Housing Authority	WALLINGFORD	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	50	12	0			
E-140L	85209D	McKenna Court	1-30 McKenna Court	Wallingford Housing Authority	WALLINGFORD	SH Elderly Section 8	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	30	8	0			
E-12	85107D	Oak Terrace	53 Conrad Street	Naugatuck Housing Authority	NAUGATUCK	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	OIL - TENANT PAYS	50	11	0			
85108D /																				
E-30	97040D	Oak Terrace Ext	53 Conrad Street	Naugatuck Housing Authority	NAUGATUCK	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	40	8	0			

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E-71	85109D / 98042D	Oak Terrace Ext	53 Conrad Street	Naugatuck Housing Authority	NAUGATUCK	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	24	4	0		
E-96	85110D	Oak Terrace Ext	53 Conrad Street	Naugatuck Housing Authority	NAUGATUCK	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	40	8	0		
E-143	85111D	Oak Terrace Ext	53 Conrad Street	Naugatuck Housing Authority	NAUGATUCK	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	40	7	0		
E-166	86001D	Reynold's Ridge	42-82 Reynold's Ridge	Bethel Housing Authority	BETHEL	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	7	0		
E-133L	85004D	Reynold's Ridge	1-41 Reynold's Ridge	Bethel Housing Authority	BETHEL	SH Elderly Section 8	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	10	0		
E-34	85207D	Southside Terrace	1-40 Southside Terrace	Wallingford Housing Authority	WALLINGFORD	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	40	11	1		
E-14	85192D / 85133D /	Thompson Heights	1-20 Albert Street	Torrington Housing Authority	TORRINGTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	35	11	0		
E-97	00015D	Wangum Village	132 Quinn Street	North Canaan Housing Authority	NORTH CANAAN	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	7	0		
E-95	85089D	Wells Run	130 Doyle Road	Litchfield Housing Authority	LITCHFIELD	SH Elderly	yes	no	no	no	no	Y	DUPLEX	ELECTRIC - TENANT PAYS	30	8	N/R		
E-1	85191D	Willow Gardens	52 Willow Street	Torrington Housing Authority	TORRINGTON	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	GAS - TENANT PAYS	39	8	0		
E-122	85169D	Zdunczyk Terrace	500 Pleasant Street	Southington Housing Authority	SOUTHINGTON	SH Elderly	yes	no	no	no	no	Y	SCATTERED SITE	ELECTRIC - TENANT PAYS	40	7	0		
E-148	85170D	Zdunczyk Terrace Ext	500 Pleasant Street	Southington Housing Authority	SOUTHINGTON	SH Elderly	yes	no	no	no	no	Y	SCATTERED SITE	ELECTRIC - TENANT PAYS	20	3	0		
															Total # of Units:		1408		
Region E: Dantelson, Norwich Area																			
State Number	CHA #	Development Name	Development Address	OWNER	Municipality	Program Type	ELDERLY	FAMILY	NONPROFIT	PROFIT	HA	STRUCTURE	HEAT TYPE	UNITS	BUILDING	# CHILDREN			
E-42	85062D	Ashland Manor	91 Ashland Street	Griswold Housing Authority	GRISWOLD	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	30	10	0		
E-41	85174D	Avery Park	55 West Street	Stafford Housing Authority	STAFFORD	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	40	6	N/R		
E-64	85175D	Avery Park Ext	55 West Street	Stafford Housing Authority	STAFFORD	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	40	11	N/R		
E-117	85176D	Avery Park Ext	65 West Street	Stafford Housing Authority	STAFFORD	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	30	8	N/R		
E-142	85087D / 85130D / 00014D / 01009D / 77022b / 99037D /	Birchwood Terrace	41 Birchwood Terrace	Killingly Housing Authority	KILLINGLY	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	5	0		
E-57	98053D	Carver Building	202 Colman Street	New London Housing Authority	NEW LONDON	SH Elderly	yes	no	no	no	no	Y	HIGH RISE (10 FLOORS OR MORE)	ELECTRIC - TENANT PAYS	130	2	0		
E-206	93017D	Dublin Vill. Annex	300 Lebanon Road	Colchester Housing Authority	COLCHESTER	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	16	4	0		
E-44	85016D	Dublin Village	300 Lebanon Road	Colchester Housing Authority	COLCHESTER	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	24	3	0		
E-131	85181D	E. K. Richmond Homes	1 Connecticut Avenue	Stonington Housing Authority	STONINGTON	SH Elderly	yes	no	no	no	no	Y	SCATTERED SITE	ELECTRIC - TENANT PAYS	50	12	0		
E-203	93058D	E. K. Richmond Homes Ext	1 Connecticut Avenue	Stonington Housing Authority	STONINGTON	SH Elderly	yes	no	no	no	no	Y	SCATTERED SITE	ELECTRIC - TENANT PAYS	10	1	0		
E-20	85141D	Eastwood Court	1 - 25 Stanley Place	Norwich Housing Authority	NORWICH	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	25	3	0		
E-158	85105D	Freedom Village	81 Liberty Road	Montville Housing Authority	MONTVILLE	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	11	0		
E-85	85188D	Gladys Green Apts	500 Riverside Dr (Rt 12)	Thompson Housing Authority	THOMPSON	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	30	6	N/R		
E-9	85129D	Gordon/Rizzo Courts	1-46 Rizzo Ct	New London Housing Authority	NEW LONDON	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	80	19	2		
E-141	85066D	Grasso Gardens I	1-115 Governors Circle	Groton Housing Authority	GROTON	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	40	10	0		
E-184	87002D / 85202D /	Grasso Gardens II	1-115 Governors Circle	Groton Housing Authority	GROTON	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	30	8	0		
E-45	99058D	Greenwood Manor	138 Main Street (School Street)	Voluntown Housing Authority	VOLUNTOWN	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	20	4	0		
E-15	85140D	Harry Schwartz Manor	382 Laurel Hill Avenue	Norwich Housing Authority	NORWICH	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	48	13	0		
E-108	85104D	Independence Village	41 Milefski Drive	Montville Housing Authority	MONTVILLE	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	11	0		
E-169	86004D / 85152D /	King's Corner Manor	31-60 Kings Highway	Ledyard Housing Authority	LEDYARD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	6	0		
E-106	99046D	Lincoln Park	1-12 Lincoln Park Road	Preston Housing Authority	PRESTON	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	40	11	0		
E-111	85063D	McClurgage Manor	230 Taylor Hill	Griswold Housing Authority	GRISWOLD	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	30	9	0		
E-88	85229D / 85196D /	New Roxbury Village	60 Butts Road	Woodstock Housing Authority	WOODSTOCK	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	24	7	0		
E-107	96097D	Old Post Road	763 Talland Stage Rd	Talland Housing Authority	TOLLAND	SH Elderly	yes	no	no	no	no	Y	SCATTERED SITE	ELECTRIC - TENANT PAYS	30	5	0		
E-123L	85019D	Orchard Hill Est I	1630 Main Street	Coventry Housing Authority	COVENTRY	SH Elderly Section 8	yes	no	yes	no	no	N	UNKNOWN	ELECTRIC - TENANT PAYS	40	5	0		
E-157	85018D	Orchard Hill Est II	1630 Main Street	Coventry Housing Authority	COVENTRY	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	40	4	0		
E-36	85064D	Pequot Village I	11-65 Village Lane	Groton Housing Authority	GROTON	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	65	12	0		
E-81	85065D	Pequot Village II	66-78 Village Lane	Groton Housing Authority	GROTON	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	40	7	0		
E-155	85189D	Pineview Court	500 Riverside Dr (Rt 12)	Thompson Housing Authority	THOMPSON	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	40	4	N/R		
E-92	85017D	Panemah Village	283 Westchester Road	Colchester Housing Authority	COLCHESTER	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	6	0		
E-87	85226D	Rev. Moran Terrace	19, 20 Coral Street	Williamantic Housing Authority	WINDHAM	SH Elderly	yes	no	no	no	no	Y	TOWNHOUSE	ELECTRIC - TENANT PAYS	50	14	0		
E-136L	85007D	Robert Bulger Apts	218 Woodstock Avenue	Putnam Housing Authority	PUTNAM	SH Elderly Section 8	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	27	2	0		
E-32	85142D	Rosewood Manor	335 Hamilton Avenue	Norwich Housing Authority	NORWICH	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	80	9	0		
E-144	85143D	Rosewood Manor Ext	335 Hamilton Avenue	Norwich Housing Authority	NORWICH	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	5	0		
E-211	97055D	Rye Field Manor	99 Rye Field Road	Shoreline Affordable Housing	OLD LYME	SH Elderly	yes	no	yes	no	no	N	SCATTERED SITE	ELECTRIC - TENANT PAYS	39	14	0		
E-59	85173D / 85040D /	Shetucket Village	8 Wall Street	Sprague Housing Authority	SPRAGUE	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	20	3	0		
E-52	98018D	Snipsic Village I	20 Main Street	Ellington Housing Authority	ELLINGTON	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	30	6	0		
E-124	85041D	Snipsic Village II	20 Main Street	Ellington Housing Authority	ELLINGTON	SH Elderly	yes	no	no	no	no	Y	UNKNOWN	ELECTRIC - TENANT PAYS	12	3	0		
E-199	90075D	Stoncroft Village	1 Stoncroft Drive	Hebron Housing Authority	HEBRON	SH Elderly	yes	no	no	no	no	Y	ROW HOUSE	ELECTRIC - TENANT PAYS	25	5	0		
E-91	85145D	Sunny Acres	41 Sunny Acres	Plainfield Housing Authority	PLAINFIELD	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	40	7	0		
E-46	85155D	Wm. St. Onge Apts	218 Woodstock Avenue	Putnam Housing Authority	PUTNAM	SH Elderly	yes	no	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	20	6	0		

Exhibit 14.1

E-66	85165D	Woodcrest Apts	63 Battle Street	Somers Housing Authority	SOMERS	SH Elderly	yes	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	24	7	N/R	
E-102	85166D	Woodcrest Apts Ext	63 Battle Street	Somers Housing Authority	SOMERS	SH Elderly	yes	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	7	N/R	
E-127	85094D	Wright's Village	101-912 Wrights Way	Mansfield Housing Authority	MANSFIELD	SH Elderly	yes	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	30	5	0	
E-174	87021D / 99025D	Wright's Village	101-912 Wrights Way	Mansfield Housing Authority	MANSFIELD	SH Elderly	yes	no	no	no	Y	LOW RISE (1 TO 4 FLOORS)	ELECTRIC - TENANT PAYS	10	0	0	
													Total # of Units :		1639		
													TOTAL OF ALL REGIONS :		5917		

Exhibit 15.1

For Information Only

**DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT
Weatherization Assistance Program RFP**

Income Guidelines at 60% of State Median Income

DECD will use income limits set at 60% of the State Median Income adjusted for family size. These income limits are in line with what DSS uses for its Energy Assistance and regular Weatherization Assistance Programs. See the chart that follows for income limits. This information will be used to determine: 1) multifamily building eligibility and 2) individual client/unit eligibility.

Income Guidelines/Annual Income at 60% State Median Income	
Family Size/Number of Members	60% State Median Income
1	\$30,485
2	\$39,865
3	\$49,245
4	\$58,625
5	\$68,005
6	\$77,385
7	\$79,143
8	\$80,902

Connecticut Community Action Agencies

--- Weatherization Program Service Delivery Areas ---

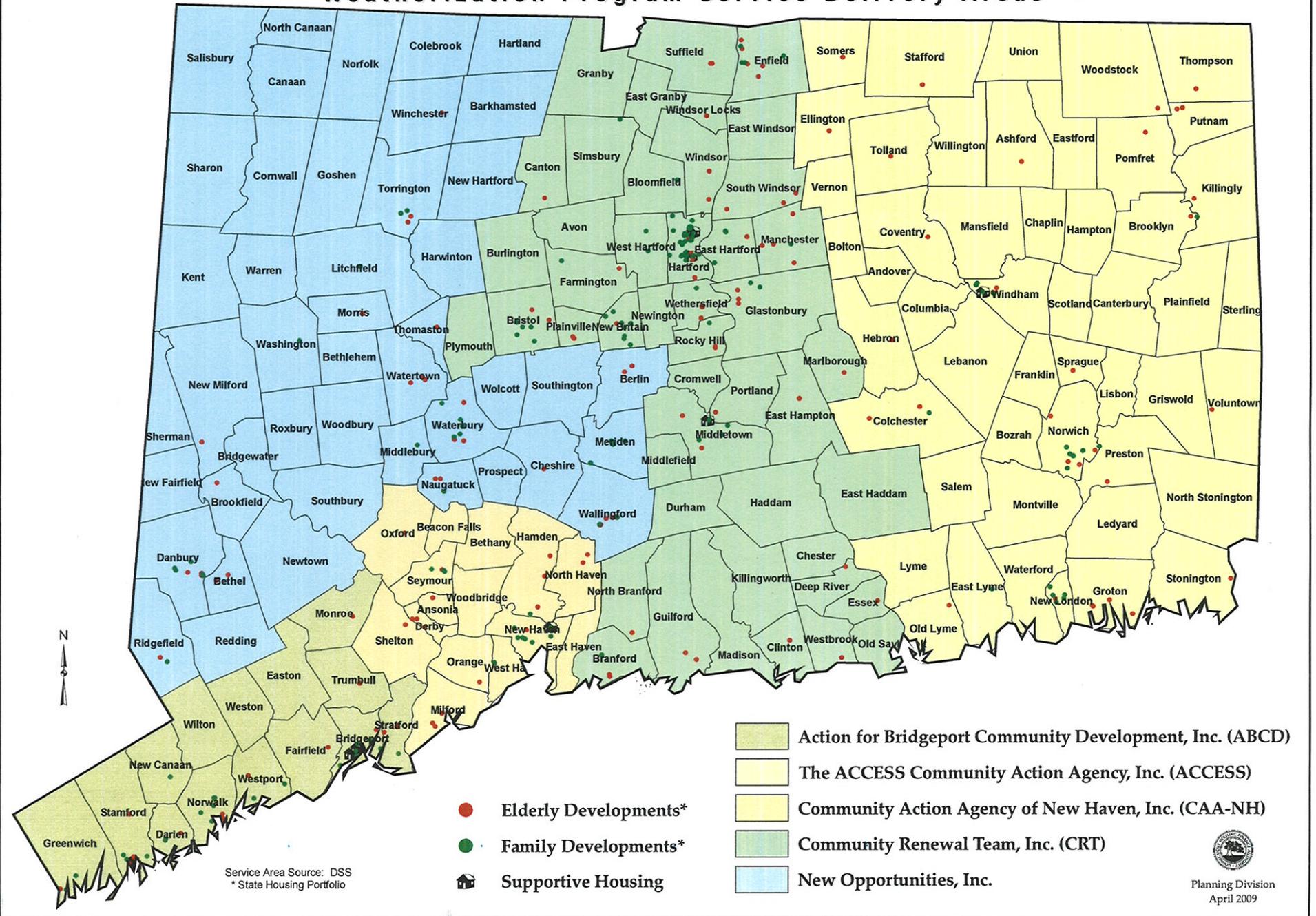


Exhibit 17.1

APPENDIX A—STANDARDS FOR WEATHERIZATION MATERIALS

If the standards listed in this appendix conflict with those required by current local codes, the local code shall have precedence and a copy of the applicable section will be retained with procurement records.

The following Government standards are produced by the Consumer Product Safety Commission and are published in title 16, Code of Federal Regulations:

Thermal Insulating Materials for Building Elements Including Walls, Floors, Ceilings, Attics, and Roofs Insulation—organic fiber—conformance to Interim Safety Standard in 16 CFR part 1209;

Fire Safety Requirements for Thermal Insulating Materials According to Insulation Use—Attic Floor—insulation materials intended for exposed use in attic floors shall be capable of meeting the same flammability requirements given for cellulose insulation in 16 CFR part 1209;

Enclosed spaces—insulation materials intended for use within enclosed stud or joist spaces shall be capable of meeting smoldering combustion requirements in 16 CFR part 1209.

The following standards which are not otherwise set forth in part 440 are incorporated by reference and made part of part 440. The following standards have been approved for incorporation by reference by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. These materials are incorporated as they exist on January 3, 2002 and a notice of any change in these materials will be published in the FEDERAL REGISTER. The standards incorporated by reference are available for inspection at the Office of the Federal Register Information Center, 800 North Capitol Street, Suite 700, Washington, DC 20001.

The standards incorporated by reference in part 440 can be obtained from the following sources:

Air Conditioning and Refrigeration Institute, 4301 N. Fairfax Drive, Suite 425, Arlington, VA 22203; (703) 524-8800.
American Architectural Manufacturers Association, 1827 Walden Office Square, Suite 104, Schaumburg, Illinois 60173-4268; (847) 303-5664.
American Gas Association, 400 N. Capitol Street, NW, Washington, DC 20001; (202) 824-7000.
American National Standards Institute, Inc., 11 West 42nd Street, New York, NY 10036; (212) 642-4900.
American Society of Mechanical Engineers, Three Park Avenue, New York, NY 10016-5990; (212) 591-7722.

American Society for Testing and Materials, 100 Bar Harbor Drive, West Conshohocken, PA 19428-2959; (610) 832-9585.

Association of Home Appliance Manufacturers, 1111 19th Street, NW, Suite 402, Washington DC, 20036; (202) 872-5955.

Federal Specifications, General Services Administration, General Services Administration, Federal Supply Service, Office of the CIO and Marketing Division, Room 800, 1941 Jefferson Davis Hwy., Arlington, VA 22202; (703) 305-6288.

Gas Appliance Manufacturers Association, 2107 Wilson Boulevard, Suite 600, Arlington, Virginia 22201; (703) 525-7060.

National Electrical Manufacturers Association, 1300 North 17th Street, Suite 1847, Rosslyn, VA 22209; (703) 841-3200.

National Fire Protection Association, 1 Batterymarch Park, P.O. Box 9101, Quincy, MA 02269-9101; (617) 770-3000.

Sheet Metal and Air Conditioning Contractors Association, 4201 Lafayette Center Drive, Chantilly, Virginia 20151-1209; (703) 803-2980.

Solar Rating and Certification Corporation, c/o FSEC, 1679 Clearlake Road, Cocoa, FL 32922-5703; (321) 638-1537.

Steel Door Institute, 30200 Detroit Road, Cleveland, OH 44145-1967; (440) 899-0010.

Steel Window Institute, 1300 Sumner Avenue, Cleveland, OH 44115-2851; (216) 241-7333.

Tubular Exchanger Manufacturers Association, 25 North Broadway, Tarrytown, NY 10591; (914) 322-0040.

Underwriters Laboratories, Inc., 333 Pfingsten Road, Northbrook, IL 60062-2096; (847) 272-8800.

Window & Door Manufacturers Association, 1400 East Touhy Avenue, Suite 470, Des Plaines, IL 60018; (800) 223-2301.

More information regarding the standards in this reference can be obtained from the following sources:

Environmental Protection Agency, 401 M Street, NW, Washington, DC 20006; (202) 554-1080.

National Institute of Standards and Technology, U.S. Department of Commerce, Gaithersburg, MD 20899; (301) 975-2000.

Weatherization Assistance Program, Office of Building Technology Assistance, Energy Efficiency and Renewable Energy, 1000 Independence Avenue, SW, EE-42, Washington, DC 20585-0121; (202) 586-4074.

Exhibit 17.1

THERMAL INSULATING MATERIALS FOR BUILDING ELEMENTS INCLUDING WALLS, FLOORS, CEILINGS, ATTICS, AND ROOFS [Standards for conformance]

Insulation--mineral fiber:	
Blanket insulation	ASTM ¹ C665-98.
Roof insulation board	ASTM C726-00a.
Loose-fill insulation	ASTM C764-99.
Insulation--mineral cellular:	
Vermiculite loose-fill insulation	ASTM C516-80 (1996)e1.
Perlite loose-fill insulation .	ASTM C549-81 (1995)e1.
Cellular glass insulation block	ASTM C552-00.
Perlite insulation board . . .	ASTM C728-97.
Insulation--organic fiber:	
Cellulosic fiber insulating board	ASTM C208-95.
Cellulose loose-fill insulation	ASTM C739-00.
Cellulose wet-spray insulation	ASTM C1149-97.
Insulation--organic cellular:	
Preformed block-type polystyrene insulation	ASTM C578-95.
Rigid preformed polyurethane insulation board	ASTM C591-00.
Polyurethane or polyisocyanurate insulation board face with aluminum foil on both sides	FS ² HH-I-1972/1 (1981).
Polyurethane or polyisocyanurate insulation board face with felt on both sides	FS HH-I-1972/2 (1981) and Amendment 1, October 3, 1985).
Insulation--composite boards:	
Mineral fiber insulation board	ASTM C726-00a.
Perlite board	ASTM C728-97.
Gypsum board and polyurethane or polyisocyanurate composite board	FS HH-I-1972/4 (1981).

¹ ASTM indicates American Society for Testing and Materials.

² FS indicates Federal Specifications.

THERMAL INSULATING MATERIALS FOR BUILDING ELEMENTS INCLUDING WALLS, FLOORS, CEILINGS, ATTICS, AND ROOFS--Continued [Standards for conformance]

Materials used as a patch to reduce infiltration through the building envelope	Commercially available.
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THERMAL INSULATING MATERIALS FOR PIPES, DUCTS, AND EQUIPMENT SUCH AS BOILERS AND FURNACES [Standards for conformance]

Insulation--mineral fiber:	
Preformed pipe insulation .	ASTM ¹ C547-00.
Blanket and felt insulation (industrial type)	ASTM C553-00.
Blanket insulation and blanket type pipe insulation (metal-mesh covered, industrial type)	ASTM C592-00.
Block and board insulation	ASTM C612-00.
Spray applied mineral fiber thermal and sound absorbing insulation	ASTM C1014-99ae1.
High-temperature fiber blanket insulation	ASTM C892-00.
Duct work insulation	ASTM C1290-00.
Insulation--mineral cellular:	
Calcium silicate block and pipe insulation	ASTM C533-95.
Cellular glass insulation . .	ASTM C552-00.
Expanded perlite block and pipe insulation	ASTM C610-99.
Insulation--organic cellular:	
Preformed flexible elastomeric cellular insulation in sheet and tubular form	ASTM C534-99.
Unfaced preformed rigid cellular polyurethane insulation	ASTM C591-00.
Insulation skirting	Commercially available.

¹ ASTM indicates American Society for Testing and Materials.

Exhibit 17.1

FIRE SAFETY REQUIREMENTS FOR INSULATING MATERIALS ACCORDING TO INSULATION USE

[Standards for conformance]

Attic floor	Insulation materials intended for exposed use in attic floors shall be capable of meeting the same smoldering combustion requirements given for cellulose insulation in ASTM ¹ C739-00.
Enclosed space	Insulation materials intended for use within enclosed stud or joist spaces shall be capable of meeting the same smoldering combustion requirements given for cellulose insulation in ASTM C739-00.
Exposed interior walls and ceilings	Insulation materials, including those with combustible facings, which remain exposed and serve as wall or ceiling interior finish, shall have a flame spread classification not to exceed 150 (per ASTM E84-00a).
Exterior envelope walls and roofs	Exterior envelope walls and roofs containing thermal insulation shall meet applicable local government building code requirements for the complete wall or roof assembly.
Pipes, ducts, and equipment	Insulation materials intended for use on pipes, ducts, and equipment shall be capable of meeting a flame spread classification not to exceed 150 (per ASTM E84-00a).

¹ ASTM indicates American Society for Testing and Materials.

STORM WINDOWS

[Standards for conformance]

Storm windows:	
All storm windows . . .	AAMA/NWWDA ¹ 101/I.S. 2-97.
Aluminum frame storm windows	AAMA ² 1002.10-93.
Rigid vinyl frame storm windows	ASTM ³ D4726-00.
Frameless plastic glazing storm	Required minimum thickness for windows is 6 mil (0.006 inches). Commercially available.
Movable insulation systems for windows	

¹ AAMA/NWWDA indicates American Architectural Manufacturers Association/National Wood Window & Door Association (now the Window & Door Manufacturers Association).

² AAMA indicates American Architectural Manufacturers Association.

³ ASTM indicates American Society for Testing and Materials.

REPLACEMENT WINDOWS

[Standards for conformance]

Replacement windows:	
All windows	AAMA/NWWDA ¹ 101/I.S. 2-97.
Steel frame windows	Steel Window Institute recommended specifications for steel windows, 1990.
Rigid vinyl frame windows	ASTM ² D4726-00.

¹ AAMA/NWWDA indicates American Architectural Manufacturers Association/National Wood Window & Door Association (now the Window & Door Manufacturers Association).

² ASTM indicates American Society for Testing and Materials.

Exhibit 17.1

STORM DOORS

[Standards for conformance]

Storm doors:	
All storm (glass) doors	AAMA/NWWDA ¹ 101/I.S. 2-97.
Aluminum frame storm doors	AAMA ² 1102.7-89.
Sliding glass storm doors	AAMA 1002.10-93.
Rigid vinyl storm doors	ASTM ³ D3678-97 and D4726-00..
Vestibules:	
Materials to construct vestibules	Commercially available.

¹ AAMA/NWWDA indicates American Architectural Manufacturers Association/National Wood Window & Door Association (now the Window & Door Manufacturers Association).

² AAMA indicates American Architectural Manufacturers Association.

³ ASTM indicates American Society for Testing and Materials.

REPLACEMENT DOORS

[Standards for conformance]

Replacement doors:	
All replacement doors	AAMA/NWWDA ¹ 101/I.S. 2-97.
Steel doors	ANSI ² A250.8-98.
Wood doors:	
Flush doors	ANSI/NWWDA ³ I.S. 1-97 (Amendment, exterior door provisions).
Stile and rail doors	NWWDA ⁴ I.S. 6-97.

¹ AAMA/NWWDA indicates American Architectural Manufacturers Association/National Wood Window & Door Association (now the Window & Door Manufacturers Association).

² ANSI indicates American National Standards Institute.

³ ANSI/NWWDA indicates American National Standards Institute/National Wood Window & Door Association (now the Window & Door Manufacturers Association).

⁴ NWWDA indicates National Wood Window & Door Association (now the Window & Door Manufacturers Association).

CAULKS AND SEALANTS

[Standards for conformance]

Caulks and sealants:	
Glazing compounds for metal sash	ASTM ¹ C669-00.
Oil and resin base caulks	ASTM C570-00.
Acrylic (solvent types) sealants	ASTM C920-98e1.
Butyl rubber sealants	FS ² Commercial Item Description A-A-272 (6/7/95).
Chlorosulfonated polyethylene sealants	ASTM C920-98e1.
Latex sealing compounds	ASTM C834-00e1.
Elastomeric joint sealants (normally considered to include polysulfide, polyurethane, and silicone)	ASTM C920-98e1.
Preformed gaskets and sealing materials	ASTM C509-00.
Duct sealing mastic	UL ³ 181A-M, Second Edition, 1994 and UL 181B-M, First Edition, 1995.

¹ ASTM indicates American Society for Testing and Materials.

² FS indicates Federal Specifications.

³ UL indicates Underwriters Laboratories.

Exhibit 17.1

WEATHERSTRIPPING [Standards for conformance]

Weatherstripping Vapor retarders	Commercially available. Selected according to the provisions cited in ASTM ¹ C755-97. Permeance not greater than 1 perm when determined according to the desiccant method described in ASTM E96-00.
Items to improve attic ventilation	Commercially available.

¹ ASTM indicates American Society for Testing and Materials.

HEAT EXCHANGERS [Standards for conformance]

Heat exchangers, water-to-water and steam-to-water	ASME ¹ Boiler and Pressure Vessel Code, 1998, Sections II, V, VIII, IX, and X, as applicable to pressure vessels. Standards of Tubular Exchanger Manufacturers Association, Eighth Edition, 1999.
Heat exchangers with gas-fired appliances ²	ANSI/UL ³ 462, Ninth Edition, approved by ANSI February 28, 1997.

¹ ASME indicates American Society for Mechanical Engineers.

² The heat reclaimer is for installation in a section of the vent connector from appliances equipped with draft hoods or appliances equipped with powered burners or induced draft and not equipped with a draft hood.

³ ANSI/UL indicates American National Standards Institute/Underwriters Laboratories.

BOILER/FURNACE CONTROL SYSTEMS [Standards for conformance]

Automatic set back thermostats	Listed by UL ¹ . Conformance to NEMA ² DC3-1989 (R1996).
Line voltage or low voltage room thermostats	Listed by UL. Conformance to NEMA DC3-1989 (R1996).
Clock thermostats	Listed by UL. Conformance to NEMA DC3-1989 (R1996).
Automatic gas ignition systems	ANSI ³ Z21.21-2000. AGA ⁴ Laboratories Certification Seal.
Energy management systems	Listed by UL.
Hydronic boiler controls	Listed by UL.
Other burner controls . . .	Listed by UL.

¹ UL indicates Underwriters Laboratories.
² NEMA indicates National Electrical Manufacturers Association.
³ ANSI indicates American National Standards Institute.
⁴ AGA indicates American Gas Association.

Exhibit 17.1

WATER HEATER MODIFICATIONS

[Standards for conformance]

Insulate tank and distribution piping Install heat traps on inlet and outlet piping Install/replace water heater heating elements Electric, freeze-prevention tape for pipes Install stack damper, gas-fueled Install stack damper, oil-fueled Install water flow modifiers	(See insulation section of this appendix) Applicable local plumbing code. Listed by UL ¹ . Listed by UL. ANSI ² Z21.66-1996, including Exhibits A & B, and ANSI Z223.1-1999 (same as NFPA ³ 54-1999). UL 17, Third Edition, 1994, NFPA 31-2001, NFPA 211-2000 (same as ANSI A52.1), and ANSI/NFPA 70-1999 (same as IEEE ⁴ National Electrical Code). Commercially available.
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¹ UL indicates Underwriters Laboratories.

² ANSI indicates American National Standards Institute.

³ NFPA indicates National Fire Prevention Association.

⁴ IEEE indicates Institute of Electrical and Electronics Engineers.

REPLACEMENT WATER HEATERS

[Standards for conformance]

Electric (resistance) water heaters Heat pump water heaters Gas water heaters: Rated ≤ 75 kBtu/hr . . . Rated ≥ 75 kBtu/hr . . . Oil water heaters	10 CFR ¹ 430 and UL ² 174. UL 1995, Second Edition, 1995. Electrical components to be listed by UL. 10 CFR 430 and ANSI ³ Z21.10.1-1998. ANSI Z21.10.3-1998. UL 732, Fifth Edition, 1995.
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¹ CFR indicates Code of Federal Regulations.

² UL indicates Underwriters Laboratories.

³ ANSI indicates American National Standards Institute.

SOLAR WATER HEATING SYSTEMS

[Standards for conformance]

Solar water heating systems including forced circulation, integral collector storage, thermo-syphon, and self-pumping systems	System must be certified per SRCC ¹ OG 300, July 16, 1998.
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¹ SRCC indicates Solar Rating and Certification Corporation.

WASTE HEAT RECOVERY DEVICES

[Standards for conformance]

Desuperheater/water heaters Condensing heat exchangers Heat pump water heating heat recovery systems Energy recovery equipment	ARI ¹ 470-1995 and UL 1995, Second Edition, 1995. Commercially available components installed per manufacturers' specifications. NFPA ² 211-2000 (same as ANSI A52.1) may apply in certain instances. See also the Heat Exchangers section of this appendix. UL 1995, Second Edition, 1995. Electrical components to be listed by UL. Energy Systems Analysis and Management, 1997 (SMACNA ³).
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¹ ARI indicates Air Conditioning and Refrigeration Institute.

² NFPA indicates National Fire Prevention Association.

³ SMACNA denotes Sheet Metal and Air Conditioning Contractors' National Association.

BOILER REPAIR AND

Exhibit 17.1

		BOILER REPAIR AND MODIFICATIONS/EFFICIENCY IMPROVEMENTS—Continued
		[Standards for conformance]
Install gas conversion burners	ANSI ¹ Z21.8-1994 (for gas- or oil-fired systems), ANSI Z21.17-1998, and ANSI Z223.1-1999 (same as NFPA 54-1999). AGA ² Laboratories Certification Seal.	Replace heat exchangers, tubes
Replace oil burner	UL ³ 296, Ninth Edition, 1994 and NFPA 31-2001.	Install/replace thermostatic radiator valves
Install burners (oil/gas)	ANSI Z223.1-1999 for gas equipment and NFPA ⁴ 31-2001 for oil equipment.	Install boiler duty cycle control system
Re-adjust boiler water temperature or install automatic boiler temperature reset control	ASME ⁵ CSD-1-1998, ANSI Z223.1-1999, and NFPA 31-2001.	
Replace/modify boilers	ASME Boiler and Pressure Vessel Code, 1998, Section II, IV, V, VI, VIII, IX, and X. Boilers must be Hydronics Institute Division of GAMA equipment.	
Clean heat exchanger, adjust burner air shutter(s), check smoke no. on oil-fueled equipment. Check operation of pump(s) and replacement filters.	Per manufacturers' instructions.	
Replace combustion chambers	Refractory linings may be required for conversions.	

¹ ANSI indicates American National Standards Institute.
² AGA indicates American Gas Association.
³ UL indicates Underwriters Laboratories.
⁴ NFPA indicates National Fire Prevention Association.
⁵ ASME indicates American Society for Mechanical Engineers.

Exhibit 17.1

HEATING AND COOLING SYSTEM REPAIRS AND TUNE-UPS/EFFICIENCY IMPROVEMENTS [Standards for conformance]

Install duct insulation . . .	ASTM ¹ C612-00 (see insulation sections of this appendix).
Reduce input of burner; derate gas-fueled equipment	Local utility company and procedures if applicable for gas-fueled furnaces and ANSI ² Z223.1-1999 (same as NFPA ³ 54-1999) including Appendix H.
Repair/replace oil-fired equipment	NFPA 31-2001.
Replace combustion chamber in oil-fired furnaces or boilers	NFPA 31-2001.
Clean heat exchanger and adjust burner; adjust air shutter and check CO ₂ and stack temperature. Clean or replace air filter on forced air furnace	ANSI Z223.1-1999 (same as NFPA 54-1999) including Appendix H.
Install vent dampers for gas-fueled heating systems	Applicable sections of ANSI Z223.1-1999 (same as NFPA 54-1999) including Appendix H, I, J, and K. ANSI Z21.66-1996 and Exhibits A&B for electrically operated dampers.
Install vent dampers for oil-fueled heating systems	Applicable sections of NFPA 31-2001 for installation and in conformance with UL ⁴ 17, Third Edition, 1994.

HEATING AND COOLING SYSTEM REPAIRS AND TUNE-UPS/EFFICIENCY IMPROVEMENTS—Continued [Standards for conformance]

Reduce excess combustion air: A: Reduce vent connector size of gas-fueled appliances B: Adjust barometric draft regulator for oil fuels	ANSI Z223.1-1999 (same as NFPA 54-1999) part 9 and Appendices G & H. NFPA 31-2001 and per furnace and boiler manufacturers' instructions. ANSI Z21.71-1993.
Replace constant burning pilot with electric ignition device on gas-fueled furnaces or boilers	Applicable sections and Appendix H of ANSI Z223.1-1999 (same as NFPA 54-1999) for gas furnaces and NFPA 31-2001 for oil furnaces.
Readjust fan switch on forced air gas-or oil-fueled furnaces	See install burners (oil/gas). ANSI Z223.1-1999 (same as NFPA 54-1999).
Replace burners	ARI ⁵ 210/240-1994. UL 1995, Second Edition, 1995. Commercially available.
Install/replace duct furnaces (gas)	Commercially available.
Install/replace heat pumps	UL 181, Ninth Edition 1996, including UL 181A, Second Edition 1994 and 181B, First Edition, 1995.
Replace air diffusers, intakes, registers, and grilles	Commercially available.
Install/replace warm air heating metal ducts	Commercially available.
Filter alarm units	Commercially available.

¹ ASTM indicates American Society for Testing and Materials.

² ANSI indicates American National Standards Institute.

³ NFPA indicates National Fire Prevention Association.

⁴ UL indicates Underwriters Laboratories.

⁵ ARI indicates Air Conditioning and Refrigeration Institute.

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REPLACEMENT FURNACES, BOILERS, AND WOOD STOVES

[Standards for conformance]

Chimneys, fireplaces, vents and solid fuel burning appliances	NFPA ¹ 211-2000 (same as ANSI ² A52.1).
Gas-fired furnaces	ANSI Z21.47-1998 and ANSI Z223.1-1999 (same as NFPA 54- 1999).
Oil-fired furnaces	UL ³ 727, Eighth Edition, 1994 and NFPA 31- 2001.
Liquefied petroleum gas storage	NFPA 58-2001.
Ventilation fans: Including electric attic, ceiling, and whole-house fans	UL 507, Ninth Edition, 1999.

¹ NFPA indicates National Fire Prevention Association.
² ANSI indicates American National Standards Institute.
³ UL indicates Underwriters Laboratories.

SCREENS, WINDOW FILMS, AND REFLECTIVE MATERIALS

[Standards for conformance]

Insect screens	Commercially available.
Window films	Commercially available.
Shade screens:	
Fiberglass shade screens	Commercially available.
Polyester shade screens	Commercially available.
Rigid awnings:	
Wood rigid awnings	Commercially available.
Metal rigid awnings .	Commercially available.
Louver systems:	
Wood louver awnings	Commercially available.
Metal louver awnings	Commercially available.
Industrial-grade white paint used as a heat- reflective measure on roofs, awnings, window louvers, doors, and exterior duct work (exposed)	Commercially available.

AIR CONDITIONERS AND COOLING EQUIPMENT

[Standards for conformance]

Air conditioners: Central air conditioners Room size units	ARI ¹ 210/240-1994. ANSI/AHAM ² RAC 1- 1992.
Other cooling equipment: Including evaporative coolers, heat pumps, and other equipment	UL ³ 1995, Second Edition, 1995.

¹ ARI indicates Air Conditioning and Refrigeration
institute.
² ANSI/AHAM indicates American National Standards
Institute/Association of Home Appliance Manufacturers.
³ UL indicates Underwriters Laboratories.

REFRIGERATORS

[Standards for conformance]

Refrigerator/freezers (does not include freezer-only units)	UL ¹ 250. Replaced units must be disposed of properly per Clean Air Act 1990, Section 608, as amended by 40 CFR ² 82, May 14, 1993.
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¹ UL indicates Underwriters Laboratories.
² CFR indicates Code of Federal Regulations.

FLUORESCENT LAMPS AND FIXTURES

[Standards for conformance]

Compact fluorescent lamps	ANSI/UL ¹ 542, Seventh Edition, February 6, 1997 and UL 1993, First Edition, 1993.
Fluorescent lighting fixtures	UL 1570, Fourth Edition, 1995.

¹ ANSI/UL indicates American National Standards
Institute/Underwriters Laboratories.

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For information only

DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT Weatherization Assistance Program RFP

DAVIS BACON ACT REQUIREMENTS

A. Definitions

(1) *Award* means the Award by the Department of Energy (DOE) to a Recipient that includes a requirement to comply with the labor standards clauses and wage rate requirements of the Davis-Bacon Act (DBA) for work performed by all laborers and mechanics employed by Subrecipients, Contractors and subcontractors on projects funded by or assisted in whole or in part by and through the Federal Government pursuant to the Recovery Act.

(2) "*Construction, alteration or repair*" means all types of work done by laborers and mechanics employed by the Subrecipient, construction contractor or construction subcontractor on a particular building or work at the site thereof, including without limitation—

(a) Altering, remodeling, installation (if appropriate) on the site of the work of items fabricated off-site;

(b) Painting and decorating; or

(c) Manufacturing or furnishing of materials, articles, supplies, or equipment on the site of the building or work.

(3) *Contract* means a written procurement contract executed by a Subrecipient for the acquisition of property and services for construction, alteration, and repair under a Subaward. For purposes of these Clauses, a Contract shall include subcontracts and lower- tier subcontracts under the Contract.

(4) *Contracting Officer* means the DOE official authorized to execute awards on behalf of DOE and who is responsible for the business management and non-program aspects of the financial assistance process.

(5) *Contractor* means an entity that enters into a Contract. For purposes of these Clauses, Contractor shall include subcontractors and lower-tier subcontractors.

(6) *Recipient* means any entity other than an individual that receives Recovery Act funds in the form of a grant directly from the Federal Government. The term includes the State that receives an Award from DOE and is financially accountable for the use of any DOE funds or property, and is legally responsible for carrying out the terms and conditions of the program and Award.

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(7) "Site of the work"

(a) Means:

(i) The physical place or places where the construction called for in the Award, Subaward, or Contract will remain when work on it is completed; and

(ii) Any other site where a significant portion of the building or work is constructed, provided that such site is established specifically for the performance of the project;

(b) Except as provided in paragraph (c) of this definition, the site of the work includes any fabrication plants, mobile factories, batch plants, borrow pits, job headquarters, tool yards, etc., provided—

(1) They are dedicated exclusively, or nearly so, to performance of the project; and

(2) They are adjacent or virtually adjacent to the site of the work as defined in paragraphs (7)(a)(i) or (7)(a)(ii) of this definition; and

(c) Does not include permanent home offices, branch plant establishments, fabrication plants, or tool yards of a Contractor or subcontractor whose locations and continuance in operation are determined wholly without regard to a particular contract or Federal Award or project. In addition, fabrication plants, batch plants, borrow pits, job headquarters, yards, etc., of a commercial or material supplier which are established by a supplier of materials for the project before opening of bids and not on the project site as defined in paragraphs (7)(a)(i) or (7)(a)(ii) of this definition, are not included in the "site of the work." Such permanent, previously established facilities are not a part of the "site of the work" even if the operations for a period of time may be dedicated exclusively or nearly so, to the performance of an Award, Subaward, or Contract.

(8) *Subaward* means an award of financial assistance in the form of money, or property in lieu of money, made under an award by a Recipient to an eligible Subrecipient or by a Subrecipient to a lower-tier subrecipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is called a contract, but does not include the Recipient's procurement of goods and services to carry out the program nor does it include any form of assistance which is excluded from the definition of "Award" above.

(9) *Subrecipient* means a non-Federal entity that expends Federal awards received from a pass-through entity [Recipient] to carry out a Federal program, but does not include an individual that is a beneficiary of such a program. The term includes a Community Action Agency (CAA), local agency, or other entity to which a Subaward under the Award is made by a Recipient that includes a requirement to comply with the labor standards clauses and wage rate requirements of the DBA work performed by all laborers and mechanics employed by contractors and subcontractors on

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projects funded by or assisted in whole or in part by and through the Federal Government pursuant of the Recovery Act.

B. Davis-Bacon Act

(1)(a) All laborers and mechanics employed or working upon the site of the work will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR Part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached to the Subaward or Contract and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the Recipient, a Subrecipient, or Contractor and such laborers and mechanics.

(i) Applicable to Recipient Only: Prior to the issuance of the Subaward or Contract, the Recipient shall notify the Contracting Officer of the site of the work in order for the appropriate wage determination to be obtained by the Contracting Officer from the Secretary of Labor.

(ii) If the Subaward or Contract is or has been issued without a wage determination, the Recipient shall notify the Contracting Officer immediately of the site of the work under the Subaward or Contract in order for the appropriate wage determination to be obtained by the Contracting Officer from the Secretary of Labor.

(b) Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the DBA on behalf of laborers or mechanics are considered wages paid to such laborers and mechanics, subject to the provisions of paragraph B(4) below; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such period.

(c) Such laborers and mechanics shall be paid not less than the appropriate wage rate and fringe benefits in the wage determination for the classification of work actually performed, without regard to skill, except as provided in the paragraph entitled Apprentices and Trainees. Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein; provided that the employer's payroll records accurately set forth the time spent in each classification in which work is performed.

(d) The wage determination (including any additional classifications and wage rates conformed under paragraph B(2) of this Clause) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the Subrecipient and Contractor at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

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(2)(a) The Contracting Officer shall require that any class of laborers or mechanics which is not listed in the wage determination and which is to be employed under the Subaward or Contract shall be classified in conformance with the wage determination. The Contracting Officer shall approve an additional classification and wage rate and fringe benefits therefore only when all the following criteria have been met:

- (i) The work to be performed by the classification requested is not performed by a classification in the wage determination.
- (ii) The classification is utilized in the area by the construction industry.
- (iii) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(b) If the Subrecipient (and Contractor, when applicable) and the laborers and mechanics to be employed in the classification (if known), or their representatives agree on the classification and wage rate (including the amount designated for fringe benefits, where appropriate), the Subrecipient shall notify the Recipient. The Recipient shall notify the Contracting Officer of this agreement. If the Contracting Officer agrees with the classification and wage rate (including the amount designated for fringe benefits, where appropriate), a report of the action taken shall be sent by the Contracting Officer to the Administrator of the:

Wage and Hour Division
Employment Standards Administration
U.S. Department of Labor
Washington, DC 20210

The Administrator or an authorized representative will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the Contracting Officer or will notify the Contracting Officer within the 30-day period that additional time is necessary.

(c) In the event the Subrecipient (and Contractor, when applicable), and the laborers or mechanics to be employed in the classification, or their representatives, do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the Subrecipient shall notify the Recipient. The Recipient shall notify the Contracting Officer of the disagreement. The Contracting Officer shall refer the questions, including the views of all interested parties and the recommendation of the Contracting Officer, to the Administrator of the Wage and Hour Division for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the Contracting Officer or will notify the Contracting Officer within the 30-day period that additional time is necessary.

(d) The wage rate (including fringe benefits, where appropriate) determined pursuant to subparagraphs B(2)(b) or B(2)(c) of this Clause shall be paid to all workers performing work in the classification under the Award, Subaward, or Contract from the first day on which work is performed in the classification.

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(3) Whenever the minimum wage rate prescribed in the Award, Subaward, or Contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the Subrecipient and Contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

(4) If the Subrecipient or Contractor does not make payments to a trustee or other third person, the Subrecipient or Contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program; provided, that the Secretary of Labor has found, upon the written request of the Subrecipient or Contractor that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the Subrecipient or Contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

C. Rates of Wages

(1) The minimum wages to be paid laborers and mechanics under the Subaward or Contract involved in performance of work at the project site, as determined by the Secretary of Labor to be prevailing for the corresponding classes of laborers and mechanics employed on projects of a character similar to the contract work in the pertinent locality, are included as an attachment to the Award, Subaward, or Contract.

(2) If the Subaward or Contract has been issued without a wage determination, the Recipient shall notify the Contracting Officer immediately of the site of the work under the Subaward or Contract in order for the appropriate wage determination to be obtained by the Contracting Officer from the Secretary of Labor.

D. Payrolls and Basic Records

(1) Payrolls and basic records relating thereto shall be maintained by the Recipient, Subrecipient and Contractor during the course of the work and preserved for a period of 3 years thereafter for all laborers and mechanics working at the site of the work. Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made, and actual wages paid. Whenever the Secretary of Labor has found, under paragraph (4) of the provision entitled Davis-Bacon Act, that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the Subrecipient or Contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the

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actual cost incurred in providing such benefits. The Subrecipient or Contractor employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

(2)(a) The Contractor shall submit weekly for each week in which any Contract work is performed a copy of all payrolls to the Subrecipient. The Subrecipient shall submit weekly for each week in which any Subaward or Contract work is performed a copy of all payrolls to the Recipient. The Recipient shall submit weekly for each week in which any Subaward or Contract work is performed a copy of all payrolls to the Contracting Officer. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under paragraph D(1) of this Clause, except that the full social security numbers and home addresses shall not be included on weekly transmittals. Instead, the payrolls shall only need to include an individually identifying number for each employee (e.g., the last four digits of the employee's social security number). The required weekly payroll information may be submitted in any form desired. Optional Form WH-347 is available for this purpose from the Wage and Hour Division Web site at <http://www.dol.gov/esa/whd/forms/wh347instr.htm> or its successor site.

(b) The Recipient is responsible for ensuring that all Subrecipients and Contractors submit copies of payrolls and basic records as required by paragraph D, Payrolls and Basic Records, of this Clause. The Subrecipient is responsible for ensuring all Contractors, including lower tier subcontractors submit copies of payrolls and basic records as required by paragraph D, Payrolls and Basic Records, of this clause. Subrecipients and Contractors shall maintain the full social security number and current address of each covered worker, and shall provide them upon request for transmission to the Contracting Officer, the Recipient, or the Wage and Hour Division of the Department of Labor for purposes of an investigation or audit of compliance with prevailing wage requirements. The Recipient shall also obtain and provide the full social security number and current address of each covered worker upon request by the Contracting Officer or the Wage and Hour Division of the Department of Labor for purposes of an investigation or audit of compliance with prevailing wage requirements. It is not a violation of this section for a Recipient to require a Subrecipient or Contractor to provide addresses and social security numbers to the Recipient for its own records, without weekly submission to the Contracting Officer.

(c) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the Recipient, Subrecipient or Contractor or his or her agent who pays or supervises the payment of the persons employed under the Subaward or Contract and shall certify –

(i) That the payroll for the payroll period contains the information required to be maintained under paragraph D(2)(a) of this Clause, the appropriate information is being maintained under paragraph D(1) of this Clause, and that such information is correct and complete;

(ii) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the Subaward or Contract during the payroll period has

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been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in the Regulations, 29 CFR Part 3; and

(iii) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the Subaward or Contract.

(d) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph D(2)(c) of this Clause.

(e) The falsification of any of the certifications in Paragraph D, Payrolls and Basic Records, of this Clause may subject the Recipient, Subrecipient or Contractor to civil or criminal prosecution under Section 1001 of Title 18 and Section 3729 of Title 31 of the United States Code.

(3) The Recipient, Subrecipient, or Contractor shall make the records required under paragraph D(1) of this Clause available for inspection, copying, or transcription by the Contracting Officer, authorized representatives of the Contracting Officer, or the Department of Labor. The Subrecipient or Contractor shall permit the Contracting Officer, authorized representatives of the Contracting Officer or the Department of Labor to interview employees during working hours on the job. If the Recipient, Subrecipient, or Contractor fails to submit the required records or to make them available, the Contracting Officer may, after written notice to the Recipient, Subrecipient, or Contractor take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

E. Withholding of Funds

(1) The DOE Contracting Officer shall, upon his or her or its own action or upon written request of an authorized representative of the Department of Labor, withhold or cause to be withheld from the Recipient or any other contract or Federal Award with the same Recipient, on this or any other federally assisted Award subject to Davis-Bacon prevailing wage requirements, which is held by the same Recipient so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the Subrecipient or a Contractor the full amount of wages required by the Award or Subaward or a Contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work, all or part of the wages required by the Award or Subaward or a Contract, the Contracting Officer may, after written notice to the Recipient take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

(2) The Recipient shall, upon its own action or upon written request of the DOE Contracting Officer or an authorized representative of the Department of Labor,

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withhold or cause to be withheld from any Subrecipient or Contractor so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the Subrecipient or Contractor the full amount of wages required by the Subaward or Contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work, all or part of the wages required by the Subaward or Contract, the Recipient may, after written notice to the Subrecipient or Contractor, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased or the Government may cause the suspension of any further payment under any other contract or Federal award with the same Subrecipient or Contractor, on any other federally assisted Award subject to Davis-Bacon prevailing wage requirements, which is held by the same Subrecipient or Contractor.

F. Apprentices and Trainees

(1) Apprentices.

(a) An apprentice will be permitted to work at less than the predetermined rate for the work they performed when they are employed—

(i) Pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship and Training, Employer, and Labor Services (OATELS) or with a State Apprenticeship Agency recognized by the OATELS; or

(ii) In the first 90 days of probationary employment as an apprentice in such an apprenticeship program, even though not individually registered in the program, if certified by the OATELS or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice.

(b) The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the Subrecipient or Contractor as to the entire work force under the registered program.

(c) Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated in paragraph F(1) of this Clause, shall be paid not less than the applicable wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed.

(d) Where a Subrecipient or Contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the Subrecipient's or Contractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in

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the registered program for the apprentice's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination.

(e) Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination.

(f) In the event OATELS, or a State Apprenticeship Agency recognized by OATELS, withdraws approval of an apprenticeship program, the Subrecipient or Contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(2) Trainees.

(a) Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by (OATELS). The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by OATELS.

(b) Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed in the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship/training program associated with the corresponding journeyman wage rate in the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the OATELS shall be paid not less than the applicable wage rate in the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate in the wage determination for the work actually performed.

(c) In the event OATELS withdraws approval of a training program, the Subrecipient or Contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(3) Equal employment opportunity. The utilization of apprentices, trainees, and journeymen under this Clause shall be in conformity with the equal employment

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opportunity requirements of Executive Order 11246, as amended, and 29 CFR Part 30.

G. Compliance with Copeland Act Requirements

The Recipient, Subrecipient or Contractor shall comply with the requirements of 29 CFR Part 3 which are hereby incorporated by reference in the Award, Subaward or Contract.

H. Subawards and Contracts

(1) The Recipient, the Subrecipient and Contractor shall insert in the Subaward or any Contracts this Clause entitled "Davis Bacon Act Requirements" and such other clauses as the Contracting Officer may require. The Recipient shall be responsible for ensuring compliance by any Subrecipient or Contractor with all of the requirements contained in this Clause. The Subrecipient shall be responsible for the compliance by Contractor with all of the requirements contained in this Clause.

(2) Within 14 days after issuance of a Subaward, the Recipient shall deliver to the Contracting Officer a completed Standard Form (SF) 1413, Statement and Acknowledgment, for each Subaward and Contract for construction within the United States, including the Subrecipient's and Contractor's signed and dated acknowledgment that this Clause) has been included in the Subaward and any Contracts. The SF 1413 is available from the Contracting Officer or at [http://contacts.gsa.gov/webforms.nsf/0/70B4872D16EE95A785256A26004F7EA8/\\$file/sf1413_e.pdf](http://contacts.gsa.gov/webforms.nsf/0/70B4872D16EE95A785256A26004F7EA8/$file/sf1413_e.pdf) . Within 14 days after issuance of a Contract or lower- tier subcontract, the Subrecipient shall deliver to the Recipient a completed Standard Form (SF) 1413, Statement and Acknowledgment, for each Contract and lower-tier subcontract for construction within the United States, including the Contractor and lower- tier subcontractor's signed and dated acknowledgment that this Clause has been included in any Contract and lower- tier subcontracts. SF 1413 is available from the Contracting Officer or at [http://contacts.gsa.gov/webforms.nsf/0/70B4872D16EE95A785256A26004F7EA8/\\$file/sf1413_e.pdf](http://contacts.gsa.gov/webforms.nsf/0/70B4872D16EE95A785256A26004F7EA8/$file/sf1413_e.pdf). The Recipient shall immediately provide to the DOE Contracting Officer the completed Standard Forms (SF) 1413.

I. Contract Termination -- Debarment

A breach of these provisions may be grounds for termination of the Award, Subaward, or Contract and for debarment as a Contractor or subcontractor as provided in 29 CFR 5.12.

J. Compliance with Davis-Bacon and Related Act Regulations

All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR Parts 1, 3, and 5 are hereby incorporated by reference in the Award, Subaward or Contract.

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K. Disputes Concerning Labor Standards

The United States Department of Labor has set forth in 29 CFR Parts 5, 6, and 7 procedures for resolving disputes concerning labor standards requirements. Such disputes shall be resolved in accordance with those procedures and shall not be subject to any other dispute provision that may be contained in the Award, Subaward, and Contract. Disputes within the meaning of this Clause include disputes between the Recipient, Subrecipient (including any Contractor) and the Department of Energy, the U.S. Department of Labor, or the employees or their representatives.

L. Certification of Eligibility

(1) By entering into this Award, Subaward, or Contract (as applicable), the Recipient, Subrecipient, or Contractor, respectively certifies that neither it (nor he or she) nor any person or firm who has an interest in the Recipient, Subrecipient, or Contractor's firm, is a person, entity, or firm ineligible to be awarded Government contracts or Government awards by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(2) No part of this Award, Subaward or Contract shall be subcontracted to any person or firm ineligible for award of a Government contract or Government award by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(3) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

M. Approval of Wage Rates

All straight time wage rates, and overtime rates based thereon, for laborers and mechanics engaged in work under an Award, Subaward or Contract must be submitted for approval in writing by the head of the federal contracting activity or a representative expressly designated for this purpose, if the straight time wages exceed the rates for corresponding classifications contained in the applicable Davis-Bacon Act minimum wage determination included in the Award, Subaward or Contract. Any amount paid by the Subrecipient or Contractor to any laborer or mechanic in excess of the agency approved wage rate shall be at the expense of the Subrecipient or Contractor and shall not be reimbursed by the Recipient or Subrecipient. If the Government refuses to authorize the use of the overtime, the Subrecipient or Contractor is not released from the obligation to pay employees at the required overtime rates for any overtime actually worked.

N. Contract Work Hours and Safety Standards Act

This Clause entitled "Contract Work Hours and Safety Standards Act (CWHSSA)" shall apply to any Subaward or Contract in an amount in excess of \$100,000. As used in this CWHSSA Clause, the terms laborers and mechanics include watchmen and guards.

A. Overtime requirements. No Subrecipient or Contractor contracting for any part of the Subaward work which may require or involve the employment of laborers

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or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.

B. Violation; liability for unpaid wages; liquidated damages. In the event of any violation of the clause set forth in paragraph B herein, the Subrecipient or Contractor responsible therefor shall be liable for the unpaid wages. In addition, such Subrecipient or Contractor shall be liable to the United States (in the case of work done under a Subaward or Contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the provision set forth in CWSSHA paragraph A, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (A) of this section.

C. Withholding for unpaid wages and liquidated damages.

(1) The DOE Contracting Officer shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the Recipient on this or any other Federal Award or Federal contract with the same Recipient on any other federally-assisted Award or contract subject to the CWHSSA, which is held by the same Recipient such sums as may be determined to be necessary to satisfy any liabilities of such Recipient for unpaid wages and liquidated damages as provided in the clause set forth in CWHSSA, paragraph B of this Clause.

(2) The Recipient shall, upon its own action or upon written request of the DOE Contracting Officer or an authorized representative of the Department of Labor, withhold or cause from any moneys payable on account of work performed by the Subrecipient or Contractor on this or any other federally assisted subaward or contract subject to the CWHSSA, which is held by the same Subrecipient or Contractor such sums as may be determined to be necessary to satisfy any liabilities of such Subrecipient or Contractor for unpaid wages and liquidated damages as provided in clause set forth in CWHSSA, paragraph B of this Clause.

D. Subcontracts. The Subrecipient shall insert in a Contract and a Contractor shall insert in any lower tier subcontracts, the clauses set forth in these CWHSSA paragraphs (A) through (D) and also a provision requiring the Contractors to include this CWHSSA Clause in any lower tier subcontracts. The Recipient shall be responsible for compliance by any Subrecipient or Contractor, with the CWHSSA paragraphs A through D. The Subrecipient shall be responsible for compliance by any Contractor (including lower- tier subcontractors).

E. The Subrecipient or Contractor shall maintain payrolls and basic payrolls in accordance with Clause XX, Davis- Bacon Act Requirements, for all laborers and

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mechanics, including guards and watchmen working on the Subaward or Contracts. These records are subject to the requirements set forth in Clause XX, Davis Bacon Requirements.

O. Recipient Functions

(1) On behalf of the Department of Energy (DOE), Recipient shall perform the following functions:

(a) Obtain, maintain, and monitor all DBA certified payroll records submitted by the Subrecipients and Contractors at any tier under this Award;

(b) Review all DBA certified payroll records for compliance with DBA requirements, including applicable DOL wage determinations;

(c) Notify DOE of any non-compliance with DBA requirements by Subrecipients or Contractors at any tier, including any non-compliances identified as the result of reviews performed pursuant to paragraph (b) above;

(d) Address any Subrecipient and any Contractor DBA non-compliance issues; if DBA non-compliance issues cannot be resolved in a timely manner, forward complaints, summary of investigations and all relevant information to DOE;

(e) Provide DOE with detailed information regarding the resolution of any DBA non-compliance issues;

(f) Perform services in support of DOE investigations of complaints filed regarding noncompliance by Subrecipients and Contractors with DBA requirements;

(g) Perform audit services as necessary to ensure compliance by Subrecipients and Contractors with DBA requirements and as requested by the Contracting Officer;
and

(h) Provide copies of all records upon request by DOE or DOL in a timely manner.

(2) All records maintained on behalf of the DOE in accordance with paragraph (1) above are federal government (DOE) owned records. DOE or an authorized representative shall be granted access to the records at all times.

(3) In the event of, and in response to any Freedom of Information Act, 5 U.S.C. 552, requests submitted to DOE, Recipient shall provide such records to DOE within 5 business days of receipt of a request from DOE.

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PROGRAM ADMINISTRATION INFORMATION

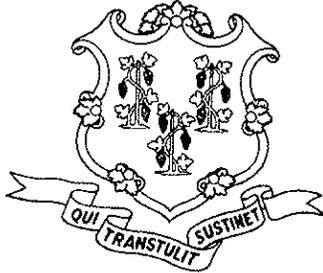
1. PROGRAM COSTS: Throughout the contract period, the Contractor shall incur costs for only those materials or items identified in the ARRA WAP Connecticut State Plan and associated cost categories as defined below. Such cost categories as incurred by the contractor for the completion of program services shall be documented on the ARRA WAP – monthly weatherization status report.
 - a. MATERIALS:
 - i. Agency Installed Materials shall include the cost of weatherization items or materials that are purchased by the contractor to be installed in eligible dwelling units by the contractor or subcontractor(s).
 - ii. Contractor Installed Materials shall include the cost of weatherization items or materials that are supplied and installed in eligible dwelling units by subcontractor(s).
 - b. PROGRAM SUPPORT:
 - i. Storage shall include the cost incurred by the contractor for the storage of weatherization materials or items to be used in this program.
 - ii. Contractor Installed Labor shall include the non-material costs of the work completed by the subcontractor(s) related to the installation of materials.
 - iii. Maintenance, Repair, Operation of Tools, Equipment and Vehicles shall include the cost of gas, oil and repairs and the garage rental fees for the vehicles utilized in the program.
 - iv. Insurance for Tools, Equipment and Vehicles shall include insurance premium payments for the items utilized in the program.
 - v. Tools, Equipment and Vehicles shall include the ‘tangible property’ cost(s) of items utilized in the program. Equipment costs of or in excess of \$5,000 require prior approval from DSS and USDOE. Vehicle(s) purchased using USDOE funds in whole or in part must lien DSS as the first lien holder on the title from the Department of Motor Vehicles.
 - vi. Rental fees for Tools, Equipment and Vehicles shall include the cost of annual lease(s) for items utilized in the program.
 - vii. Salaries – (crew) shall include employee salaries paid for the installation of weatherization measures in eligible dwelling units.
 - viii. Salaries – (supervisory) shall include employee salaries paid for on-site supervision of any employee or program service provision.

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- ix. Fringe Benefits shall include payroll taxes, group health insurance, and other employee benefits that may include but are not limited to pensions for those employees receiving salaries for provision of program, services.
 - x. Transportation shall include the costs paid as reimbursement for costs incurred by employees for the use of their personal vehicles in the provision of program services under this contract.
- c. ADMINISTRATION COSTS:
- i. Salaries shall include the cost of clerical and fiscal personnel, and the cost of off-site supervisory personnel in the provision of program services.
 - ii. Fringe Benefits shall include payroll taxes, group health insurance and other employee benefits that may include but are not limited to pensions for those employees receiving salaries for provision of program services.
 - iii. Travel shall include the cost of mileage reimbursement for the use of their personal vehicles in the provision of program services.
 - iv. Other shall include but not be limited to the cost of postage, copying fees, office space, machinery rentals and purchases in the provision of Program services.
- d. FINANCIAL AUDIT costs shall include the costs associated with completion of a financial audit of the program in accordance with 10 CFR Part 600, as amended.
- e. LIABILITY INSURANCE:
- i. Liability Insurance shall include the cost of liability insurance premiums maintained by the contractor for the program. Such liability insurance shall cover 'personal injury' and/or 'property damage' related to the provision of on-site program services. Such coverage must be at least \$500,000.00 personal injury and \$500,000.00 property damage.
 - ii. Pollution Occurrence Insurance shall include the cost of pollution insurance premiums maintained by the contractor for the program. Such pollution occurrence insurance shall cover 'personal injury' and/or 'property damage' related to the provision of on site program services. Such coverage must be at least \$500,000.00 per occurrence.

For more complete information on the above, please see the DOE regulations at 10 CFR Sec. 440.

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STATE OF CONNECTICUT

WEATHERIZATION ASSISTANCE PROGRAM

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V. Weatherization Measures

Weatherization measures are determined by the WRAP Home Check Energy Audit, which is the only energy audit currently approved by the USDOE for use in Connecticut. The audit software models buildings based on the following three (3) major building types:

Building Type Priorities

Type 1: House with Warm Basement (intentionally or unintentionally heated)

Source of Heat Loss	Weatherization Measures Required
Health and Safety conditions	See H & S and Heating System Guidance
Uninsulated Attic (less than R19)	Insulate up to R38 (see guidance)
Sidewalls	Insulate up to R13 (see guidance)
Partially Insulated Attic (R19 or greater)	Add insulation up to R38 (see guidance)
Basement Perimeter	Insulate sills up to R19
Air Infiltration	Infiltration/Airsealing Measures
Single Glaze Windows	Install storm windows
Primary Window in Poor Condition	Install Vinyl Replacement Windows (see guidance)
Primary Door in Poor Condition	Install Replacement Door (see guidance)

Type 2: House with Cold Basement

Source of Heat Loss	Weatherization Measures Required
Health and Safety conditions	See H & S and Heating System Guidance
Uninsulated Attic (less than R19)	Insulate up to R38(see guidance)
Sidewalls	Insulate up to R13 (see guidance)
Partially Insulated Attic (R19 or greater)	Add insulation up to R38(see guidance)
Uninsulated Basement Ceiling	Insulate up to R19, Insulate Heating Pipes/Ducts, Domestic Hot Water Tank as needed (see guidance)
Air Infiltration	Infiltration/Airsealing Measures
Single Glaze Windows	Install storm windows
Primary Window in Poor Condition	Install Vinyl Replacement Windows (see guidance)
Primary Door in Poor Condition	Install Replacement Door (see guidance)

Type 3: Mobile Home

Source of Heat Loss	Weatherization Measures Required
Health and Safety conditions	See H & S and Heating System Guidance
Primary Door in Poor Condition	Install Replacement Door (see guidance)
Uninsulated Belly	Insulate and seal ducts as needed (see guidance)
Air Infiltration	Infiltration/Airsealing Measures
Single Glaze Windows	Install interior storm windows
Primary Window in Poor Condition	Install Vinyl Replacement Windows (see guidance)
Uninsulated Roof	Blow in insulation and coat roof

VI. Weatherization Work

THE FOLLOWING PROCEDURES WILL BE FOLLOWED FOR ALL JOBS EXCEPT WHERE NOTED OTHERWISE:

A. Heating System Guidance

1. Oil-Heating System

a. Clean/Tune/Test and Safety Check

Oil fired heating systems and attached oil -fired hot water heaters, will be cleaned tested, tuned, and then re-tested by a licensed oil burner technician. In conjunction with a clean/tune/test, the technician will have to complete an Oil Burner Combustion Efficiency Report (HUM-120) documenting the Steady State Efficiency of the system. Our objective will be a reading of over 75% efficiency. All single family and multi-family dwellings with their own oil-fired heating system, and all multi-family buildings with oil heat, to be weatherized under the 50% or 66% rule will be tested under the above criteria.

The clean, tune and test shall include:

1. Check for oil leaks;
2. Check chimney base and fuel pipe;
3. Check operation of all controls;
4. Check oil pump pressure;
5. Check barometric damper operation and adjust draft if necessary;
6. Check thermostat operation;
7. Lubricate all motors;
8. Replace filters as necessary
9. Clean pump strainer and inner housing;
10. Replace nozzle and clean electrodes;
11. Clean, brush, and vacuum heat exchanger surfaces thoroughly;
12. Adjust fuel/air for proper combustion.

b. Replacement Oil Burner

If the efficiency remains 75% or less after cleaning and tuning, this measure is allowable. However, the technician must estimate a resulting efficiency above 75% on the combustion efficiency report, and this estimate must be at least 5% higher than the original reading (i.e., if a furnace is tested and the efficiency is 71% and the estimated efficiency of a new burner would be 75%, the new burner should not be installed. The efficiency of the new burner in this unit must be 76% or more).

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c. Programmable Thermostats

This modification is optional. It should only be used if the auditor feels that the client will utilize it properly and the lifestyle of the household warrants it.

2. Gas Heating Systems

Dwelling units which have a natural gas or propane fired central heating system will have a Clean/Tune/Test and Safety Check done unless this service has been performed within the previous five (5) years.

This pertains to all single family and multi-family dwellings with their own heating system, and all multi-family buildings to be weatherized under the 50% or 66% rule.

The following procedure must be performed by a licensed technician who must also complete a Gas Combustion Efficiency Report documenting the steady state efficiency of the system.

a. Clean/Tune/Test and Safety Check

1. Check for gas leaks at the main gas valve, the pilot assembly and any accessible line couplings;
2. Check the chimney base, draft diverter and flue pipe for safety problems and check for proper drafts;
3. Check the operation of all controls; including blower speed, fan switch, limit controls and thermostat, and adjust if necessary for optimum efficiency;
4. Clean and adjust the pilot assembly and test pilot safety system;
5. Lubricate all moving parts;
6. Inspect the blower belt and adjust the tension;
7. Inspect the air filter and replace if necessary;
8. Brush and vacuum heat exchanger surfaces and check for evidence of failure;
9. Clean and inspect the burners and adjust for proper flame and combustion; and,
10. Observe at least one complete system cycle and record the final steady state efficiency.

b. Programmable Thermostats:

This modification is optional. It should only be used if the auditor feels that the client will utilize it properly, and the lifestyle of the household warrants it.

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3. Emergency Repairs

During the clean/tune/test process the technician may find certain conditions that might make the system unsafe or inoperable. For example the fuel pump or the circulator may be faulty, or the tank may be leaking. Such problems should be handled on the spot if possible, but the additional materials and labor involved must be documented separately on the combustion efficiency report.

Emergency repairs will fall under the health and safety category, which is subject to a \$500.00 average limit for materials.

4. Heating System Replacements

Heating systems can only be replaced if:

- it cannot safely achieve seventy percent (70%) steady state efficiency (with reasonable repairs);
- if the heating system has been red tagged by the gas utility company, and any possible repairs would be too expensive;
- and must also meet one of the following requirements:
 - it screens on the audit within an overall SIR of one or more; or,
 - can be leveraged with other non-federal funds.

A waiver must be submitted to the State for approval to replace the system and procurement procedures must be followed (a minimum of two price quotes). Energy Star Replacement systems are required for installation. Reimbursement for heating system replacements under the DOE or Leveraging programs will be for the material and labor cost plus \$200 program support payment. Heating system replacements are available for owner-eligible units only, because landlords are responsible for providing dependable heating equipment in rental units. Only one heating system replacement per eligible owner occupied building is allowable. In all cases, ownership must be verified prior to the installation of a new heating system. After the system is installed the contractor must do a SSE test, which must be reported on the BWR.

B. Water Heater Guidance

Always inspect the tank to determine type of fuel (oil, gas, electric) and venting requirements.

1. If an unvented gas unit is found, it must be vented by a qualified sub-contractor, before proceeding with insulation or any other measure. This is an allowable health and safety measure.
2. Always obtain occupant permission before reducing hot water temperature setting to 120 degrees Fahrenheit.

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3. Insulate hot water tank (gas, electric, oil), **if it is not a newer energy efficient model**, to a minimum of R-6.

Gas-Fired Water Heater

1. Inspect for vent damper and do not insulate gas-fired water heaters so equipped.
2. Determine the location of the pressure relief valve.
3. Determine the location of the burner air inlet, pilot light access plate, and drain valve.
4. Do not install insulation on the top plate.
5. Cut the insulation to clear the burner air inlet, thermostat control, pilot light access plate, drain valve, plumbing pipes, and other necessary access plates.

Oil-Fired Water Heaters

1. If the vent pipe is top-mounted, do not install insulation on the top plate.
2. If the vent pipe is side-mounted, maintain the minimum vent connector clearance specified in the latest edition on NFPA 211, Standard for Chimneys, Fireplaces, and Vents.
3. Cut the insulation to clear the pressure relief valve, thermostat control, flame peep sight, burner access plate, drain valve, plumbing pipes, and other necessary access plates.

Post-Installation Procedures

1. Ensure that the insulation is securely attached with staples and white duct tape.
2. Ensure that required clearances are maintained around vent pipes; and insulation has not been installed on the top of oil-fired water heaters, which have a top-mounted vent pipe, or gas-fired water heaters.
3. Ensure that air inlets, access plates, drain valves, temperature control, and pressure relief valves are not covered by insulation.

Replacement Water Heaters

Failed hot water heaters, that cannot be repaired, can be replaced as an allowable health & safety measure in single family dwellings. The dwelling must be owner occupied and prior approval from DSS is required. Fuel switching is discouraged, but will be considered on a case by case basis, if cost effectiveness can be demonstrated.

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Requests must be submitted on the standard DSS Waiver Form and procurement procedures (a minimum of two price quotes) must be followed. Previously weatherized units are not eligible, unless they were weatherized during the current program year and the BWR can be revised.

C. Blower Door Directed Air-Sealing Guidance

All single-family homes, including mobile homes, and all multi-family apartments, must receive a pre and post single point blower door test to document the infiltration rate, in cubic feet per minute, at fifty pascals (cfm 50). Multi point tests are not necessary. This requirement can only be waived if there is justifiable health or building safety concerns. In such cases these concerns must be documented on the BWR. All test results must be documented on the audit data input sheet. Care must be taken to ensure that dwellings are not tightened beyond the minimum ventilation guideline. Refer to the Health and Safety Guidance in this Plan for more detailed information on blower door testing health and safety concerns.

Prioritizing air-sealing work involves an understanding of how air moves through the building envelope. Generally speaking, because of the high exfiltration pressures in the upper areas of the building, due to the stack effect, the attic/living space interface is the area that should be addressed first. Many leakage areas in the attic are actually part of a series leak that may begin in the basement or living area. In most cases, these leaks can be sealed in the attic and there is no need to seal the other areas. Potential leakage areas include: attic accessways, open top plates in interior partition walls, balloon framed buildings, chimney and plumbing chases, kneewall/floor junctions in finished attics and drop soffit ceilings.

There can also be significant opportunities for air-sealing in basements, but care must be taken to ensure that adequate combustion air for appliances is left after the work is done. Refer to the Combustion Safety Procedures in the Health and Safety section of this Plan for more detailed information on checking for adequate combustion air. Large leakage areas in foundation walls, around interior bulkhead doors, basement windows, plumbing chaseways and bathtub cutouts are of particular concern. Leaking ductwork can also significantly affect the overall air leakage of a dwelling. Refer to Duct Measures section of this guidance for more information.

Opportunities for air-sealing within the living space of a dwelling, besides the obvious include the following: draft-stopper kits for fireplaces, repairing large holes in walls and ceilings, especially those that may be hidden by a suspended ceiling, openings behind built in counters and cabinets, leaky wall outlets and light fixtures.

Materials used must be appropriate to the area being sealed. For example, chimney chases must be sealed with fire retardant materials such as flashing and high temperature caulk. Large openings should be covered with a solid material such as plywood, sheetrock or rigid foam board. These materials must be fastened in place and sealed along the edges. Smaller cracks and holes can be filled with expanding or non-expanding urethane foam or caulk.

Reimbursement for blower door guided air-sealing, unlike other measures that are reimbursed based on actual cost, will be based on an hourly rate of \$105 that will include both material and program support for a two man air-sealing crew.

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Of that amount, \$30 will be allocated to the material cost of the job, and \$75 will be allocated to the support cost of the job. The WRAP Audit will determine the maximum amount that can be spent on each job.

The following materials will be included in the hourly rate:

1. Urethane foam
2. Interior caulking
3. Miscellaneous materials for covering large holes such as sheetrock, plywood, flashing, insulation board, cardboard, nails, screws and other hardware.

VII. Material Specifications

All materials must conform to materials specifications, as they appear in the most recent update of Federal regulation 10CFR Part 440 - Appendix A Standards for Weatherization Materials, published February 1, 2002. Any exceptions are noted below in the Materials and Installation Guidance.

In addition, subgrantees that procure \$10,000 or more of the following products must insure that they are composed of the highest percentage of recoverable materials practicable, taking into consideration competition, availability, technical performance and cost:

Cellulose
Fiberglass
Perlite Composite Board
Plastic Foams and Board

VIII. Materials and Installation Guidance

Glass Replacement

All cracked and broken glass separating conditioned space from unconditioned space is to be replaced.

Weatherstripping Doors

The installation of a permanent weatherstrip product which has a minimum effective life of at least five (5) years is required.

Door Sweeps

Rigid or flexible aluminum and vinyl sweeps are required for those doors which separate conditioned living space from unconditioned space.

Electrical Outlet Gaskets

They shall be installed on all outer wall outlets, and interior walls showing evidence of a thermal by-pass. Any commercially available product is acceptable.

Primary Door & Window Replacements

Primary window and door replacements must have a blower door pre- and post- test done on the unit. **In all instances, prior approval must be received from the DSS Energy Services Unit prior to the ordering of windows and/or doors.** The State reserves the right to limit quantities approved.

Primary Door Replacement Guidance

Replacement doors should only be considered for primary doors separating conditioned living space from the exterior. The existing door must be damaged beyond repair.

Replacement doors should not be superior in style or quality to the doors being replaced

All replacement doors should be stained or painted on both interior and exterior sides, including tops, bottoms and jambs.

Storm Window & Door Guidance

Storm windows and doors should be considered when existing storms are damaged beyond repair, or nonexistent. Storm windows should not be considered for multi-glazed, primary windows. Storm doors will require the prior approval of DSS and should not be considered for insulated steel doors.

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Primary Window Replacement Guidance

Primary replacement windows should only be considered when the existing primary window is damaged beyond repair, or nonexistent.

Sash Replacement

Sub-grantees shall make every effort to replace damaged wood sash, with the same or comparable materials, if the casing and storm are in good condition. All replacements shall be done in accordance with manufacturer's instructions, and all sash shall be stained or painted on both the exterior and interior sides. New wood sash is not to be installed unless protected by storm windows.

Weatherstripping Windows

This is an optional measure, however, weatherstripping of windows should not take place until primary windows have been repaired where required/needed and properly adjusted.

Window Locks

All primary windows should have window locks installed and properly adjusted where missing or broken.

Primary Door Locks

Door locks should be installed when damaged, broken or missing, on doors leading to unconditioned areas.

Attic Insulation

Floors should be insulated to R-38 and kneewalls should be insulated to a minimum of R-11. Horizontal access hatches should be insulated to a minimum of R-19, and vertical access doors should be insulated to a minimum of R-11. Insulate over fold up stairs.

A 3" clearance should be left around all masonry chimneys, metal flues and recessed light fixtures (except type IC fixtures). If loose fill insulation is used, metal blocking must be permanently attached around the above items to a height of at least 4" above the insulation, or mineral fiber blocking may be substituted if it is at least equal in height to the loose fill insulation and it extends at least 24" in all directions.

If live knob and tube wiring is present it must not be covered with insulation. It is an allowable H&S measure to have an electrician replace live K&T wiring to allow for insulation.

In addition, insulated attics must be vented properly. For insulation with a vapor barrier, there should be one square foot of net free venting for every three hundred (300) square feet of attic floor area. For insulation without a vapor barrier, there should be one square foot of net free venting for every one hundred fifty (150) square feet of attic floor area. For the purpose of determining venting needs, low-perm ceiling paint will be considered a vapor barrier.

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Basement Insulation

Insulation should be recommended for ceilings above cold basements and crawlspaces, where the air temperature is nearer to the outside temperature during the heating season. They should be insulated to a minimum of R-19, providing there is no evidence of insect infestation, decay, moisture damage or excessive ground moisture. If a vapor barrier is used, it must face the conditioned area above. If clients express concern about fiberglass falling over work or laundry areas, they can be covered with an approved building wrap.

If, during the heating season, the air temperature is nearer to the conditioned living space above, only perimeter insulation should be recommended. In many instances, especially during the warmer seasons, the auditor, with input from the client, may have to make a judgment call.

When in doubt, do not recommend ceiling insulation.

If insulation is installed above crawlspaces or basements with soil floors, a 6 mil (minimum) black polyethylene ground cover must be used as a moisture barrier. In such cases, if there is evidence of excess moisture, the following ventilation guidelines apply:

With a vapor retarder - One sq. ft. of cross ventilation for every 300 sq. ft. of area

Without a vapor retarder - One sq. ft. of cross ventilation for every 150 sq. ft. of area

For joist spaces of 24 inches or less, wire hangers should be spaced 18 inches apart. Over that, wire hanger should be spaced 12 inches apart.

If live knob and tube wiring is present it must not be covered with insulation. It is an allowable H&S measure to have an electrician replace live K&T wiring to allow for the insulation.

Sidewall Insulation

Exterior walls with cavities at least 3 ½" shall be insulated whenever possible with cellulose insulation. The following procedures must be followed before walls are insulated:

1. Check for evidence of water leakage or other moisture problems.
2. Check condition of interior walls.
3. Check the sills in the basement, behind counters and cabinets and other built in fixtures for areas that need blocking.
4. Obtain owner permission

All necessary corrections must be made before proceeding. Access to wall cavities must be made by removal of siding prior to drilling holes through the sheathing. Insulation with superior airsealing qualities shall be used. A minimum density of 3 lbs. per cubic foot is required. The following installation method is required:

Tube Fill Method – One hole per floor in the middle of each stud cavity shall be made. A flexible fill tube long enough to reach the opposite ends of the cavity must

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be inserted into the cavity and withdrawn as the cavity fills. Fire-stops and other obstructions will necessitate additional holes.

All holes must be inspected for wiring or plumbing damage. **Insulation must not be installed in cavities with live knob & tube wiring or in cavities which serve as air ducts, or in cavities which contain water pipes, electric space heaters or recessed radiators. Only non-combustible insulation shall be installed in cavities adjoining fireplaces and chimneys. It is an allowable H&S measure to have an electrician replace live K&T wiring to allow for insulation.** Additionally, on multi-story buildings with platform construction, the band-joint area between floors should also be insulated.

Exterior garage walls will not be insulated. Interior garage walls and ceilings adjoining heated areas must be done instead, if not already insulated. Siding and sheetrock must be returned to their original condition as best as possible. Exposed wood on siding must be painted or primed.

Pipe Insulation

Insulation should be recommended for heat and hot water pipes in unheated basements and crawlspaces where ceiling insulation will be recommended, or already exists. Any cold water pipes in these areas in danger of freezing can also be insulated, but as a health and safety measure. If the ceiling will not be insulated, do not recommend pipe insulation.

Pre-formed urethane with an R-value of at least 3.5 is recommended for all standard diameter hot water pipes. Slits should face down and all joints should be securely taped. Faced fiberglass with an R-value of at least 5 is recommended for all steam pipes. Do not remove or insulate over existing asbestos pipe insulation, and do not insulate leaking pipes.

Duct Measures

Inspect all duct runs, including returns to make sure they are connected. Open returns are a potential health and safety hazard that must be addressed. Also check doors leading to rooms with supply registers, but no returns, to make sure they are under-cut enough. Otherwise the system will not be properly balanced and energy will be wasted. Next, check for leaks around the ductwork seams, using smoke, while the blower is on. Large leaks, especially on the return side of the system, should be sealed with a good quality duct tape or mastic.

Insulation should be recommended for all ducts, including returns, in cold basement and crawlspaces where ceiling insulation will be recommended or already exists. Faced fiberglass with an R-value of at least 5 is recommended. It must be fastened with a good quality duct tape or other suitable fastener. If the ceiling will not be insulated, do not recommend duct insulation.

Smoke Detectors

Smoke detectors are an allowable health and safety measure. They should be installed near kitchens, in the basement and in bedroom halls. They should be battery operated and U.L. tested and listed to U.L. Standard 217 and comply with NFPA 72. A client signed disclaimer form is required. Otherwise local codes will prevail.

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Carbon Monoxide Detectors

CO detectors are an allowable health and safety measure, but only when one or more of the following conditions exists, and the client does not already have one in good working order:

- Fireplace or woodstove
- Vented heat and/or hot water combustion appliance
- Unvented gas cookstove
- Attached or basement garage

Units must be 120 VAC powered and U.L. tested and listed to 2034-98 and comply with NFPA 720. Battery operated only units will not be allowed, but models with battery back up are acceptable. A client signed disclaimer form is required. They are to be installed according to manufacturer's instructions, at about adult eye level and in or near bedroom sleeping areas only. If the bedroom areas in the home are separated, a second unit can be installed. Prior approval from DSS is required if more than two are needed.

Fluorescent Light Bulbs

Any interior incandescent light fixture that is in use at least 4 hours a day can be retrofitted with a utility or WRAP approved fluorescent light bulb.

IX. Summary of Measures

After Health & Safety measures, for which every unit is checked, the most commonly installed measures are:

- Attic insulation;
- Sidewall insulation;
- Airsealing/infiltration measures;
- Basement/crawlspace ceiling insulation;
- Pipe and duct insulation;
- Storm windows/doors;
- Primary windows/doors

The installation of attic/sidewall insulation and attic/basement air-sealing will be the only measures addressed in the ineligible units weatherized under the 50% or 66% Rule. Ineligible duplex units (side by side) will not be eligible for sidewall insulation. If none of these measures are installed in the building, no credit will be given for the ineligible unit(s).

Connecticut has opted not to address cooling measures and refrigerators since they are addressed in our utility funded low-income programs.

DSS encourages use of renewable energy systems, alternative energy sources, and other "green" practices in its housing and energy programs. DECD, through this initiative, also proposes installation of renewable energy systems and green building materials. It is understood that the installation of renewables will only be permitted when consistent with DOE guidance and justified by an overall

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savings-to-investment ratio of 1.0 or higher, or by other allowable considerations. Any materials used must meet the specifications listed in 10 CFR 440, Appendix A, or otherwise be approved by DOE for use in the program.

X. Home Energy Audit

As mentioned previously, the federal WAP regulations govern the expenditure of ARRA WAP funds. These regulations require the use of a DOE-approved energy audit, or priority list, to determine measures to be completed on each job. The audit must prioritize recommended measures by savings to investment ratio (SIR). Except for approved health and safety measures, only measures with an overall SIR of 1 or more can be completed.

DSS proposes to use the CL&P WRAP Home Check Energy Audit for the ARRA WAP program, since it is the only energy audit currently approved by the DOE for use in Connecticut. This audit is also supported by all of Connecticut's major electric and natural gas public utility companies, as mandated by section 16a-46 of the Connecticut General Statutes. This statute, requires the companies to provide low-income home energy audits in Connecticut.

DSS may seek DOE approval to amend the current audit or select a new audit to cover multi-family units or to fulfill the requirements of the ARRA program. DSS reserves the right to submit other energy audits to DOE for approval as may become necessary.

XI. Spending Limits per Dwelling Unit

The federal WAP regulations currently allow an average spending limit of \$6,500 per dwelling unit, (previously \$2,500 per unit), which is adjusted annually for inflation. DSS proposes to use the same average limit for the ARRA WAP. DSS also proposes a maximum spending limit, per dwelling unit, of \$10,000. Within that maximum limit, DSS proposes a maximum health and safety spending limit of \$2,500 per dwelling unit. Waivers will be considered for dwellings needing new heating systems. Each subgrantee will be responsible for ensuring that the \$6,500 average per unit is maintained for the units they weatherize.

XII. Eligible Dwellings

The federal WAP regulations will govern the determination of dwelling unit eligibility for the ARRA WAP. Generally speaking, with some exceptions, any single family or multifamily building, not previously weatherized, is eligible to be weatherized, as long as it is not for sale, in foreclosure, or in need of major rehabilitation.

Households must meet all income eligibility requirements for the unit to be weatherized. For two (2) through four (4) unit multifamily buildings, at least 50% of the tenants must be income eligible. For larger buildings, at least 66% of the tenants must be income eligible.

XIII. Energy Savings

Energy savings for homes weatherized in Connecticut this program year are estimated to be **216,271 MBTUs**. This is based on the optional DOE formula of **29.1 MBTUs** times the total number of homes (7,432) to be weatherized.

XIV. Health and Safety

The purpose of the Weatherization Assistance Program first and foremost is to improve the energy efficiency of the dwellings owned or occupied by low-income persons. Therefore it must be certain that the majority of the funds spent on the program will directly result in energy savings.

DSS is also committed to the health and safety of their clients and to that end, will allow an average of up to \$500 per unit in material costs for energy related health and safety repairs, up to a maximum of \$2500 for material and labor in any one job. Because heating system work is so regulated in Connecticut, and because most of these activities will be related to heating system repairs, which on average are more expensive in Connecticut than the rest of the region, DSS strongly feels that a limit less than that will be ineffective. DSS also feels that with this limit, the overall expenditures will still be cost effective. Subgrantees will have the responsibility of managing these health and safety cost limits.

When Subgrantees encounter health and safety problems that cannot be resolved within the scope of these limited resources, they will have to postpone services until the problems are resolved. In all cases, client education and referral to other programs will be an integral part of this process.

Grantee Health and Safety

All costs related to grantee health and safety will be charged to the state administrative or technical assistance cost category.

Crew and/or Contractor Health and Safety

All workers have a right to work in an environment that does not jeopardize their health and safety, whether in the office, the warehouse or the job-site. For more information on worker health and safety, see "Construction Industry OSHA Safety and Health Standards"(29 CFR 1926/1910).

The following general guidelines apply to all subgrantees and their contractors:

1. Each employer must design and implement a training program so that all new employees are given basic health and safety training before they enter the field.
2. Periodic refresher sessions on various safety topics must be held for all employees on a regular basis. A Training Log must be maintained for these sessions to document the subjects covered and who attended.
3. All workers must be trained on the proper use of power tools and equipment, including precautions to prevent injuries to clients, especially children, who might come into contact with them.
4. All power tools and equipment must be protected with GFCI circuit breakers. Damaged or worn electrical cords will not be used.
5. All workers must be trained on the safe use of ladders.

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6. Each vehicle and job site must have a first aid kit and all workers must be trained on administering first aid.
7. All crew workers must wear NIOSH N100 rated respirators, and protective eye wear meeting the requirements of ANSI Z-87.1-1968, when applicable.
8. All weatherization vehicles will be properly maintained and inspected regularly to insure safe operation. A maintenance log documenting all service and repairs must kept for each vehicle.
9. A supply of potable water will be kept in all work areas and job sites. Portable water containers will have taps and each worker will have their own drinking cup.
10. Each agency must maintain an OSHA Log #300 to document all accidents. This information can then be used to identify trends and eliminate hazards.
11. Each agency must comply with OSHA HAZCOM requirements. Containers of hazardous materials must be labeled with appropriate warnings. Material Safety Data Sheets (MSDS) for all materials must be kept at all job sites, so that they are readily available in case of an emergency.

Client Health and Safety

In general, before beginning any work, the agency must take into consideration the possible effect of work to be performed on any particular health or medical condition of the occupants. Preferably, this information should be obtained during the client interview portion of the energy audit process. If it is determined that any of the work activities would constitute a health or safety hazard, the occupant at risk will be required to leave the home during these work activities, or the work will have to be postponed.

Potential Hazard Considerations

The following potential hazards must be addressed during the energy audit process:

Moisture and Mold – In general, excess moisture can lead to serious health problems. High levels of indoor relative humidity (over 60% for an extended period of time) encourage the increased growth of molds and germs.

Moisture problems can also cause serious structural damage. The sources of moisture problems vary greatly. They can be caused by rain or ground water penetration, leaking pipes, or inadequate ventilation. Client lifestyles can contribute to these problems.

To help determine the extent of any potential problems, a **Moisture Assessment** will be done on all homes. **This assessment will check for the following conditions:**

1. Water stains or mold in the attic, especially on the underside of roof sheathing
2. Evidence of excessive condensation on windows

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3. Water stains or mold on exterior wall surfaces
4. Standing water in basements, or stains indicating periodic flooding
5. Basements with dirt floors
6. Unvented dryers
7. Bathrooms or kitchens that are unvented and show signs of moisture problems

If there is evidence of a serious problem, such as excessive mold, strong odors, standing water, or other unsanitary conditions present, such as raw sewage, **weatherization services will be postponed, until the problems are corrected. These problems will be documented on the “Notice of Postponement of Services Form” and a copy will be provided to the client.** In the mean time, every effort will be made to refer clients to other programs that can assist them in eliminating these problems. **The EPA publication “A Brief Guide to Mold, Moisture and your Home” will be used for the purposes of client education**

If there is evidence of mold or moisture Problems that are not considered serious enough to postpone Weatherization services, the client will be alerted to the situation and the areas in question will be documented on the **“Mold Disclaimer Form”** which the client and the landlord, if applicable, will have to sign, before the job can be started. This form will be kept in the job file. Again, the above mentioned EPA guide will be used for the purposes of client education.

Combustion Appliances and Combustion Gases - The following tests must be done, on all combustion appliances, **with the combustion appliance zone set in winter mode**, before any weatherization work is done:

1. A visual safety check and efficiency test, if possible, on all furnaces and boilers. A visual check of all other combustion appliances, including water heaters and wood stoves, must also be performed. **All rooms with a combustion appliance must be checked for adequate combustion air.** There must be at least 50 cubic feet of combustion air for each 1,000 BTU of combustion input. If not, the area will be considered a confined space, and additional ventilation will be required. See form titled ‘Confined Space Options’.

Any unvented gas water heater or space heater must be vented before doing any weatherization measures.

2. Carbon Monoxide (CO) Testing – All clients must be given a copy of the information fact sheet on carbon monoxide poisoning. **All clients without a working CO monitor will be provided with one and educated on its use and maintenance. A signed disclaimer form must be obtained and kept in the job file.**
 - a. Heating Systems - In all oil and gas (propane included), heating systems, and space heaters, test for CO in the exhaust vent of the appliance after steady state combustion efficiency (5-10 minute warm up) has been achieved. Do not perform the test on wood or coal stoves.

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- b. Hot Water Heaters - Same as above
- c. Gas-on-Gas Stoves - In addition to doing the above, turn oven on and test in the exhaust port with the oven door closed. Do not test top burners.
- d. Unvented Gas Ovens - Test in the exhaust port with the oven on and the oven door closed. Do not test top burners.

If in any of the above, the CO reading is above 50 PPM, or above 100 PPM in an unvented gas oven, the auditor must contact a qualified service vendor. As long as the ambient air reading is below 10 PPM, the situation will not be considered a problem, and service should be scheduled using routine CTT procedures.

If ambient air reading is 10 PPM or more, the following procedures must be followed:

- **10 PPM – 35 PPM - Contact the client's fuel vendor immediately to alert them of the problem. If the appliance uses oil or propane, and the client does not have a vendor, or the vendor does not do service work, the auditor must immediately contact a vendor that is qualified to do repairs as soon as possible.**
- **35 PPM – 50 PPM - This will be considered a serious situation! Auditor will advise all occupants to vacate the building.**
- **Above 50 PPM – This will be considered an emergency situation! Fire Department must be alerted immediately.**

The client must also be informed of the potential danger and asked to sign a **CO Disclaimer Form**, which the auditor must also sign and date. A copy is to be given to the client and the original placed in the job file. In most instances, a thorough cleaning and/or adjustment of the appliance will rectify the problem. If after servicing, it is determined that the appliance cannot be repaired and should be replaced, refer to the State Plan for guidance as to what appliances qualify for replacement and the procedures to be followed. If replacement is not allowable, notify the client/landlord in writing. Also refer to the Deferral Standards section if such a situation would be warranted.

3. **Backdraft Testing** – Verify proper venting for all combustion appliances using the following test:
 - a. Inspect the condition of all flue pipes, draft hoods, diverters and barometric dampers and check for visible signs of backdrafting.
 - b. **Set up combustion appliance zone in winter mode.** Then fire up all appliances at the same time including dryers. Allow 5-10 minutes to establish normal flue draft and then do a smoke test on each appliance to verify that sufficient draft exists.

NOTE: Draft will vary according to seasonal conditions and may be stronger in warmer weather due to smaller temperature differences between inside and outside.

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Fire Hazards – All combustion appliance areas must be checked for adequate clearance between combustion appliances, flue pipes and any combustible materials. Clients with wood stoves will be reminded about the potential danger of excess creosote build-up in flues and chimneys. **All clients without a working smoke detector will be provided with one and educated on its use and maintenance. A signed disclaimer form must be obtained and kept in the job file.**

Indoor Air Quality

Blower Door Testing Procedures - Because airsealing can affect indoor air quality, the following guidelines must be followed:

1. All data must be recorded on the audit data input form. A copy will be submitted to DSS with the BWR and a copy will be placed in the job file.
2. A Minimum Ventilation Guideline (MVG) must be calculated for each dwelling. The purpose of the MVG is to prevent the over-tightening of buildings. The Lawrence Berkeley Laboratory Model (LBL) will be used, which considers the number of occupants, number of stories, wind shielding and climate to convert the MVG to CFM50. At best it is a guideline only, that assumes no combustion safety problems exist and that moisture generation is normal. The trained auditor will have to raise the MVG if problems are suspected. If there are any indoor air quality problems that cannot be remedied, no airsealing will be done.

The following procedure will be followed to determine the MVG:

- A. Buildings tightness limits for multi-family building where a single unit is to be compartmentalized will be 2000 CFM50.
- B. Buildings tightness limits for single family detached structures and side-by-side duplexes will be determined by the larger of the following two calculations:
 - a. MVG based on 15 CFM natural air flow per occupant will use the following formula:

$$\text{MVG(CFM50)} = 15 \times \# \text{ of occupants} \times N$$

- b. MVG based on .35 natural air changes per hour will use the following formula:

$$\text{MVG(CFM50)} = .35 \times V \times N/60$$

The following definitions and procedures apply to these calculations:

1. N = LBL Correlation factor from Table 1.
2. V = The volume of conditioned living space expressed in cubic feet.
3. The minimum number of occupants will be 5, even if the actual number is less. Add 1 for every resident smoker. Add 1 for every pet over 75 pounds.

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4. When determining the number of stories in the dwelling, count only conditioned living space. Finished basements used as living space will be considered a half story unless over 50% of the walls are exposed above grade. Finished attics used as living space will be considered a half story also unless the volume is greater than 50% of the floor below.
- C. A blower door pretest will be performed and recorded before any airsealing is done. After airsealing is complete, a post-test will be performed under the same pressure configuration as the pretest and recorded. If the pretest is below the MVG no airsealing will be done, and additional ventilation will be considered before any other work is done.

Blower Door Safety Concerns

1. Do not conduct a depressurization test with a wood stove or fireplace burning. Close flue dampers and cover loose ash in the fireplace.
2. Do not conduct a depressurization test when any other combustion appliance is operating. Shut off power or gas before the test is conducted, and make sure appliances are turned back on when testing is completed.

Other Health & Safety Concerns

Asbestos - Inhalation of asbestos fibers can cause lung cancer. Therefore, existing asbestos should not be disturbed during weatherization work. The only exception is asbestos shingles on exterior siding. Removal and replacement is allowed for the purpose of installing insulation. If asbestos insulation covering old pipes and boilers is in good condition, the fibers will not be airborne. In these cases, it will be safe to work in the immediate area. However, if the insulation wrapper is damaged or deteriorated, and it is suspected that asbestos fibers have become airborne, no work is to be done in that area. In these instances, client education will include information about asbestos, and the dangers of airborne asbestos fibers. **Asbestos abatement is not an allowable health and safety measure.**

Dust - Inhaling any kind of dust can be harmful. During weatherization work, especially when blowing insulation, precautions should be taken to minimize exposure to dust. Workers should wear NIOSH, N100 rated, respirators and clients should be isolated from work areas. If this is not possible, or the client has a history of respiratory problems, they should be removed until after the work is complete.

Radon and Soil Gases - Radon, which is a colorless, odorless gas that comes from decaying uranium, and other dangerous soil gases enter homes by seeping up through the ground. These gases are driven by air pressure differentials, so work should never be done that create or increases negative pressures in basements and crawlspaces. Radon testing and abatement is not an allowable health and safety measure.

Formaldehyde and Volatile Organic Compounds (VOC) - Formaldehyde vapors may be slowly released by some new carpets and building materials such as plywood. If there is evidence of excessive VOC fumes, no airsealing work is to be done.

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Lead Paint - Lead poisoning is a serious problem, especially in young children and pregnant women. Household paints used before 1978 contain lead. Paint chips or dust from these paints can be inhaled or ingested, which can lead to lead poisoning. Studies have found quantities of lead dust around windows and doors because of the friction caused from constant opening and closing. Once this dust is airborne, it can settle anywhere. Crews working in these areas, of pre-1978 housing, are to assume that lead paint is present and are required to take precautions to prevent contamination of themselves and clients.

The USDOE Minimum Standards for Lead Safe Weatherization (LSW) that were issued September 22, 2008, will be followed at all times. These precautions will include the following practices:

- Residents, especially young children and pregnant women, are to be kept away from the work area.
- HEPA vacuum or wet-clean the immediate work area, before and after work, to remove potentially dangerous lead paint particles and prevent dust from becoming airborne.
- Household items, within the immediate work area, will be removed, if possible, or covered with plastic. The floor in this area will also be covered with plastic (6 ml minimum thickness) and secured with masking tape. Photo documentation of containment setup must be kept in file.
- When working on exterior surfaces, cover the ground beneath including shrubs, out to 5 feet for every 10 feet of wall height, with 6 ml plastic and secure to the foundation with duct tape. Photo documentation of containment setup must be kept in file.
- All painted surfaces that are to be disturbed (sanding, drilling, cutting, etc.) must be thoroughly misted first.
- Workers must remove or clean footwear and remove gloves, or clean hands, if applicable, before leaving the work area, so as not to contaminate other areas. Disposable coveralls and footwear are recommended.
- At the end of each workday, all plastic coverings must be rolled or folded inward to trap dust and debris then removed from the job site and disposed of along with all other construction waste, which must be bagged and sealed before removal from the job site.

As a client education service, all weatherization clients living in pre 1978 housing that may contain lead paint will be alerted to the dangers of lead paint, as part of the client education process that takes place during the energy audit home inspection. Prior to any weatherization work being done on pre 1978 housing, owners and occupants will be provided with the EPA Pamphlet "Renovate Right: Important Lead Hazard Information for Families, Child Care Providers and Schools". An adult tenant or homeowner must sign an acknowledgement after receiving this pamphlet. This documentation must be kept in file.

All weatherization workers and sub-contractors that may potentially come into contact with, or disturb, lead painted surfaces must attend a mandatory day-long "Lead-Safe Weatherization Work Practices" training. This training was especially designed for Connecticut's Weatherization Program and is based on a training program developed by the University of Connecticut Cooperative Extension System and Environmental Research Institute with funding and approval from the Connecticut Department of Public

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Health, the U.S. Environmental Protection Agency and the U.S. Center for Disease Control and Prevention. Sessions are held annually to train new workers and subcontractors. During the 2009-2010 program year all weatherization crews and subcontractors will attend this training because it will include the new USDOE Minimum Standards for LSW that were issued September 22, 2008.

Building Structure – Building rehabilitation is beyond the scope of the Weatherization Program. When homes in poor structural condition are encountered, weatherization services should be delayed until the dwelling can be made safe for crews and occupants. Clients should be referred to the Department of Housing and Urban Development or other programs for assistance with rehabilitation services. Incidental repairs necessary for the effective performance or preservation of weatherization materials are allowed. These limited repairs are listed in the section of this plan titled “Allowable Health & Safety Measures”.

Electrical Issues – The primary energy related health and safety concerns here are insulating homes that contain live knob and tube wiring and identifying overloaded electrical circuits. When these conditions are encountered or suspected, a licensed electrician should be consulted before any work is done. The electrician’s report must document that all circuits have over-current protection, either by circuit breakers or type “S” fuses. A copy of the electrician’s report must be kept in the job file. Electrical inspections and electrical repairs, including those to prevent circuit overloading and to replace or eliminate live K&T wiring to allow for insulation, are allowable H&S measures.

Refrigerant Issues – Standards relating to the replacement and disposal of existing appliances are not applicable to this plan due to the fact that the State of Connecticut has opted not to include cooling measures in the program.

Building Code Compliance Issues – All weatherization related work must comply with applicable State of Connecticut Building Codes. Subgrantees are reminded that if a conflict arises between state and local codes, the local code will prevail.

Allowable Health and Safety Measures:

Any measure listed below is allowable, but subgrantees will be responsible for maintaining an average unit limit of \$500 in materials and a maximum total limit per unit of \$2,500. All health and safety expenditures will be included in the overall average job limits. If the Energy Audit indicates a Savings to Investment Ratio (SIR) of 1 or more for any of these measures, they will be considered regular program expenditures and not charged to Health and Safety.

A. Heating and ventilation system repairs:

1. A C/T/T of the heating system and minor repairs of all combustion appliances, including gas cook-stoves.
2. The venting of unvented water and space heaters.
3. The installation of smoke and/or carbon monoxide detectors and the installation of any combustion safety equipment or device required by building code.
4. Repairs and balancing of distribution systems (heating pipes and ducts).
5. Repairs or cleaning of chimneys and flue pipes.

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6. Repairs or replacement if necessary of leaking above ground oil tanks.
 7. The installation of ventilation equipment, including dryer vents, to assure adequate ventilation and moisture control.
 8. Replacement of failed hot water heaters, for owner occupied and eligible units only. Prior approval of DSS is required. Fuel switching is discouraged, but will be considered on a case by case basis, if determined to be cost effective.
- B. Incidental building and electrical repairs necessary to protect the weatherization investment in the unit:
1. The installation of vapor retarders in basements and crawl spaces to contain moisture.
 2. Repairs to roofs, gutters, downspouts, siding and foundations to solve moisture related problems.
 3. Electrical inspections and repairs, including replacing live K&T wiring, to allow for the installation of weatherization materials or the installation of proper sized fuses to prevent circuit overloading.
 4. Insulation of cold water pipes in crawl spaces or other exposed areas in danger of freezing.
 5. Window and door repairs, including glass, glazing, locks, weatherstripping, doorjamb, sill plates/thresholds, pulley repairs, parting beads, side-stops and damaged sash replacement.
 6. Paint, stain and sealers (exterior only).

Deferral Standards

The decision to defer work in a dwelling may be necessary in some cases. This does not mean that assistance will never be available, but that work must be postponed until the problems can be resolved. Subgrantees are expected to assist clients, when possible, with finding alternative sources of help. Good judgment must always be used in dealing with these difficult situations.

All serious health and safety problems encountered that will either prevent or delay the delivery of weatherization services will be documented on the **Notice of Postponement of Services** form, along with possible solutions. The client will be asked to sign this form and it will also be signed and dated by an agency representative. If the client is a renter a copy will also be sent to the landlord.

Deferral conditions may include any of the following situations:

1. The client has known health conditions that would be impacted by the installation of insulation or other measures.
2. The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and the conditions cannot be resolved cost-effectively.

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3. The building has sewage or other sanitary problems that would further endanger the client and weatherization installers if weatherization work were performed.
4. The building has been condemned or electrical, heating, plumbing or other equipment has been “red tagged” by local or state building officials or utilities.
5. Moisture problems are so severe they cannot be resolved under existing guidelines.
6. Dangerous conditions exist due to high carbon monoxide levels in combustion appliances and cannot be resolved under existing guidelines.
7. The extent and condition of lead-based paint in the building would potentially create further health and safety problems.
8. The client is uncooperative, abusive or threatening to the auditor, crew, subcontractors or others who must work in or visit the dwelling.
9. In the judgment of the auditor, any condition exists which may endanger the health or safety of the work crew or subcontractor.
10. In the judgment of the auditor, illegal activities are taking place on the property.

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CONFINED SPACE OPTIONS

PROVIDE 2 OPENINGS:

HIGH = 12 INCHES FROM CEILING

LOW = 12 INCHES FROM THE FLOOR

1. ROOM TO ROOM

1 SQUARE INCH/1000 BTU'S

2. HORIZONTAL DUCT TO OUTDOORS:

1 SQUARE INCH/2000 BTU'S

3. VERTICAL DUCT TO OUTDOORS:

1 SQUARE INCH/4000 BTU'S

METAL GRILLE = 75% FREE AREA

WOOD GRILLE = 25% FREE AREA

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State of Connecticut
Department of Social Services
Revised 01/2006

CONNECTICUT WEATHERIZATION PROGRAM

Notice of Postponement of Services

During an audit by a Connecticut Weatherization Provider, _____

Phone # _____, the following health and safety problems were discovered:

Because these problem(s) will prevent us from starting our weatherization work, we have outlined the following required actions. Any help that we can provide will be clearly stated.

The problems listed above do not exclude you from receiving the benefits of the weatherization program. If the above problems can be rectified within sixty (60) days, you will still be eligible for services provided by the Weatherization Program. It will be your responsibility to notify the Provider within the timeframe mentioned above, in writing, that the problem(s) outlined have been eliminated unless the Provider has taken the responsibility for resolving them.

I clearly understand that the condition(s) and problem(s) outlined above prevent my home from being weatherized. I also clearly understand the responsibilities of all parties involved, including my responsibilities and required actions. By signing this document, I understand that I am not giving up my rights to benefits provided by the Weatherization Program, but it is in the best interest of all parties involved that weatherization work not take place until the problem(s) are resolved.

Signed: _____ Date: _____

Provider's Name: _____ Representative: _____ Date: _____

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State of Connecticut
Department of Social Services
Revised 01/2006

**CARBON MONOXIDE
DISCLAIMER**

This is to certify that I have been alerted to the presence of dangerous levels of Carbon Monoxide in my home.

I understand that these odorless gases are coming from _____

_____ and that this appliance should not be operated until it has been inspected and repaired by an authorized service technician.

Furthermore, should _____ authorize any repairs I understand that neither they nor their State and/or Federal funding sources will be held responsible for any injuries that may occur before these repairs are completed.

I also understand that in some instances, State or Federal Program funds will not be available to pay for complete repairs or replacement; if recommended, I will be responsible for paying the remaining costs.

Signature of Client

Date

Agency Representative

Date

cc: 1/Housing Code Office
1/Fire Marshall's Office

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State of Connecticut
Department of Social Services
Revised 01/2006

**SMOKE/CO DETECTOR
DISCLAIMER**

This is to certify that I, _____, have had _____
(name of client)
smoke detector(s) and/or _____ carbon monoxide detector(s) installed in my
dwelling unit located at _____, by the

(name of local agency)

I have also been instructed in its/their use and maintenance. *The replacement of batteries and maintenance is my sole responsibility, and not the responsibility of the agency.* Neither the Department of Social Services (DSS), nor the agency listed above, guarantees the performance of the smoke detector(s) and/or carbon monoxide detector. Life expectancies of those detectors vary depending on the manufactures' specifications. Generally, they are 5 years or less.

I understand that the life expectancy of this detector(s) is 5 years or less and that replacement, when necessary is my responsibility.

Signature of Client

Date

~~~~~  
I certify that I have installed \_\_\_\_\_ **working smoke detector(s)** in the dwelling unit listed above in the following area(s):  
\_\_\_\_\_

I certify that I have installed \_\_\_\_\_ working carbon monoxide detector(s) in the dwelling unit listed above in the following area(s):  
\_\_\_\_\_

\_\_\_\_\_  
I have also instructed the client on its (their) proper use/maintenance.

\_\_\_\_\_  
Signature of Installer

\_\_\_\_\_  
Date

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**CARBON MONOXIDE**

**CARBON MONOXIDE** is a product of incomplete combustion of fossil fuels.

When combustion appliances such as:

- \* Heating Systems
- \* Stoves; and,
- \* Hot Water Heaters

are dirty, or not tuned properly, they can produce carbon monoxide.

*Carbon Monoxide is dangerous because it is invisible and odorless. Victims of carbon monoxide poisoning often have no warning that they are in danger until it is too late!*

In small concentrations it can cause flu like symptoms such as:

- \* Nausea;
- \* Headaches;
- \* Chronic Fatigue; and,
- \* Dizziness.

Larger concentrations can cause unconsciousness and even death.

**IF YOU EXPERIENCE ANY OF THE SYMPTONS LISTED ABOVE CONTACT YOUR GAS COMPANY OR OIL COMPANY IMMEDIATELY!**