



PLEASE DO NOT USE STAPLES TO BIND THE BID RESPONSES.

City of Rockford, Illinois USA
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Section 1

RFP Instructions

and

Contract

Conditions

CITY OF ROCKFORD, ILLINOIS—RFP AND CONTRACT GENERAL CONDITIONS (LOCAL FUNDS)

The following shall be made part of the terms and conditions of the contract (“Contract”) entered into between the City of Rockford (City) and Vendor (also referred to herein as “proposer,” “awarded vendor,” and “contractor”) if awarded the contract. Vendor’s submission of a proposal constitutes acceptance of these Conditions:

1. Pricing. The proposer shall insert price for all bid items and all other information requested in these specifications. The price shall be the *full, delivered cost* to the City of Rockford with no additions.

2. Total versus "Per Item" Awards. The City generally awards contracts on a lump sum basis. However, the City may choose to award a contract to more than one proposer. Therefore, each proposer must submit pricing for each item indicated on the bid forms.

3. Delivery of Merchandise. Delivery terms will always be Freight-On-Board (FOB) Destination. The City of Rockford accepts no responsibility for the condition of any merchandise purchased prior to acceptance by City Personnel. Failure to comply with this requirement may constitute rejection of the bid.

4. Acceptance of Merchandise at Delivery. The City of Rockford reserves the right to refuse acceptance of delivered merchandise that differs substantially from the specifications in the invitation to bid or as otherwise permitted by Illinois law.

5. Prompt Payment Act. The City of Rockford intends to comply with the Local Government Prompt Payment Act (50 ILCS 505/1 *et seq.*). The awarded vendor will be paid upon submission of invoices to: City of Rockford Accounts Payable, 425 East State Street, Rockford, IL 61104.

6. W-9 Request for Taxpayer Identification Number. Prior to issuance of a purchase order, the successful bidder will be required to supply the City of Rockford with a federal W-9 Request for Taxpayer Identification Number and Certification. Failure to comply with this requirement will be considered a violation of contract terms, for which the City may bar Vendor from bidding for a period of up to three (3) years.

7. Legal Compliance. Vendor will at all times observe and comply, and will cause its subcontractors to observe and comply, with all applicable federal, state, and local laws, ordinances, rules, regulations, and executive orders, now existing or hereinafter in effect, which may in any manner affect the performance of this contract. Provisions required by law, ordinance, rules, regulations, or executive order to be inserted in this contract will be deemed inserted, whether or not they appear in it. In no event will failure to insert such required provisions prevent the enforcement of applicable law. Lack of knowledge of applicable law on the part of Vendor will in no way be cause for release of this obligation. If the City becomes aware of violation of any laws, ordinances, rules and regulations on the part of Vendor or subcontractor, it reserves the right to reject any bid, cancel any contract, and pursue any other legal remedies deemed necessary.

Vendor must pay all required taxes and obtain all licenses, certificates, or other authorization required in connection with the performance of its obligation hereunder, and Vendor must require all subcontractors to also do so. Failure to do so may result in rejection of Vendor's bid, cancellation of an award to Vendor, or termination of this contract with Vendor.

By entering into a contract with the City, Vendor certifies that to the best of its knowledge, its principals and any subcontractor used in the performance of this contract meet City requirements and have not violated any City ordinance, code, state, federal, or local rules or regulations, and have not been subject to any debarment, suspension, or other disciplinary action by any government agency. Additionally, if at any time Vendor becomes aware of such information, it must immediately disclose it to the City.

8. Legal Requirements. This contract sets forth the entire final agreement between the City of Rockford and the proposer and shall govern the respective duties and obligations of the parties. The validity of this contract, and any disputes arising from the contract, shall be governed by the laws of the State of Illinois. Any litigation under this agreement shall be resolved in the trial courts of Winnebago County, State of Illinois. Should a provision of this contract be declared invalid by a court of competent jurisdiction, it shall not affect the validity of the remaining provisions of the contract.

9. Safety. Prevention of accidents at any project is the sole responsibility of Vendor and its subcontractors, agents, and employees. Vendor, its subcontractors, agents, and employees shall be fully and solely responsible for the safety of this project. Vendor shall retain exclusive and direct control over the acts or omissions of its subcontractors, agents and employees, and any other persons performing portions of the work and not directly employed by the awarded vendor.

10. Criminal Background Check. When necessary for the protection of citizens and/or City staff, the City may require an awarded vendor to conduct a criminal background check on all of its personnel who will have direct contact with City facilities or residents/businesses served under this contract. Personnel are defined as representatives, agents, employees, subcontractors, or anyone else who will be utilized to fulfill obligations under this contract. Criminal background checks, at a minimum, shall consist of a county level felony and misdemeanor check for each county in which the personnel resided in the last ten (10) years. The awarded vendor shall notify the City of any of its personnel who have been convicted of a felony or misdemeanor prior to commencing any work under this contract. At the City's discretion, personnel with any felony or misdemeanor convictions which raise a concern about the safety of building, property, or City staff/resident's personal security, or is otherwise job related (as determined by the City) shall not perform work under this contract. Once given notice that a background check(s) will be required, it must be completed within fourteen (14) calendar days so as to not delay work to be completed.

11. Control of the Work. With respect to Vendor's own work, the City shall not have contractual, operational, and/or supervisory control over and/or charge of the work and shall not be responsible for construction means, methods, techniques, sequences, procedures, and programs in connection

with the awarded vendor's work, since these are solely the vendor's responsibility under the agreement. The City shall not be responsible for the awarded vendor's failure to carry out the work in accordance with the agreement's terms and conditions. The City shall not have control over and/or charge of acts or omissions of the awarded vendor, its subcontractors, and/or their agents or employees, or any other person performing portions of the work not directly employed by the awarded vendor. The awarded vendor shall be considered to be an "independent contractor" pursuant to Illinois law.

12. Bid Bond. When required on the cover sheet, a bid bond for not less than five (5) percent of the bid amount must accompany all bids as a guarantee that if the bid is accepted, the bidder will execute and file the proper contract. A bank cashier's check, bank draft, or certified check equal to the amount specified is acceptable in lieu of a bid bond. Bid bonds of the two lowest firms will be retained until the contract is awarded.

13. Performance and Payment Bond. When required by the specifications herein, the awarded vendor shall furnish a performance and payment bond equal to the amount of the contract, acceptable to the City, within fourteen (14) calendar days after notification of contract award. Failure to furnish the required bond within the time specified may be cause for rejection of the bid and any bid deposit may be retained by the City as liquidated damages and not as a penalty.

14. Taxes. No charge will be allowed for taxes from which the City of Rockford, Illinois is exempt. The City of Rockford, Illinois is not liable for the Illinois Retailers' Occupation Tax, the Service Occupation Tax or the Service Use Tax. The City is exempt from the Federal Excise and Transportation Tax.

15. Withdrawal of Proposal. Firms may withdraw or cancel their proposal at any time prior to the advertised Request for Proposal opening date and time. After the opening time, no proposal shall be withdrawn or cancelled. All proposals shall be firm and valid for a period of sixty (60) calendar days. If a proposer to whom a contract is awarded refuses to accept the award, the City may, at its discretion, suspend the proposer for a period of time up to three (3) years.

16. Subcontracting. Vendor shall provide information for all subcontractors and leased operators of equipment in the required Subcontractor Utilization Form. Information contained in this form must be complete and accurate, to the best of Vendor's estimating ability at the time of proposal, and will be relied upon by the City in projecting Minority and Women Business Enterprise subcontractor utilization for awarded City contracts. Any changes in subcontractor utilization from that which is provided on the Subcontractor Utilization Form must be made immediately in writing by submitting a new form to the City's Equal Opportunity Compliance Officer and the City Project Manager or designee. When subcontractors are used, Vendor must pay subcontractors for satisfactory performance no later than thirty (30) days after receipt of each payment from the City.

17. Termination of Contract. The City of Rockford reserves the right to terminate the contract in its entirety or in portions, upon written notice to Vendor for convenience, if the Rockford City Council does not appropriate sufficient funds to complete the contract, or in the event of default by Vendor. Default is defined as failure of the awarded vendor to perform any of the provisions of this contract or failure to make sufficient progress so as to endanger performance of this contract in accordance with its terms. The City's written notice of termination shall specify the effective date of termination. Vendor shall discontinue providing goods or services after such effective date, and the City shall not be liable for goods or services provided by Vendor thereafter. In the event of default, the City may purchase the product(s) and/or service(s) from other sources and hold the defaulting company responsible for any excess costs occasioned thereby. The City may require payment of liquidated damages for non-performance. Should default be due to failure to perform or because of a request for a price increase, the City reserves the right to remove the firm from the City's bidder list and place the firm on the City's debarred list for a period of up to three (3) years.

18. Late Bids and Proposals. Regardless of cause, late bids and proposals will not be accepted and will automatically be disqualified from further consideration. It shall be solely Vendor's risk to ensure delivery at the designated office by the designated time. Late bids and proposals will not be opened and may be returned to Vendor at their request and expense.

19. Equal Employment Opportunity. Vendor shall comply with all applicable equal employment opportunity statutes, regulations, and ordinances including but not limited to the City's Equal Opportunity Employment (EOE) Ordinance (City of Rockford Code of Ordinances, Chapter 11, Article IV); the Illinois Human Rights Act (775 ILCS 5/101 *et seq.*), the Illinois Department of Human Rights (IDHR) Rules and Regulations for Government Contracts (44 Ill. Admin. Code, Chapter X, Section 750), the Discrimination in Public Contracts Act (775 ILCS 10/0.01 *et seq.*), Title VII of the Civil Rights Act of 1964, as amended (§ 7, 42 U.S.C. § 2000e *et seq.*); the Age Discrimination in Employment Act of 1967, as amended (29 USC §.621 *et seq.*); Title I of the Americans with Disabilities Act of 1990, as amended (42 USC 12111-12117); the Equal Pay Act of 1963, as amended; and the Uniformed Services Employment and Reemployment Rights Act of 1994, as amended (38 USC §§ 4301-4335).

Pursuant to IDHR's Rules and Regulations and the City's EOE Ordinance, the awarded vendor shall comply with the following terms and conditions during the performance of this contract:

- a) Vendor will not discriminate against any employee, including apprentices, or applicant for employment, including training programs, because of race, color religion, sex, sexual orientation, gender identity, marital status, order of protection status, status as a survivor of domestic violence or human trafficking, national origin or ancestry, citizenship status, age, physical or mental disability unrelated to ability, military status, or unfavorable discharge from military service; and, further, that Vendor will examine all job classifications to determine if minority persons or women are underutilized and will take appropriate affirmative action to rectify any underutilization.

- b) If Vendor hires additional employees in order to perform this contract or any portion of this contract, Vendor will determine the availability (in accordance with Section 750) of minorities and women in the areas from which Vendor may reasonably recruit and will hire for each job classification for which employees are hired in a way that minorities and women are not underutilized.
- c) In all solicitations and advertisements for employees placed by Vendor on its behalf, Vendor will state that all applicants will be afforded equal opportunity without discrimination because of race, color, religion, sex, sexual orientation, gender identity, marital status, order of protection status, status as a survivor of domestic violence or human trafficking, national origin or ancestry, citizenship status, age, physical or mental disability unrelated to ability, military status, or an unfavorable discharge from military service.
- d) Vendor will send to each labor organization or representative of workers with which it has or is bound by a collective bargaining or other agreement or understanding, a notice advising the labor organization or representative of the Vendor's obligations under the Illinois Human Rights Act and Section 750 of the Illinois Department of Human Rights Rules and Regulations. If any labor organization or representative fails or refuses to cooperate with the Vendor in its efforts to comply with the Act and Part 750, Vendor will promptly notify the Illinois Department of Human Rights and the City of Rockford and will recruit employees from other sources when necessary to fulfill its obligations under the contract.
- e) Vendor will submit reports as required by Part 750, furnish all relevant information that may be requested by the Illinois Department of Human Rights or the City of Rockford, and in all respects comply with the Act, the Department's Rules and Regulations, and the City of Rockford's Equal Opportunity Employment Ordinance. *Vendor's failure to complete the City's required Equal Employment Opportunity Certifications or Vendor and Subcontractor Workforce Data Forms will result in disqualification of Vendor's bid or proposal.*
- f) Vendor will permit access to all relevant books, records, accounts, and work sites by personnel of the City of Rockford and the Illinois Department of Human Rights for purposes of investigation to ascertain compliance with the Act, IDHR's Rules and Regulations, and City of Rockford EOE Ordinance.
- g) Vendor will include verbatim or by reference the Equal Employment Opportunity Clause (44 Ill. Admin. Code, Chapter X, Appendix A) in every subcontract awarded under which any portion of the contract obligations are undertaken or assumed, so that the provisions will be binding upon the subcontractor. In the same manner as with other provisions of this contract, Vendor will be liable for compliance with applicable provisions of this clause by subcontractors. Further, Vendor will promptly notify the City of Rockford and the Illinois Department of Human Rights if any subcontractor fails or refuses to comply with the provisions of sections (a) through (f) of this paragraph. Vendor shall not utilize

any subcontractor declared by the Illinois Human Rights Commission to be ineligible for contracts or subcontracts with the State of Illinois or any of its political subdivisions or municipal corporations.

20. Restrictive or Ambiguous Specifications. It is the responsibility of the proposing firm to review the Request for Proposal specifications and to notify the Central Services Manager if the specifications are formulated in a manner that would unnecessarily restrict competition. Any such protest or question regarding the specifications or Request for Proposal procedures must be received by the Central Services Division not less than seventy-two hours prior to the time set for the opening. In the event a contract term is not defined within the contract document, the term will be given its ordinary dictionary definition.

21. Proposal or Award Protest. Firms wishing to protest proposals or awards shall notify the Central Services Manager in writing within seven (7) days after the proposal opening. The notification should include the RFP number, the name of the firm protesting, and the reason why the firm is protesting. The Central Services Manager will respond to the protest within seven (7) calendar days. A successful protest may result in the reversal of a previously awarded contract.

22. Disputes. In case of disputes as to whether or not an item or service quoted or delivered meets specifications, the decision of the Central Services Manager or authorized representative shall be final and binding to all parties. The Central Services Manager has the right to waive technicalities as they see fit. The Central Services Manager may request a written recommendation from the head of the department using the equipment or service being procured.

23. Exceptions. Any deviations from these specifications shall be noted and submitted with the bid. Failure to address deviations from specifications may result in bid rejection.

24. Acceptance/Rejection of Proposals. The City of Rockford reserves the right to accept or reject any or all bids or proposals at any time, for any reason, including but not limited to the Rockford City Council not appropriating sufficient funds to purchase equipment or complete the contract. The City may make awards in any manner deemed in the best interest of the City.

25. Prevailing Wage. When indicated on the cover page of the invitation to bid, this contract calls for the construction of a "public work," within the meaning of the Illinois Prevailing Wage Act, 820 ILCS 130/.01 *et seq.* ("the Act"). The Act requires awarded vendors and subcontractors to pay laborers, workers, and mechanics performing services on public works projects no less than the "prevailing rate of wages" (hourly cash wages plus fringe benefits) in the county where the work is performed. Prevailing wage rates are determined by the Illinois Department of Labor and posted on the Department's website at:

<https://www2.illinois.gov/idol/Laws-Rules/CONMED/Pages/Rates.aspx>

(a) The Act does apply to owner-operators.

(b) When applicable, all awarded vendors and subcontractors rendering services under this contract must comply with all requirements of the Act, including but not limited to all wage, notice, recordkeeping, and filing of certified payroll requirements.

(c) Under the Act, it is mandatory upon Vendor to insert into each subcontract a written stipulation to the effect that not less than the prevailing rate of wages shall be paid to all laborers, workers and mechanics performing work under this contract. It is also the Vendor's responsibility under the Act to verify and pay *current* wage rates, as the Department may change them from time to time.

(d) It is Vendor's obligation to understand what the Act requires, and to comply accordingly. *Failure on the part of the City to provide proper written notice regarding the applicability of the Prevailing Wage Act does not relieve Vendor or subcontractors of the obligation to comply with the Act when applicable, nor does it relieve them of their obligation to pay back wages when owed.*

(e) Vendor and all subcontractors shall make all records required under the Prevailing Wage Act available for inspection, copying, or transcription by authorized representatives of the City of Rockford or Department of Labor. Vendor shall further permit such representatives to interview employees during working hours on the job. If Vendor or subcontractor fails to submit the required records or make them available, the City may 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 may be grounds for debarment action.

26. Certified Payroll. All Certified Payroll reports required to be submitted under the Prevailing Wage Act, 820ILCS 130, as directed by the State of Illinois (<https://www2.illinois.gov/idol/Laws-Rules/CONMED/Pages/Prevailing-Wage-Portal.aspx>).

No paper copies or non-conforming Certified Payroll reports will be accepted. A copy of proof of submission, including the reported wage information, must be submitted to the City with the request for payment. The City reserves the right to withhold payment due to the awarded vendor until the vendor complies with this or any other provision of the Act.

27. Substance Abuse Prevention. Before Vendor commences work on a public works project, it must have in place a written program which meets or exceeds the program requirements in the Substance Abuse Prevention on Public Works Projects Act (820 ILCS 265/1 et seq.), to be filed with the City and made available to the general public, for prevention of substance abuse among its employees. This program must include pre-hire, random, reasonable suspicion, and post-accident drug and alcohol testing, as required by the Substance Abuse Prevention on Public Works Projects Act.

28. Apprenticeship Requirement. For construction contracts over \$50,000, Vendor must participate in apprenticeship and training programs approved and registered with the United States Department of Labor's Bureau of Apprenticeship and Training for all Trades that will be in Vendor's (or his subcontractor's) employment, with each worker receiving the required apprenticeship/training appropriate to his trade. Owners or work performed by owners is not exempt from the apprenticeship and training requirement.

29. Indemnification. To the fullest extent permitted by law, Vendor shall indemnify and hold harmless the City, its officers, representatives, elected and appointed officials, agents, and employees from and against all claims, damages, losses and expenses, including but not limited to attorney's fees, arising out of or resulting from Vendor's performance of work under this agreement, and indemnifies and agrees to defend and hold harmless the City against any and all losses, claims, damages, and expenses arising from the work performed hereunder of the erection, construction, placement, or operation of any scaffold, hoist, crane, stay, ladder, support, or other mechanical contrivance in connection with such work including but not limited to losses, claims, damages, and expenses arising pursuant to claims asserted against the City pursuant to theories premised upon sections 343 and 414 of the Restatement (Second) of Torts.

This indemnification agreement shall not be limited in any way by any limitations on the amount or type of damages, compensation, or benefits payable by or for Vendor under the Illinois Workers' Compensation Act (820 ILCS 305/1 *et seq.*), disability benefit acts, or other employee benefit acts, and serves as an express agreement to waive the protection of *Kotecki v. Cyclops Welding Corp.*, 146 Ill.2d 155, 585 N.E.2d 1023 (1991) in Illinois.

Further, Vendor agrees that it is solely responsible for compliance with all safety laws applicable to the work performed hereunder, including but not limited to the Occupational Safety and Health Act (29 USC Ch. 15 §651 *et seq.*) and the Contract Work Hours and Safety Standards Act (40 USC Ch. 37 §3701 *et seq.*) and all standards and regulations which have been or shall be promulgated by the agencies which administer the Acts.

Under no circumstances shall Vendor, its subcontractors, agents, and employees be required to indemnify the City for its own negligence.

30. Insurance Requirements. Upon execution of the contract, and prior to Vendor commencing any work or services with regard to the project, Vendor shall carry commercial general liability insurance, umbrella liability insurance, and automobile liability insurance on ISO form CG 00 01 10 01 (or a substitute form providing equivalent coverage) and Vendor shall provide the City with a Certificate of Insurance and Additional Insured Endorsement on ISO form CG 20 10 11 85 (or substitute form providing equivalent coverage) or on the combination of ISO forms CG 20 10 10 01 and CG 20 3 7 1001 (or substitute forms providing equivalent coverage) naming the City as Additional Insured thereunder. Additional insured coverage shall apply as primary insurance and be noncontributory with respect to any other insurance afforded to the City. All coverage shall be placed with an insurance company duly admitted in the State of Illinois and shall be reasonably

acceptable to the City. All awarded vendor insurance carriers must maintain an A.M. Best rating of "A-" or better. Coverage shall be afforded to the additional insured whether or not a claim is in litigation.

The insurance coverage required above shall be of sufficient type, scope and duration to ensure coverage for the City for liability related to any manifestation date within the applicable statutes of limitation and/or repose which pertain to any work performed by or on behalf of the City in relation to the contract. The following insurance requirement shall apply to the successful firm for the duration of the contract unless explicitly waived by the Central Services Manager:

- a) Commercial General Liability. The coverage available to the City, as Additional Insured, shall not be less than \$1 million each occurrence, \$2 million general aggregate (subject to a per project general aggregate provision applicable to the project), \$2 million products/completed operations aggregate and \$1 million personal and advertising injury limits. Such insurance shall cover liability arising from premises, operations, independent contractors, products-completed operations, personal and advertising injury, and liability assumed under an insured contract (including the tort liability of another assumed in a business contract).
- b) Umbrella Liability. The coverage available to the City, as Additional Insured, shall not be less than \$2 million each occurrence, \$2 million general aggregate. Such insurance shall cover liability arising from premises, operations, independent contractors, products-completed operations, personal and advertising injury, and liability assumed under an insured contract (including the tort liability of another assumed in a business contract).
- c) Automobile Coverage. The coverage available to the City, as Additional Insured, shall include comprehensive automobile bodily injury and property damage liability coverage for a minimum amount of \$1 million each occurrence, \$2 million general aggregate
- d) Workers Compensation. Vendor shall maintain during the life of this contract statutory workmen's compensation and employer's liability insurance for all his employees engaged in work on the job site.
- e) Insurance Certificates. Each Certificate of insurance shall provide that the insurer must give the City at least thirty (30) days' prior written notice of cancellation and termination of the City's coverage thereunder. Not less than two weeks prior to the expiration, cancellation or termination of any such policy, Vendor shall supply the City with a new and replacement Certificate of Insurance and Additional Insured endorsement as proof of renewal of said original policy. Said new and replacement endorsements shall be similarly endorsed in favor of the City as set forth above. All subcontractors to be utilized by Vendor shall provide Ownership with a Certificate of Insurance naming City of Rockford as additional insured prior to commencement of work by said subcontractor.

31. Conflict of Interest. Each proposer affirms, by submission of a response to this bid or request for proposals, it has no interest and will not acquire any interest in any enterprise, project, or contract that would conflict in any manner of degree with the performance of the work, services,

or goods to be provided hereunder. Proposer further affirms that no person having such an interest will be employed to perform any work or services under the contract, and that no employee of the City of Rockford is directly or indirectly interested in the bid or proposal for any reason of personal gain.

32. Non-Waiver. The failure by the City to require performance of any provision shall not affect the City's right to require performance at any time thereafter, nor shall a waiver of any breach or default of this contract constitute a waiver of any subsequent breach or default or a waiver of the provision itself.

33. Professional Services Selection Act. The City of Rockford intends to comply with 50 ILCS 510/0.01 *et seq.* governing the selection of professional services. Any reference in these terms and conditions to supplying pricing or price as a determining factor in selection do not apply for services covered by said act.

34. Compliance with Stormwater Management Ordinance and IEPA General Construction Permit. Vendor must comply with the City's Stormwater Management Ordinance and Illinois EPA's General Construction Permit. For work performed on the stormwater system, including projects only requiring erosion and sediment control measures, acknowledgement of receipt of the Stormwater Management Ordinance and IEPA's General Construction Permit is required. It is also required that Vendor retain all invoices, work orders and/or other records of work performed in drainage areas for three (3) years beyond the end of the consent decree, 12/31/2023. These records are subject to audit and are to be made available immediately upon request by the City or the Federal and State Environmental Protection Agency (EPA). Additionally, there may be other records provided that Vendor will be required to keep on file upon request of the City. Violation of this section and with the City's Stormwater Management Ordinance may result in a fine. Additional information can be found at: <https://rockfordil.gov/274/stormwater-environmental-team/>

35. Acceptance or Rejection of Bids and Proposals. The City of Rockford reserves the right to accept or reject any and all proposals and to waive technicalities in submitted bids or proposals.

36. Minority and Women Business Enterprise Policy. It is the policy of the City of Rockford to strongly encourage and promote the award of subcontracts to ready, willing, and able Minority and Women Business Enterprises (MWBEs) certified with the City. The City strongly encourages proposers, when preparing proposals, to contact certified MWBEs regarding potential subcontracting opportunities. The City requires information regarding Vendor's good faith efforts to identify MWBE subcontractors on the Subcontractor Utilization Form required to be completed and submitted with Vendor's proposal. An up-to-date list of the City's certified MWBEs can be found at <https://rockfordil.gov/279/purchasing/>.

37. Veterans Preference. Vendor shall comply with the Veterans Preference Act (330 ILCS 55/1 *et seq.*) in its employment to fill positions for the construction, addition to, or alteration of public works contracted for by the City. This Act requires that preference shall be given to veterans who possess the business capacity necessary for the proper discharge of the duties of employment. Vendor is not required to give preference to veterans who are not residents of the City of Rockford over City residents who are not veterans. A person who has been a member of the Illinois National Guard shall be given priority over a person who has been a member of the National Guard of any other state.

Veterans under the Act are defined as persons who have been members of the armed forces of the United States or who, while citizens of the United States, were members of the armed forces of allies of the United States in time of hostilities with a foreign country, and have served under one or more of the following conditions:

- a) The veteran served a total of at least six (6) months;
- b) The veteran served for the duration of hostilities regardless of the length of engagement;
- c) The veteran served in the theater of operations but was discharged on the basis of a hardship; or
- d) The veteran was released from active duty because of a service connected disability and was honorably discharged.

Vendor shall insure that the preceding provision is inserted in all subcontracts entered into to furnish labor for the construction, addition to, or alteration of public works in connection with this contract.

38. Non-barred Bidder. Vendors affirms, by submission of a response to this invitation to bid or request for proposals, that Vendor is not barred from bidding on this contract as a result of a conviction for violation of state law prohibiting bid rigging or rotating.

39. City Debarment. The City of Rockford reserves the right to bar Vendor from future bidding opportunities with the City if false information is submitted as part Vendor's bid response or proposal, Vendor has committed any violation of law, or Vendor fails to comply with the terms and conditions of this contract.

40. Non-Assignment. Neither this Contract nor any of the rights, interests or obligations under the Agreement shall be assigned, in whole or in part, by written agreement, merger, consolidation, operation of law, or otherwise by either party without the prior written consent of the other party.

41. Governing Law. This Contract shall be governed by and construed and enforced in accordance with the laws of the State of Illinois, excluding its choice of law rules and, to the extent applicable, the copyright laws of the United States of America. In the event of a dispute under this Contract, the parties agree to submit to the exclusive jurisdiction of the state courts of, and federal courts sitting in, the State of Illinois.

42. Severability. In the event that any clause, provision, or portion of these General Conditions or any part thereof shall be declared invalid, void, or unenforceable by any court having jurisdiction, such invalidity shall not affect the validity or enforceability of the remaining portions.

43. Local Business Adjustment to Bid Award. For Public Works or Construction contracts the use of local business adjustment (up to a maximum 5 percent of the contract price, but not more than \$20,000 whichever is less) may be authorized. To receive the local business adjustment the bidder must meet the qualifications of a local bidder (described below) and request the local business adjustment be implemented for that bid. The downward adjustment shall then be applied automatically to the local bidder's bid if doing so will cause the local bidder's bid to match the bid of a non-local bidder who would otherwise be the lowest qualified bidder. Any bidder requesting application of the local bidder adjustment shall acknowledge and agree to the potential of the reduction in their overall bid at the time of its bid submission. Should a bidder requesting the local business adjustment be declared the lowest bidder and thereafter decline to be awarded the project, that bidder shall be prohibited from requesting the application of a local business adjustment for a period of one year. In instances where more than one local bidder requests local business adjustment, the adjustment will be applied to the next lowest local bidder only, however, if the next lowest bidder did not request the adjustment, then the local bidder who did elect would get the adjustment and award.

A local bidder is an individual or entity that (1) has established a place of business within Winnebago, Boone, Ogle, or Stephenson County; (2) has paid a minimum of \$5,000 in sales tax in Winnebago County during the 12 months prior to bid submission; and (3) can demonstrate that at least 50% of its employees reside within Winnebago, Boone, Ogle, or Stephenson County.

A bidder that requests local business adjustment is certifying that they are in compliance with the above description. If the City determines the bidder is not in compliance the bidder may be barred from bidding for a period of up to three years.

44. Sexual Harassment Policy Requirement. Every party to a public contract and every eligible bidder shall have a written sexual harassment policy in accordance with the Equal Employment Opportunities; Affirmative Action (775 ILCS 5/2-105). The written policy must include, at a minimum, the following information: (i) the illegality of sexual harassment; (ii) the definition of sexual harassment under State law; (iii) a description of sexual harassment, utilizing examples; (iv) the vendor's internal complaint process including penalties; (v) the legal recourse, investigative, and complaint process available through the Department and the Commission; (vi) directions on how to contact the Department and Commission; and (vii) protection against retaliation as provided by Sections 6-101 and 6-101.5 of the Act.

Section 2

Required Forms

City of Rockford
EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

All bidders seeking to do business with the City of Rockford must complete this certification. **Failure to sign this Certification will result in disqualification of Vendor's bid or proposal.** Questions regarding EEOs should be addressed to City of Rockford Equal Opportunity Compliance (EOC) Officer, at (779) 348-7264.

1. **Compliance with EEO Law.** Vendor acknowledges and certifies that, if awarded a contract with the City of Rockford, it is subject to and will comply with all applicable equal employment opportunity statutes, regulations, and ordinances including but not limited to: the City's Equal Opportunity Employment (EOE) Ordinance (City of Rockford Code of Ordinances, Chapter 11, Article IV); the Illinois Human Rights Act (775 ILCS 5/101 *et seq.*), the Illinois Department of Human Rights Rules and Regulations for Government Contracts (44 Ill. Admin. Code, Chapter X, Section 750), and the Discrimination in Public Contracts Act (775 ILCS 10/0.01 *et seq.*), Title VII of the Civil Rights Act of 1964, as amended (§ 7, 42 U.S.C. § 2000e *et seq.*); the Age Discrimination in Employment Act of 1967, as amended (29 USC §.621 *et seq.*); Title I of the Americans with Disabilities Act of 1990, as amended (42 USC 12111-12117); the Equal Pay Act of 1963, as amended; the Uniformed Services Employment and Reemployment Rights Act of 1994, as amended (38 USC §§ 4301-4335); and, for federally-funded construction contracts (only), Executive Order 11246, as amended, and relevant U.S. Department of Labor regulations regarding equal employment opportunity for federally assisted construction contracts (see 41 CFR Part 60).
2. **Discrimination Prohibited.** Vendor certifies that it is its policy to provide equal employment opportunity and that it prohibits discrimination against any employee or applicant for employment due to race, color religion, sex, sexual orientation, gender identity, marital status, order of protection status, status as a survivor of domestic violence or human trafficking, national origin or ancestry, citizenship status, age, physical or mental disability unrelated to ability, military status, or unfavorable discharge from military service. Further, Vendor will examine all job classifications to determine if minority persons or women are underutilized and will take appropriate affirmative action to rectify any underutilization, as is required by the Illinois Department of Human Rights Rules and Regulations for Government Contracts.
3. **Non-Segregated Facilities.** Vendor certifies that it provides facilities at its place of business without segregation except where separate facilities for a person of the opposite sex are required. Vendor also certifies that it will, to the greatest extent possible, not assign employees to work at any location where facilities are so segregated and that it will insert into its subcontracts the provisions of this paragraph for work performed under this contract and obtain the same certification from subcontractors.
4. **Government Exclusion, Debarment, or Suspension.** Vendor certifies that it is not subject to any exclusion, debarment, suspension, or other disciplinary action by any government agency including but not limited to the U.S. Government, State of Illinois, Illinois Human Rights Commission, Illinois Department of Labor, or any other federal or state agency or political subdivision. Additionally, if at any time Vendor is subject to such exclusion, suspension, or debarment during the contract period, Vendor certifies that it will immediately disclose this information to the City's EOC Officer.

City of Rockford
EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

5. **Subcontracting.** Vendor certifies that, if awarded a public contract with the City of Rockford, it will include verbatim or by reference the provisions of the City's General Conditions *Equal Employment Opportunity* paragraph 19 in every subcontract awarded under which any portion of the contract obligations are undertaken or assumed. For federally funded construction contracts, the conditions described in paragraph (8) of the "Equal Opportunity Clause for Federally Assisted Construction Contracts" and paragraph (2) of the "Standard Federal Equal Employment Opportunity Construction Contract Specifications" must also be included in every subcontract. Vendor acknowledges that it is responsible for the compliance of all of its subcontractors with this provision. Vendor also certifies it will not utilize any subcontractor excluded, debarred, suspended, or otherwise disciplined by any government agency including but not limited to the U.S. Government, State of Illinois, Illinois Human Rights Commission, Illinois Department of Labor, or any other federal or state agency or political subdivision, and that it will notify the City's EOC Officer if any subcontractor fails to comply with such provision.
6. **MWBE Procurement Policy.** Vendor understands that it is the policy of the City of Rockford to encourage and promote the award of subcontracts to ready, willing, and able Minority and Women Business Enterprises (MWBEs) certified with the City. The City strongly encourages bidders, when preparing bids or proposals, to contact certified MWBEs regarding potential subcontracting opportunities. Vendor certifies that it has worked in good faith to comply with this policy by contacting MWBE businesses for subcontracting opportunities when possible (list can be found at <https://rockfordil.gov/279/purchasing/>). For federally funded construction projects (only), Vendor further certifies it has demonstrated good faith efforts to meet the women and minority subcontracting goals set forth in the "Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity."

Signature of Vendor

Date

City of Rockford
SUBCONTRACTOR UTILIZATION FORM

**THIS FORM MUST BE COMPLETED EVEN IF YOU DO NOT PLAN TO USE
SUBCONTRACTORS**
(COMPLETE SECTIONS I, II, AND V IF YOU DO NOT PLAN TO USE SUBCONTRACTORS).

All Vendors seeking to do business with the City of Rockford must provide information about all subcontractors that will be used. **A Subcontractor is any person or business that supplies any of the work, transportation or labor services, supplies, equipment, or materials under a contract with Vendor.** Failure to complete this form will result in disqualification of Vendor's bid or proposal. Questions regarding EEOs should be addressed to City of Rockford Equal Opportunity Compliance (EOC) Officer, at (779) 348-7264.

Section I—Vendor/Prime Contractor Information

Is this an update to a previously submitted Subcontractor Utilization Form? Yes No

Vendor Name:			
Project Name:		Bid or RFP Number:	
Total Proposal/Bid Amount (over the full term of the contract):			
Vendor Contact Name:		Contact Phone: Contact Email:	
Vendor Certification Status: Minority Business Enterprise Women Business Enterprise None			

Section II--Subcontractor Utilization

Will subcontractors be used? Yes (complete rest of form) No (proceed to Section V)

Section III—Subcontractor Selection

Please list information for ALL subcontractors Vendor *believes it will* use. Vendor may make changes or additions to its list of subcontractors by submitting an updated form to the City's EOC Officer after award, if needed.

Subcontractor Name	MBE or WBE? (Y/N)	Amount	% of Total Proposal/Bid	Scope of Work

If more than six subcontractors will be used, please complete the [Subcontractor Utilization Form--Supplement](#).

City of Rockford
SUBCONTRACTOR UTILIZATION FORM

If Vendor plans to use subcontractors, but has not yet identified some or all of the subcontractors to be used, please explain why:

--

Section IV—MWBE Subcontractors Contacted

It is the policy of the City of Rockford to encourage and promote the award of subcontracts to qualified and available Minority and Women Business Enterprises (MWBEs) certified with the City. The City strongly encourages bidders, when preparing bids or proposals, to contact certified MWBEs regarding potential subcontracting opportunities (a list of MWBEs can be found at <https://rockfordil.gov/279/purchasing/>). Please list the MWBEs Vendor has contacted regarding subcontractor opportunities for this proposal/bid (MWBE subcontractors selected and listed in Section III do not need to be listed again here):

MWBE Business Name	Method of Contact (e.g. phone, email)	Why not used?

Section V—Signature

The undersigned certifies that the information provided herein is truthful, accurate, and complete. Further, Vendor acknowledges that if it is awarded the contract, this information must be kept up to date by Vendor. According to the City's General Conditions Paragraph 16, **any changes in subcontractor utilization must be immediately made in writing** by submitting a new form to the City's Equal Opportunity Compliance Officer (contact information provided at the top of this form). A complete and accurate list of subcontractors will be required prior to beginning work on the project, if awarded.

Signature

Date

Name

Title

City of Rockford
VENDOR WORKFORCE DATA FORM

The City must collect information in an effort to monitor Vendor's compliance with the Illinois Human Rights Act, Illinois Department of Human Rights Rules and Regulations, and City of Rockford Equal Employment Opportunity Ordinance. **Failure to complete this form will result in disqualification of Vendor's bid or proposal.** Questions regarding EEOs should be addressed to: City of Rockford Equal Opportunity Compliance (EOC) Officer, at (779) 348-7264.

Part I: Vendor Information

Vendor Name:	Bid or RFP Number:
Project Name:	IDHR Number ¹ :
	Expiration:
Date:	Estimated Duration of Work:
Vendor's EEO Contact Name:	Contact Email:
Title:	Contact Phone:

Part II: Vendor Workforce Data

Please provide the *number* of individuals employed by Vendor in each category below (report all employees, not just those who will work under the contract). Definitions of the EEO Job Categories are included with this form.

W - White B - Black H – Hispanic/Latino A - Asian AI - American Indian, Alaskan or Hawaiian Native
Tw—Two or more race/ethnicity T – Total

JOB CATEGORY	MALE							FEMALE							TOTAL
	W	B	H	A	AI	Tw	T	W	B	H	A	AI	Tw	T	
Officials and Managers															
Professional Workers															
Technicians															
Sales Workers															
Administrative Support Workers															
Craft Workers															
Operatives															
Laborers and Helpers															
Service Workers															
TOTAL															

¹ Bidders must have an Illinois Department of Human Rights Eligibility Number if 1) bidder employs 15 or more persons, AND 2) if the bid or proposal will total more than \$100,000.

City of Rockford
SUBCONTRACTOR WORKFORCE DATA FORM

This form is **required** if Vendor will be using one or more subcontractors to complete work or perform services for the City. A Workforce Data Form must be completed for **each** subcontractor. Questions regarding EEOs should be addressed to: City of Rockford Equal Opportunity Compliance (EOC) Officer, at (779) 348-7264.

Part I: Identification

Subcontractor Name:	Bid Number:
Project Name:	IDHR Number: Expiration:
Date:	Estimated Duration of Work:
Subcontractor's EEO Contact Name:	Contact Email: Contact Phone:

Part II: Subcontractor Workforce Data

Please provide the *number* of individuals employed by subcontractor in each category below (report all employees, not just those who will work under the contract). Definitions of the EEO Job Categories are included on the next page of this form.

W - White B - Black H – Hispanic/Latino A - Asian AI - American Indian, Alaskan or Hawaiian Native
Tw—Two or more race/ethnicity T – Total

JOB CATEGORY	MALE							FEMALE							TOTAL
	W	B	H	A	AI	Tw	T	W	B	H	A	AI	Tw	T	
Officials and Managers															
Professional Workers															
Technicians															
Sales Workers															
Administrative Support Workers															
Craft Workers															
Operatives															
Laborers and Helpers															
Service Workers															
TOTAL															

Job Category Descriptions

Officials and Managers: Jobs occupied by administrative and managerial personnel who set broad policies, exercise overall responsibility for execution of these policies, and direct individual departments or special phases of a firm's operations. Includes: officials, executives, middle management, plant managers, department managers, superintendents, salaried supervisors who are members of management, and purchasing agents and buyers.

Professionals: Jobs requiring bachelor or graduate degree and/or professional certification or comparable experience. Includes: accountants and auditors, architects, chemists, computer programmers, designers, editors, engineers, lawyers, scientists, registered professional nurses, personnel and labor relations specialists, physicians, and surveyors.

Technicians: Jobs requiring a combination of basic scientific knowledge and manual skill which is often obtained through 2 years of post-high school education or through equivalent on-the-job training. Includes: drafters, surveying and mapping technicians, engineering aides, junior engineers, mathematical aides, emergency medical technicians, and licensed practical nurses.

Sales Workers: Jobs engaging wholly or primarily in direct selling. Includes: advertising agents and sales workers, insurance agents and brokers, real estate agents and brokers, stock and bond sales workers, securities, commodities, and financial services sales agents, demonstrators, sales workers and sales clerks, grocery clerks, and cashiers/checkers.

Administrative Support Workers: Jobs involving non-managerial tasks providing administrative and support assistance, primarily in office settings. Includes: office support, bookkeepers, accounting and auditing clerks, dispatchers, data entry workers, collectors (bills and accounts), messengers and office helpers, shipping and receiving clerks, typists and secretaries, telephone operators, and legal assistants.

Craft Workers: Jobs requiring higher skill in areas including: construction (building trades craft workers and their formal apprentices); natural resource extraction workers; installation, maintenance and part replacement of equipment, machines and tools; and some production occupations that are distinguished by the high degree of skill and precision. Includes: boilermakers; brick & stone masons; carpenters; electricians; painters; glaziers; plumbers, pipefitters & steam fitters; roofers; elevator installers; earth drillers; oil & gas rotary drill operators; blasters & explosive workers; mechanics; electric & electronic equipment repairers; millwrights; and tool & die makers.

Operatives: Jobs involving operation of machines, factory-related processing equipment, or equipment to facilitate the movement of people or materials. These occupations require intermediate skill level and usually do not require more than several months of training. Includes: machine operators; electrical & electronic equipment assemblers; semiconductor processors; testers; graders & sorters; bridge & lock tenders; truck, bus or taxi drivers; industrial truck & tractor (forklift) operators; conveyor operations; and hand packers & packagers.

Laborers and Helpers: Jobs requiring limited skills and brief training to perform tasks that require little or no independent judgment. Includes: production & construction worker helpers; construction laborers; refuse & recyclable materials collectors; landscapers, grounds maintenance workers, and laborers performing lifting, digging, mixing, loading and pulling operations.

Service Workers: Jobs in food service, personal service, cleaning service, and protective service occupations. Skill may be acquired through formal training, job-related training or direct experience. Includes: food service workers; medical assistants and other healthcare support occupations; transportation attendants; cleaners; janitors; porters; transit and railroad; police and fire fighters; guards; private detectives and investigators.

City of Rockford
ILLINOIS PREVAILING WAGE ACT NOTICE AND ACKNOWLEDGEMENT

Failure to sign this acknowledgement will result in disqualification of Vendor's bid or proposal.

Prevailing Wage. The work included in this bid/request for proposal calls for the construction of a "public work," within the meaning of the Illinois Prevailing Wage Act, 820 ILCS 130/.01 *et seq.* ("the Act"). The Act requires contractors and subcontractors to pay laborers, workers, and mechanics performing services on public works projects no less than the "prevailing rate of wages" (hourly cash wages plus fringe benefits) in the county where the work is performed. Prevailing wage rates are determined by the Illinois Department of Labor and up-to-date rates are posted on the Department's website at <https://www2.illinois.gov/idol/Laws-Rules/CONMED/Pages/Rates.aspx>. This Act does apply to owner/operators (e.g. a business where the owner is an employee doing work on the job). If awarded this contract, Vendor must comply with all requirements of the Act, including but not limited to all wage, notice, recordkeeping, and filing of certified payroll requirements. *It is your responsibility, as a bidder, to understand the amount this law requires you to pay workers (including yourself as an owner, if applicable) while working on this City of Rockford project— and to bid accordingly.*

Certified Payroll. The Illinois Prevailing Wage Act requires any contractor and each subcontractor who participates in public works to file with the Illinois Department of Labor (IDOL) certified payroll for those calendar months during which work on a public works project has occurred. The Act requires certified payroll to be filed with IDOL no later than the 15th day of each calendar month for the immediately preceding month through the Illinois Prevailing Wage Portal—an electronic database IDOL has established for collecting and retaining certified payroll. The Portal may be accessed using this link: <https://www2.illinois.gov/idol/Laws-Rules/CONMED/Pages/Prevailing-Wage-Portal.aspx>. *The City reserves the right to withhold payment to Vendor until Vendor displays compliance with this provision of the Act.*

By signing below, Vendor acknowledges the applicability of the Prevailing Wage Act to the work that will be performed for the City of Rockford and, if the contract is awarded to Vendor, agrees to comply with the Act.

Vendor Name: _____

Bid/RFP Number: _____

Bid/RFP Title: _____

Name of Authorized Representative: _____

Title of Authorized Representative: _____

Signature of Authorized Representative

Date

City of Rockford
LCPTRACKER VENDOR INFORMATION FORM

The City uses an online system called LCPtracker to collect the certified payrolls Vendor must file with the City in compliance with the Prevailing Wage Act (820 ILCS 130/5 (a)(2)). The City will use the information provided in this form to set up a project in the LCPtracker system, where Vendor will be required to file certified payroll (due the 15th of the month for the preceding month).

- 1. City's Bid Number or PO Number:**
- 2. City's Project Name:** _____
- 3. Company Name (Vendor):**
- 4. Vendor's Address:** _____
- 5. Vendor's City and State:** _____
- 6. Vendor's Zip Code:**
- 7. Vendor's 10 – Digit Phone Number:** _____
- 8. Federal Tax ID Number:**
- 9. Ethnicity of Vendor:** _____
- 10. Principal's Name:**
- 11. Principal's Title:**
- 12. Contact's Nameⁱ:**
- 13. Contact's Email Address:**
- 14. Prime Approver's Nameⁱⁱ:**
- 15. Prime Approver's Email Address:**
- 16. Union Status:** ____ Union ____ Non-Union
- 17. Owner Operator?** ____ Yes ____ No
- 18. City-Certified MBE or WBE?** Yes No
- 19. Start Date of Project:** _____
- 20. Bid or PO Amount:** _____
- 21. If you will employ apprentices for City work, please attach pay scale for them.**

For questions about EEOs, contact Contract and Grant Compliance Officer, by email at (779) 348-7264.

ⁱ The Contact is the person who will manage Vendor's LCPtracker online account and who will use that account to *enter and certify payroll* information in the online system.

ⁱⁱ The Prime Approver is the person who will be responsible for *approving payroll* entered by Vendor and all subcontractors utilizing his or her LCPtracker prime approver online account. The Contact and Prime Approver may be the same person (who will utilize two different accounts to perform each function).

**Acknowledgement of Stormwater Management Ordinance and IEPA General Construction Permit
(ILR10) Requirements**

By indicating below, we acknowledge receipt of the Stormwater Management Ordinance and IEPA's General Construction Permit, if applicable. Both documents can be found on the City of Rockford website at:

<https://rockfordil.gov/274/stormwater-environmental-team/>

The IEPA General Construction permit can also be located at:

<https://www2.illinois.gov/epa/topics/forms/water-permits/storm-water/Pages/general-permits.aspx>

I have been provided access to the City of Rockford Stormwater Management Ordinance and the Illinois EPAs General Construction Permit and agree to comply with the terms outlined therein.

Person, Firm or Corporation

Authorized Signature

Acknowledgement of Addenda

By indicating below, we acknowledge receipt of the addenda listed.

Addendum	_____	Date	_____
Addendum	_____	Date	_____
Addendum	_____	Date	_____
Addendum	_____	Date	_____
Addendum	_____	Date	_____

Person, Firm or Corporation

Authorized Signature

The City of Rockford may respond to requests for information or pro-actively provide more information by posting addenda to bid packages on the City website. The City and its personnel are not responsible for notifying potential vendors of any addenda to bid packages posted to the [City's website](#). The City may, but is not required to, provide notification of new addenda via one or more of the same methods by which the original bid request was posted. Vendors who fail to account for information or requests included in these addenda may have their bids disqualified. THEREFORE, IT IS EXTREMELY IMPORTANT THAT POTENTIAL VENDORS MONITOR THE [CITY WEBSITE](#) FOR ANY ADDENDA TO THE ORIGINAL BID PACKAGES.

Request for Taxpayer Identification Number and Certification

Go to www.irs.gov/FormW9 for instructions and the latest information.

Give form to the
requester. Do not
send to the IRS.

Before you begin. For guidance related to the purpose of Form W-9, see *Purpose of Form*, below.

Print or type. See Specific Instructions on page 3.	1 Name of entity/individual. An entry is required. (For a sole proprietor or disregarded entity, enter the owner's name on line 1, and enter the business/disregarded entity's name on line 2.)	
	2 Business name/disregarded entity name, if different from above.	
	3a Check the appropriate box for federal tax classification of the entity/individual whose name is entered on line 1. Check only one of the following seven boxes. <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C corporation <input type="checkbox"/> S corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> LLC. Enter the tax classification (C = C corporation, S = S corporation, P = Partnership) _____ Note: Check the "LLC" box above and, in the entry space, enter the appropriate code (C, S, or P) for the tax classification of the LLC, unless it is a disregarded entity. A disregarded entity should instead check the appropriate box for the tax classification of its owner. <input type="checkbox"/> Other (see instructions) _____	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from Foreign Account Tax Compliance Act (FATCA) reporting code (if any) _____ (Applies to accounts maintained outside the United States.)
	3b If on line 3a you checked "Partnership" or "Trust/estate," or checked "LLC" and entered "P" as its tax classification, and you are providing this form to a partnership, trust, or estate in which you have an ownership interest, check this box if you have any foreign partners, owners, or beneficiaries. See instructions _____ <input type="checkbox"/>	
	5 Address (number, street, and apt. or suite no.). See instructions.	Requester's name and address (optional)
6 City, state, and ZIP code		
7 List account number(s) here (optional)		

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. See also *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number	
<input type="text"/>	<input type="text"/> - <input type="text"/> - <input type="text"/>
or	
Employer identification number	
<input type="text"/>	<input type="text"/> - <input type="text"/>

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and, generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here	Signature of U.S. person	Date
------------------	--------------------------	------

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

What's New

Line 3a has been modified to clarify how a disregarded entity completes this line. An LLC that is a disregarded entity should check the appropriate box for the tax classification of its owner. Otherwise, it should check the "LLC" box and enter its appropriate tax classification.

New line 3b has been added to this form. A flow-through entity is required to complete this line to indicate that it has direct or indirect foreign partners, owners, or beneficiaries when it provides the Form W-9 to another flow-through entity in which it has an ownership interest. This change is intended to provide a flow-through entity with information regarding the status of its indirect foreign partners, owners, or beneficiaries, so that it can satisfy any applicable reporting requirements. For example, a partnership that has any indirect foreign partners may be required to complete Schedules K-2 and K-3. See the Partnership Instructions for Schedules K-2 and K-3 (Form 1065).

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS is giving you this form because they

must obtain your correct taxpayer identification number (TIN), which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid).
- Form 1099-DIV (dividends, including those from stocks or mutual funds).
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds).
- Form 1099-NEC (nonemployee compensation).
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers).
- Form 1099-S (proceeds from real estate transactions).
- Form 1099-K (merchant card and third-party network transactions).
- Form 1098 (home mortgage interest), 1098-E (student loan interest), and 1098-T (tuition).
- Form 1099-C (canceled debt).
- Form 1099-A (acquisition or abandonment of secured property).

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

Caution: If you don't return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See *What is backup withholding*, later.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued);
2. Certify that you are not subject to backup withholding; or
3. Claim exemption from backup withholding if you are a U.S. exempt payee; and
4. Certify to your non-foreign status for purposes of withholding under chapter 3 or 4 of the Code (if applicable); and
5. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting is correct. See *What Is FATCA Reporting*, later, for further information.

Note: If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding. Payments made to foreign persons, including certain distributions, allocations of income, or transfers of sales proceeds, may be subject to withholding under chapter 3 or chapter 4 of the Code (sections 1441–1474). Under those rules, if a Form W-9 or other certification of non-foreign status has not been received, a withholding agent, transferee, or partnership (payor) generally applies presumption rules that may require the payor to withhold applicable tax from the recipient, owner, transferor, or partner (payee). See Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*.

The following persons must provide Form W-9 to the payor for purposes of establishing its non-foreign status.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the disregarded entity.
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the grantor trust.
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust and not the beneficiaries of the trust.

See Pub. 515 for more information on providing a Form W-9 or a certification of non-foreign status to avoid withholding.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person (under Regulations section 1.1441-1(b)(2)(iv) or other applicable section for chapter 3 or 4 purposes), do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515). If you are a qualified foreign pension fund under Regulations section 1.897(l)-1(d), or a partnership that is wholly owned by qualified foreign pension funds, that is treated as a non-foreign person for purposes of section 1445 withholding, do not use Form W-9. Instead, use Form W-8EXP (or other certification of non-foreign status).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a saving clause. Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if their stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first Protocol) and is relying on this exception to claim an exemption from tax on their scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 24% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include, but are not limited to, interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third-party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester;
2. You do not certify your TIN when required (see the instructions for Part II for details);
3. The IRS tells the requester that you furnished an incorrect TIN;
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only); or
5. You do not certify to the requester that you are not subject to backup withholding, as described in item 4 under "*By signing the filled-out form*" above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

See also *Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding*, earlier.

What Is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all U.S. account holders that are specified U.S. persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you are no longer tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

• **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note for ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040 you filed with your application.

• **Sole proprietor.** Enter your individual name as shown on your Form 1040 on line 1. Enter your business, trade, or "doing business as" (DBA) name on line 2.

• **Partnership, C corporation, S corporation, or LLC, other than a disregarded entity.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

• **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. Enter any business, trade, or DBA name on line 2.

• **Disregarded entity.** In general, a business entity that has a single owner, including an LLC, and is not a corporation, is disregarded as an entity separate from its owner (a disregarded entity). See Regulations section 301.7701-2(c)(2). A disregarded entity should check the appropriate box for the tax classification of its owner. Enter the owner's name on line 1. The name of the owner entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For

example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2. If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, enter it on line 2.

Line 3a

Check the appropriate box on line 3a for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3a.

IF the entity/individual on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation.
• Individual or	Individual/sole proprietor.
• Sole proprietorship	
• LLC classified as a partnership for U.S. federal tax purposes or	Limited liability company and enter the appropriate tax classification:
• LLC that has filed Form 8832 or 2553 electing to be taxed as a corporation	P = Partnership, C = C corporation, or S = S corporation.
• Partnership	Partnership.
• Trust/estate	Trust/estate.

Line 3b

Check this box if you are a partnership (including an LLC classified as a partnership for U.S. federal tax purposes), trust, or estate that has any foreign partners, owners, or beneficiaries, and you are providing this form to a partnership, trust, or estate, in which you have an ownership interest. You must check the box on line 3b if you receive a Form W-8 (or documentary evidence) from any partner, owner, or beneficiary establishing foreign status or if you receive a Form W-9 from any partner, owner, or beneficiary that has checked the box on line 3b.

Note: A partnership that provides a Form W-9 and checks box 3b may be required to complete Schedules K-2 and K-3 (Form 1065). For more information, see the Partnership Instructions for Schedules K-2 and K-3 (Form 1065).

If you are required to complete line 3b but fail to do so, you may not receive the information necessary to file a correct information return with the IRS or furnish a correct payee statement to your partners or beneficiaries. See, for example, sections 6698, 6722, and 6724 for penalties that may apply.

Line 4 Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third-party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space on line 4.

1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2).

- 2—The United States or any of its agencies or instrumentalities.
- 3—A state, the District of Columbia, a U.S. commonwealth or territory, or any of their political subdivisions or instrumentalities.
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities.
- 5—A corporation.
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or territory.
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission.
- 8—A real estate investment trust.
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940.
- 10—A common trust fund operated by a bank under section 584(a).
- 11—A financial institution as defined under section 581.
- 12—A middleman known in the investment community as a nominee or custodian.
- 13—A trust exempt from tax under section 664 or described in section 4947.

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
• Interest and dividend payments	All exempt payees except for 7.
• Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
• Barter exchange transactions and patronage dividends	Exempt payees 1 through 4.
• Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5. ²
• Payments made in settlement of payment card or third-party network transactions	Exempt payees 1 through 4.

¹ See Form 1099-MISC, Miscellaneous Information, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) entered on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37).

B—The United States or any of its agencies or instrumentalities.

C—A state, the District of Columbia, a U.S. commonwealth or territory, or any of their political subdivisions or instrumentalities.

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i).

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i).

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state.

G—A real estate investment trust.

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940.

I—A common trust fund as defined in section 584(a).

J—A bank as defined in section 581.

K—A broker.

L—A trust exempt from tax under section 664 or described in section 4947(a)(1).

M—A tax-exempt trust under a section 403(b) plan or section 457(g) plan.

Note: You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, enter "NEW" at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have, and are not eligible to get, an SSN, your TIN is your IRS ITIN. Enter it in the entry space for the Social security number. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note: See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.SSA.gov. You may also get this form by calling 800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/EIN. Go to www.irs.gov/Forms to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to www.irs.gov/OrderForms to place an order and have Form W-7 and/or Form SS-4 mailed to you within 15 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and enter "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, you will generally have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note: Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon. See also *Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding*, earlier, for when you may instead be subject to withholding under chapter 3 or 4 of the Code.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code*, earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.

You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.

You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third-party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor ²
5. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee ¹
b. So-called trust account that is not a legal or valid trust under state law	The actual owner ¹
6. Sole proprietorship or disregarded entity owned by an individual	The owner ³
7. Grantor trust filing under Optional Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))**	The grantor*

For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity ⁴
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing Form 1041 or under the Optional Filing Method 2, requiring Form 1099 (see Regulations section 1.671-4(b)(2)(i)(B))**	The trust

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name on line 1, and enter your business or DBA name, if any, on line 2. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.)

* **Note:** The grantor must also provide a Form W-9 to the trustee of the trust.

** For more information on optional filing methods for grantor trusts, see the Instructions for Form 1041.

Note: If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records From Identity Theft

Identity theft occurs when someone uses your personal information, such as your name, SSN, or other identifying information, without your permission to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax return preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity, or a questionable credit report, contact the IRS Identity Theft Hotline at 800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 877-777-4778 or TTY/TDD 800-829-4059.

Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 800-366-4484. You can forward suspicious emails to the Federal Trade Commission at spam@uce.gov or report them at www.ftc.gov/complaint. You can contact the FTC at www.ftc.gov/idtheft or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see www.IdentityTheft.gov and Pub. 5027.

Go to www.irs.gov/IdentityTheft to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and territories for use in administering their laws. The information may also be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payors must generally withhold a percentage of taxable interest, dividends, and certain other payments to a payee who does not give a TIN to the payor. Certain penalties may also apply for providing false or fraudulent information.

Section 3

RFQ

Specifications



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ARCHITECTURAL - RFQ PACKAGE ORDER

INFORMATIONAL (keep for your records)

1. Weatherization General Terms and Conditions
2. Architectural Scope of Work
3. Architectural Market Analysis (Excel File)
4. IHWAP Field Standards Manual (Fridge/Freezer/Oven Sections Only)
5. Vendor Requirements
6. Appeal Process Document
7. Appendix A
8. Architectural Product/Spec Sheets
9. Confined Spaces Policy

DOCUMENTS TO BE SIGNED & TURNED BACK IN

- | | |
|--|--|
| <input type="checkbox"/> Notification of Interest | <input type="checkbox"/> Procurement Appeals |
| <input type="checkbox"/> Pricing Agreement | <input type="checkbox"/> Waiver of Lien |
| <input type="checkbox"/> Release of Information | <input type="checkbox"/> Ethics Statement |
| <input type="checkbox"/> Statement of Vendors Qualifications | <input type="checkbox"/> Debarment Statement |
| <input type="checkbox"/> State Weatherization Training | <input type="checkbox"/> Certification Regarding Weatherization Material |
| <input type="checkbox"/> Bonding Certificates | <input type="checkbox"/> Confined Spaces |
| <input type="checkbox"/> Proposed Sub-contractors | <input type="checkbox"/> Lead Safe Work Practices |
| <input type="checkbox"/> Small businesses (minority) | <input type="checkbox"/> ASHRAE 62.2 Standard |
| <input type="checkbox"/> Completion of Schedule Warranty | <input type="checkbox"/> OSHA Equipment Checklist |
| <input type="checkbox"/> Change Order Process | <input type="checkbox"/> Combustion Safety Testing |
| <input type="checkbox"/> Assurance & Guarantee | <input type="checkbox"/> NFRC Certification of Windows |
| <input type="checkbox"/> Invoicing Requirement & Procedure | <input type="checkbox"/> Blower Door Requirements |
| <input type="checkbox"/> Payment Process | |

DOCUMENTS TO BE TURNED IN

- ☐ Certificate of Insurance
- ☐ Safety Data Sheets (SDS)
- ☐ Product Specification Sheets



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

MECHANICAL/ARCHITECTURAL Part A: General Terms & Conditions Weatherization Equipment/Material and Labor

I. GENERAL INFORMATION

The City of Rockford is requesting responses from qualified vendors to provide materials and labor for the weatherization of approximately **80** homes. The materials must meet the standards for Weatherization materials as set forth in Title 16, Code of Federal Regulations, and other standards as may be described herein.

There is no expressed or implied obligation for the City of Rockford to reimburse responding vendors for any expenses incurred in preparing responses to this request.

During the evaluation process, the City of Rockford reserves the right, where it may serve the City's best interest, to request additional information or clarification from vendors, or to allow corrections of errors or omissions.

Following the selection of the successful vendor(s), letters will be sent to all vendors notifying them of the selection.

II. TERM OF CONTRACT

The term of the contract between the City of Rockford and the successful vendor(s) will be from contract signing to September 30, 2026.

III. DESCRIPTION OF THE PROGRAM

- A. Program Sponsors. Funds for the Illinois Home Weatherization Assistance Program (IHWAP) are allocated to the state by two federal agencies, the U.S. Department of Energy and the U.S. Department of Health and Human Services. The Department of Commerce and Economic Opportunity has the responsibility to administer the Weatherization program in the state. These Weatherization funds are distributed to local administering agencies to Weatherize low-income persons' dwelling units.
- B. Program Objectives. The purpose of the Weatherization program is to assist low-income persons, especially the elderly and persons with disabilities, by Weatherizing their homes, thereby reducing fuel costs for low-income families, and reducing energy consumption nationwide.
- C. Labor Standards and Inspection. All work performed by contractor(s) must conform to the standards set forth in the (IHWAP) Field Standards Manual. The City of Rockford will inspect all work to determine conformity with these specifications. The contractor at no additional cost to the City of Rockford must correct any deficiencies in workmanship.

Materials purchased can be inspected by the City of Rockford to determine conformity with the quality requirements of the Request for Qualifications. When deemed necessary the City of Rockford may require documentation (i.e., product literature prepared by the manufacturer) detailing the product specifications for purposes of determining whether the material conforms, in all aspects, to the required specifications as set forth

herein. In cases where the documentation indicates the material does not meet the specifications, the successful vendor must remedy the deficiency, or the balance of order thereof may be canceled by the City of Rockford.

- D. Estimated Quantities and Production. The number of dwellings to be weatherized during Illinois Home Weatherization Assistance Program – Program Year 2026 is an estimate based on prior years' production and anticipated quotas set forth by DCEO – OCA, taking into consideration program funding limitations. This estimate of production should not be construed as actual number of dwellings to be weatherized during the program year. The quantities of materials to be procured under this request are estimates and are given for comparison purposes only. These estimated quantities should not be construed as actual quantities to be purchased during the 2026 program year.

IV. SPECIAL PROVISIONS

A. Warranty.

1. Unless otherwise specifically stated by the City of Rockford, the following warranty applies;
 - a. Equipment – purchased as a result of this request shall be warranted against defects by the vendor for a minimum of one year from the date of receipt. The minimum warranty allowable shall be the equipment manufacturer's standard warranty and must be honored by the contractor.
 - b. Product – requires a warranty of at least one year starting on the approved final inspection date.
2. Unless otherwise specifically stated by the City of Rockford, all labor will require a one-year warranty. Contractor(s) will be required to fill out an "Assurance and Guarantee of Work" form for each dwelling.

B. Waiver of Lien. By agreeing to perform weatherization work, the vendor agrees to the following terms.

1. The vendor agrees that they will not seek payment, under any circumstances, from the owner or occupant of the premises improved.
2. The vendor shall not file, suffer, or permit any lien or other encumbrance of record as a claim against any site of a weatherization project in recognition that the only recourse for payment is from the City of Rockford.

C. Public Records Access. Due to the use of State and Federal Grant Funds, it is the intention of the City of Rockford to maintain an open and public process in the solicitation, submission, review, and approval of procurement activities. Request for Qualifications openings are public unless otherwise specified. Records may not be available for public inspection prior to the issuance of the notice of intent to award or the award of the contract.

D. Egregious Disregard. DCEO reserves the right to prohibit Weatherization Contractors who display egregious disregard for program policy or client health and safety from participating in the IHWAP or other OCA programs.

E. Payment Terms and Invoicing.

1. The City of Rockford follows the Illinois Prompt Payment Act and will pay for properly completed and submitted vendor invoices within 60 days of receipt, providing goods and/or services have been delivered, installed (if required), accepted, and pass final inspection.
2. Invoices presented for payment must be submitted in accordance with the instructions contained in the executed contract including reference to the purchase order number and submittal to the correct address for processing.
3. A good faith dispute creates an exception to prompt payment.

V. SPECIFICATIONS OF MATERIALS REQUIRED

- A. Specifications. The specifications in this request are of minimum acceptable. When specific manufacturer and model numbers are used, they are to establish a design, type of construction, quality, functional capability, and/or performance level desired. When alternates are proposed, manufacturer, stock number, and such other information necessary to establish equivalency must be identified. Vendors are cautioned to avoid alternates to the specifications that may result in rejection of their response.
- B. Product Standards. The materials for which responses are being solicited must meet or exceed whichever standards are most stringent as established by the federal government, the Illinois Home Weatherization Assistance Program, the local municipality or the City of Rockford. The minimum standards established by the federal government are presented in Appendix A - Standards for Weatherization Materials (included in this Request for Qualifications packet). Specific standards as established by the City of Rockford may be incorporated in the list of materials to be procured (included in this specification).
- C. Buy American. The Buy American requirements only apply to weatherization projects on public housing, or privately-owned building that serve a public function. All iron and steel in the project are to be produced in the U.S. All manufactured products used in the project are manufactured in the U.S. and all construction material (lumber, drywall, glass, non-ferrous metals, and plastic and polymer-based products) are manufactured in the U.S. Contractors need to be able to provide documentation showing they meet the Buy American requirements upon request.
- D. Use of Name Brand. A brand name that may be mentioned in specifications does not indicate a preference and is used only as a reference to the type of materials desired. If such references are made, the specific features of the named brand, which must be met, will also be stated. The City of Rockford reserves the right to determine whether brands other than the named brands are within the intent of the specifications and will reasonably meet service requirements. If necessary, the vendor may be required to submit technical data to determine conformance with the specific features that must be met.
- E. Quality. Unless otherwise indicated in the request, all material shall be of first quality. Items that are used, demonstrators, obsolete, seconds, or which have been discontinued are unacceptable without prior written approval from the City of Rockford.
- F. Recycled Materials. The City of Rockford is required to purchase products incorporating recycled materials whenever technically and economically feasible. Vendors are encouraged to propose products with recycled content that meet specifications.
- G. Safety Data Sheets. If any item(s) on an order(s) resulting from this award is a hazardous chemical, as defined under 29CFR 1910.1200, provide one copy of a Safety Data Sheet for each item with the shipped container(s) and one copy with the invoice(s).

VI. ADDITIONAL REQUIREMENTS

- A. Lead Safety for Renovation, Repair, and Painting (EPA – RRP). All vendors are required to be registered with the United States Environmental Protection Agency as a “Certified Firm”. Vendors are required to have at least one “Certified Renovator” on a job site that was built prior to 1978 where lead painted surfaces may be disturbed.
- B. Lead Safe Weatherization (LSW). All vendors are required to attend LSW training, in addition to EPA – RRP training, as offered by the State of Illinois or Agency.
- C. Davis-Bacon Act Compliance. Vendors are required to pay their staff the appropriate wage as determined by the United States Department of Labor for the County in which work is being completed. DOE-BIL funded multifamily projects that are 5 units or greater must use Davis-Bacon prevailing wage. Contractors are also required to complete reports on the “LCPtracker”.

- D. Prevailing Wage Compliance. Vendors are required to pay their staff the State Prevailing Wage when completing work on rental properties. An Illinois Department of Labor, Certified Payroll Form must be completed.

VII. REQUEST FOR QUALIFICATIONS REQUIREMENTS

A. General Requirements.

1. Notification of Interest. Vendors interested in submitting a response must submit the Notification of Interest. Failure to do so may disqualify contractors from submitting a response.

B. Mandatory Elements. The following elements are required to be submitted for a response to be considered a valid response. Failure to properly complete all forms included in this Request for Qualifications packet will result in rejection of the response.

1. Insurance Requirements At the time of submission of the response, the vendor shall provide a Certificate of Insurance with the required minimum insurance as listed in the City's general terms and conditions. If any type of mandated insurance lapses, all weatherization work will cease until coverage is renewed and the City of Rockford has been provided with the current insurance documentation. Only after proper documentation has been provide will the vendor be reinstated.
2. Statement of Vendor's Qualifications. The ability to perform under the terms of the procurement is essential. This statement provides the City of Rockford with background information on the vendor's previous experience providing materials for similar projects and identifies financial references.
3. Release of Information. This authorization must be completed to enable the City of Rockford to verify information contained in the Statement of Vendor's Qualifications and other information relevant to the supplier's ability to perform.
4. Submission of Qualifications. The response must be submitted by the deadline established on the Request for Qualifications cover page.

C. Questions. All questions shall be submitted in writing to Anne Wilkerson, Central Services Manager at Anne.Wilkerson@rockfordil.gov.

VIII. QUALIFICATION REVIEW AND EVALUATION PROCEDURES

- ### A. Staff will review the submittals to determine the qualifications of each vendor.
- ### B. Evaluation Criteria. The evaluations will consider the completeness of the submitted documents, past experience, capacity of the vendor to complete the work, and references as listed in the Statement of Vendor Qualifications form.
- ### C. Final Selection. The City intends to award contract(s) to vendor(s) capable of meeting the requirements listed in the specifications. The distribution of work assigned to the awarded vendor(s) shall be at the sole discretion of the City of Rockford.



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ARCHITECTURAL SCOPE OF WORK

The Illinois Home Weatherization Assistance Program (IHWAP) reduces energy costs for income eligible households by increasing the energy efficiency of their homes, while ensuring health and safety. Services are provided for single family, multi family, and mobile homes.

The Weatherization Architectural services will include but is not limited to the installation of insulation (cellulose, fiber glass, two-part spray foam, and rigid board), air sealing measures (caulking windows and doors, sealing bypasses in attic, living, and basement/crawl spaces), some carpentry tasks, and performing diagnostic testing.

Vendor shall provide all materials, work lead safe, work neatly and respectfully, clean work area at end of day, and dispose of all trash created during the work day.



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ARCHITECTURAL - VENDOR REQUIREMENTS

Training/Certifications/Registrations:

- EPA- Renovators Repair & Painting Certificates for workers, contractors, and firms (3 separate certificates) <https://www.epa.gov/lead/lead-renovation-repair-and-painting-program>
- IL. Certified Weatherization Insulation Contractor's Training (letter or certificate) Indoor Climate Research & Training Center <https://icrt.appliedresearch.illinois.edu/training/>
- Health & Safety certification (OSHA10, OSHA30, etc.) <https://www.osha.gov/training>
- Confined Space Entry training http://www.greyandassociates.com/services/safety_training.asp
- Obtain and register their Unique Entity Identifier with SAM.Gov

Insurance:

At the time of submission of the response, the vendor shall provide a Certificate of Insurance with the required minimum insurance as listed in the City's general terms and conditions. If any type of mandated insurance lapses, all weatherization work will cease until coverage is renewed and the City of Rockford has been provided with the current insurance documentation. Only after proper documentation has been provide will the vendor be reinstated.

Additional requirements include (but not limited to):

- Blower door assisted air sealing and completion of air pressure diagnostic form with pre, interim, and post readings.
- "Dense Pack" Sidewall insulation performed via exterior or interior
- Use Lead safe work practices in homes built before 1978 regardless of known presence of lead
- Conduct flue spillage testing (combustion safety) and be current on City of Rockford's building codes
- Understand and implement ASHRAE62.2
- Install all measures to the current standards in the IHWAP Field Standards Manual

OSHA Equipment:

4-Gas Meters	HEPA Vacuums	Confined Space Vent Fan	Tyvek Suits
Ladders	Extension Cords	SDS Sheets	Standard Dust Masks
Eye Wash	Respirators	Fire Extinguishers	Gloves: Latex
Safety Harnesses	First Aid Kits	Scaffolding	Gloves: Heavy Duty
GFCI Protection	Signage	Glasses/Goggles	Walk Planks

Architectural Equipment:

Blower Door System (Minneapolis or Retrotec) Complete with Manometer, hoses, and probes
Digital Camera or Phone to submit pictures

Appeal/ Protest Process

The following appeal/ protest procedures will be followed when appealing or protesting a sealed bid (Invitation for Bid [IFB]) or competitive proposal (Request for Proposal [RFP]) procurement decision. Failure to file an appeal/ protest in accordance with these procedures shall be deemed a waiver of the right to further contest or dispute the matter. Grievances are limited to violations of federal laws or regulations, or failure of the Grantee to follow its own procurement policies

INFORMAL CONFERENCE

Any unsuccessful bidder or proposer (appellant or protestor) has a right to request an informal conference. The informal conference is designed to ensure that the appellant or protestor understands actions taken and the bidding/ proposal process of the Grantee. The informal conference is conducted by the Grantee and will be:

- Be held by phone or in a location reasonably convenient to the Grantee
- Be conducted, if possible, by a Grantee staff member who was not involved in the original decision
- Be held within five calendar days of the request,
- Afford the appellant or protestor an opportunity to bring a representative and/or interpreter
- Afford the appellant or protestor an opportunity to present oral and/or written testimony on their behalf

The Grantee will give the appellant or protestor a written statement documenting the results of the appeal/ protest citing the policy or regulation for the determination. A copy of the written statement will be included in the procurement bid file.

At the time of the informal conference, the appellant or protestor will be given a Request for State Review form, to complete and be sent by Grantee to OCA within 15 calendar days of the date of the informal conference. The Grantee staff person conducting the informal conference must present and explain this form to the appellant or protestor.

1. Within five business days, the appellant or protestor will outline the concern in writing and submit it to the Grantee contact listed in the IFB or RFP.
2. The written appeal or protest shall include the following information:
 - A. Name, address, and contact information of the appellant or protestor
 - B. Identification of the IFB or RFP being appealed/ protested, including identification number
 - C. Detailed statement of the grievance, including reference to the federal law or regulation that is being violated or Grantee procurement policy not followed
 - D. Specific relief requested
3. The Grantee will provide a summary of the written appeal/ protest to the appellant or protestor and OCA, within five working days of receipt of written protest or resolution of the written protest.

The appeal/protest process includes three levels of appeal: Informal Conference, State Review and Formal Hearing.

STATE REVIEW

Should the appellant or protestor request a state review, OCA will review the appellant or protestor 's file and the informal conference report. The appeal/ protest request is considered made the day the request is received by OCA, per the received date stamp on the correspondence.

OCA will notify the Grantee that a request for state review has been filed. Grantee will provide OCA and appellant or protestor with a full copy of the bid file (updated to include the informal conference cover sheet and hearing report). This must be done within five business days of the request for state review.

The state reviewing officer will review the file to determine if the bid/ proposal process was in compliance, if the appellant or protestor was notified within the proper timeframe, if the appellant or protestor was properly notified of the right to appeal/protest, if the informal conference was properly conducted and if the informal conference determination was correct. The state review determination will be made, and a letter sent to the appellant or protestor and the Grantee within 15 business days of the request for state review.

A written decision will be provided to Grantee and the appellant or protestor once the review is completed.

FORMAL HEARING

If the appealing party is not satisfied with the determination of the state review, the appealing party may request a formal hearing within 15 calendar days of the date of the state review letter by sending a written request to OCA. OCA will notify the Grantee that the request has been made by the appealing party.

Within ten working days of the receipt if the appealing party 's request for formal hearing, OCA will contact the appealing party via telephone or letter if necessary and the Grantee to set a date, time and location for the formal hearing. A follow-up letter will be sent to the appealing party ten days prior to the formal hearing requesting that the appealing party contact OCA to confirm the appointment. The informal hearing shall be held within 30 days of the appealing party 's request for the informal hearing.

A State Hearing Officer will conduct the formal hearing. The State Hearing Officer must ensure that the following procedures are followed;

- The formal hearing is tape recorded,
- The testimony of the formal hearing summarizes the actions of the case date, the appealing party 's reason for appeal, and the Grantee's Appeals Officer 's explanation of the determination that the Grantee made,
- The State Hearing Officer will explain that the purpose of the hearing is to determine if the policies were fairly applied to the appealing party 's case.
- Challenges to federal or state policy are not pertinent to the administrative hearing and will not be considered by the Appeals Review Board. Challenges to the underlying policy must be brought in court and the appealing party should be referred to legal assistance offices,

- The State Hearing Officer will limit presentations to relevant and material facts and policy; explain the purpose and procedure to be followed; the manner in which the determination will be rendered; develop the facts relevant to the issues; clearly identify the policy provision relied on; assist the appealing party in presenting their version of the case; enable the Grantee's Appeals Officer to present the case and policy supporting the action of the Grantee; permit cross-examination by the participants; respect the rights and dignity of all participants to the hearing; and summarize the points developed,
- The formal hearing information is transmitted to the Appeals Review Board, which will render a decision based upon the record. The appealing party is notified within ten working days of the formal hearing determination, the reasons for the determination and, if denied, of their right to seek review in court.
- The hearing will be held in a private room that is completely separated from any other Grantee business activities. The hearing is held in private to assure confidentiality for the appealing party. The State Hearing Officer shall ensure that the case is not discussed prior to the opening of the hearing.
- The hearing will be tape recorded and will follow the format of the formal hearing script. The State Hearing Officer will operate a tape recorder as well as provide all necessary tapes. The equipment will be tested prior to the hearing and the recorder started before any discussion takes place.
- To open the hearing, the State Hearing Officer will announce who, what, when, where and why of the hearing as well as note the names and job titles of all attendees.

The State Hearing Officer will then note their role in the hearing and will state the purpose of the hearing.

At this point, all persons who will be making a statement will be sworn in as witnesses. (If the appealing party has an attorney or representative, the attorney or representative will not be sworn in.)

Next, the appealing party and/or representative will be given the opportunity to present the appealing party's reasons for appeal. The appealing party may present new evidence. If written evidence, the State Hearing Officer will explain the contents of the document for all parties of the formal hearing. The State Hearing Officer or Grantee representative may question the appealing party and/or the appealing party's witnesses.

After the appealing party's case has been presented and witnesses have answered any questions, the Grantee's Appeals Officer, IHWAP Coordinator, and/or any Grantee witnesses who have personal knowledge of the case will be given the opportunity to present their position(s). The appealing party and/or appealing party's representative may question the Grantee's witnesses.

The State Hearing Officer may question any witnesses, when necessary, to fully develop the facts of the case.

Should any questions be asked challenging state or federal policy, the State Hearing Officer will reply, —The purpose of this hearing is to determine whether the policies were fairly applied to your case. If you wish to challenge the policies themselves, such a challenge is not appropriate to this administrative

hearing. A challenge to the policies must be brought in court. The State Hearing Officer will not answer questions when answers cannot be quoted from the IHWAP Procurement Manual.

To close the hearing, the State Hearing Officer will note that the State Appeals Review Board will review all documents and testimony and reach a determination that will be shared with all parties within ten calendar days of the formal hearing.

The State Hearing Officer will present the tape and case file to the State Appeals Review Board. The State Appeals Review Board is a three-person board consisting of;

- A State Hearing Officer
- Two of the following or their designee;
 - Deputy Director, Office of Community Assistance
 - Assistant Deputy Director, Office of Community Assistance
 - Manager, Office of Community Assistance
 - Assistant Manager, Office of Community Assistance
 - Manager, Support Services
 - Grants Management Supervisor

The State Appeals Review Board will make a decision based on the testimony and documents provided at the formal hearing. The decision will be final, and any further recourse will have to be appealed through court proceedings.

After a decision is made by the State Appeals Review Board, both the appealing party and the Grantee will be notified in writing by OCA within ten working days of the formal hearing. If the original procurement decision is upheld, a letter will be sent to the appealing party, with a copy to the Grantee. If the Grantee 's decision is overturned by the State Appeals Review Board, a letter explaining the decision will be sent to the appealing party and the Grantee explaining the error(s) made and the reason(s) for the determination rendered by the State Appeals Review Board. A copy of the notification letter will be placed in the procurement bid file.

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the concurrence of the DOE Office of General Counsel.

(h) A decision under paragraph (f) of this section shall be final for DOE if there is no review under paragraph (g) of this section. If there is review under paragraph (g) of this section, the decision thereunder shall be final for DOE, and no appeal shall lie elsewhere in DOE.

(i) Prior to the effective date of the termination of eligibility for further participation in the program because of failure to comply substantially with the requirements of the Act or of this part, a grantee shall have the right to written notice of the basis for the enforcement action and the opportunity for a public hearing notwithstanding any provisions to contrary of 10 CFR 600.26, 600.28(b), 600.29, 600.121(c), and 600.443. A notice under this paragraph shall be mailed by the Support Office Director by registered mail, return-receipt requested, to the State, local grantee, and other interested parties. To obtain a public hearing, the grantee must request an evidentiary hearing, with prior FEDERAL REGISTER notice, in the election letter submitted under Rule 2 of 10 CFR 1024.4 and the request shall be granted notwithstanding any provisions of Rule 2 to the contrary.

[55 FR 41326, Oct. 10, 1990, as amended at 58 FR 12529, Mar. 4, 1993]

APPENDIX A TO PART 440—STANDARDS FOR WEATHERIZATION MATERIALS

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 use within enclosed stud or joist spaces 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 the 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 a 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 April 5, 1993 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 National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202-741-6030, or go to: http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html.

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

Air Conditioning and Refrigeration Institute, 1501 Wilson Blvd., Arlington, VA 22209; (703) 524-8800.
 American Gas Association, 1515 Wilson Blvd., Arlington, VA 22209; (703) 841-8400.
 American National Standards Institute, Inc., 1430 Broadway, New York, NY 10018; (212) 642-4900.
 American Society of Mechanical Engineers, United Engineering Center, 345 East 47th Street, New York, NY 10017; (212) 705-7800.
 American Society for Testing and Materials, 1916 Race Street, Philadelphia, PA 19103; (215) 299-5400.
 American Architectural Manufacturers Association, 1540 East Dundee Road, Palatine, IL 60067; (708) 202-1350.
 Federal Specifications, General Services Administration, Specifications Section, Room 6654, 7th and D Streets, SW, Washington, DC 20407; (202) 708-5082.
 Gas Appliance Manufacturers Association, 1901 Moore St., Arlington, VA 22209; (703) 525-9565.
 National Electrical Manufacturers Association, 2101 L Street, NW, Suite 300, Washington, DC 20037; (202) 457-8400.
 National Fire Protection Association, Batterymarch Park, P.O. Box 9101, Quincy, MA 02269; (617) 770-3000.
 National Standards Association, 1200 Quince Orchard Blvd., Gaithersburg, MD 20878; (301) 590-2300. (NSA is a local contact for materials from ASTM).
 National Wood Window and Door Association, 1400 East Touhy Avenue, Des Plaines, IL 60018; (708) 299-5200.
 Sheet Metal and Air Conditioning Contractors Association, P.O. Box 221230, Chantilly, VA 22022-1230; (703) 803-2980.
 Steel Door Institute, 712 Lakewood Center North, 14600 Detroit Avenue, Cleveland, OH 44107; (216) 899-0100.
 Steel Window Institute, 1230 Keith Building, Cleveland, OH 44115; (216) 241-7333.
 Tubular Exchanger Manufacturers Association, 25 North Broadway, Tarrytown, NY 10591; (914) 332-0040.

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Underwriters Laboratories, Inc., P.O. Box 75530, Chicago, IL 60675-5330; (708) 272-8800.

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 Programs Division, Conservation and Renewable Energy, Mail Stop 5G-023, Forrestal Bldg, 1000 Independence Ave, SW, Washington, DC 20585; (202) 586-2207.

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

Insulation—mineral fiber:	
Blanket insulation	ASTM ¹ C865-88.
Roof insulation board	ASTM C726-88.
Loose-fill insulation	ASTM C764-88.
Insulation—mineral cellular:	
Vermiculite loose-fill insulation	ASTM C516-80 (1990).
Perlite loose-fill insulation	ASTM C549-81 (1986).
Cellular glass insulation block	ASTM C552-88.
Perlite insulation board	ASTM C728-89a.
Insulation—organic fiber:	
Cellulosic fiber insulating board	ASTM C208-72 (1982).
Cellulose loose-fill insulation	ASTM C739-88.
Insulation—organic cellular:	
Preformed block-type polystyrene insulation	ASTM C578-87a.
Rigid preformed polyurethane insulation board	ASTM C591-85.
Polyurethane or polyisocyanurate insulation board faced with aluminum foil on both sides	FS ² HH-I-1972/1 (1981).
Polyurethane or polyisocyanurate insulation board faced with felt on both sides	FS HH-I-1972/2 (1981). And Amendment 1, October 3, 1985.
Insulation—composite boards:	
Mineral fiber and rigid cellular polyurethane composite roof insulation board	ASTM C726-88.
Perlite board and rigid cellular polyurethane composite roof insulation	ASTM C984-83.
Gypsum board and polyurethane or polyisocyanurate composite board	FS HH-I-1972/4 (1981).
Materials used as a patch to reduce infiltration through the building envelope	Commercially available.

¹ ASTM indicates American Society for Testing and Materials.

² FS indicates Federal Specifications.

THERMAL INSULATING MATERIALS FOR PIPES, DUCTS, AND EQUIPMENT SUCH AS BOILERS AND FURNACES
[Standards for conformance]

Insulation—mineral fiber:	
Preformed pipe insulation	ASTM ¹ C547-77.
Blanket and felt insulation (industrial type)	ASTM C553-70 (1977).
Blanket insulation and blanket type pipe insulation (metal-mesh covered) (industrial type)	ASTM C592-80.
Block and board insulation	ASTM C612-83.
Spray applied fibrous insulation for elevated temperature	ASTM C720-89.
High-temperature fiber blanket insulation	ASTM C892-89.
Duct work insulation	Selected and applied according to ASTM C971-82.
Insulation—mineral cellular:	
Diatomaceous earth block and pipe insulation	ASTM C517-71 (1979)
Calcium silicate block and pipe insulation	ASTM C533-85 (1990).
Cellular glass insulation	ASTM C552-88.
Expanded perlite block and pipe insulation	ASTM C610-85.
Insulation—Organic Cellular:	
Preformed flexible elastomeric cellular insulation in sheet and tubular form	ASTM C534-88.
Unfaced preformed rigid cellular polyurethane insulation	ASTM C591-85.
Insulation skirting	Commercially available.

¹ ASTM indicates American Society for Testing and Materials.

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 C739-88.
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FIRE SAFETY REQUIREMENTS FOR INSULATING MATERIALS ACCORDING TO INSULATION USE—
Continued

[Standards for conformance]

Enclosed space	Insulation materials intended for use within enclosed stud or joist spaces shall be capable of meeting the smoldering combustion requirements in ASTM C739-88.
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 E84-89a).
Exterior envelope walls and roofs.	Exterior envelope walls and roofs containing thermal insulations 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 E84-89a).

¹ ASTM indicates American Society for Testing and Materials.

STORM WINDOWS

[Standards for conformance]

Storm windows:	
Aluminum insulating storm windows	ANSI/AAMA ¹ 1002.10-83.
Aluminum frame storm windows	ANSI/AAMA 1002.10-83.
Wood frame storm windows	ANSI/NWWDA ² I.S. 2-87, (Section 3)
Rigid vinyl frame storm windows	ASTM ³ D4099-89.
Frameless plastic glazing storm	Required minimum thickness windows is 6 mil (.006 inches).
Movable insulation systems for windows	Commercially available.

¹ ANSI/AAMA indicates American National Standards Institute/American Architectural Manufacturers Association.

² ANSI/NWWDA indicates American National Standards Institute/National Wood Window & Door Association.

³ ASTM indicates American Society for Testing and Materials.

STORM DOORS

[Standards for conformance]

Storm doors—Aluminum:	
Storm Doors	ANSI/AAMA ¹ 1102.7-89.
Sliding glass storm doors	ANSI/AAMA 1002.10-83.
Wood storm doors	ANSI/NWWDA ² I.S. 6-86.
Rigid vinyl storm doors	ASTM ³ D3678-88.
Vestibules:	
Materials to construct vestibules	Commercially available.
Replacement windows:	
Aluminum frame windows	ANSI/AAMA 101-88.
Steel frame windows	Steel Window Institute recommended specifications for steel windows, 1990.
Wood frame windows	ANSI/NWWDA I.S. 2-87.
Rigid vinyl frame windows	ASTM D4099-89.

¹ ANSI/AAMA indicates American National Standards Institute/American Architectural Manufacturers Association.

² ANSI/NWWDA indicates American National Standards Institute/National Wood Window & Door Association.

³ ASTM indicates American Society for Testing and Materials.

REPLACEMENT DOORS

[Standards for conformance]

Replacement doors—Hinged doors:	
Steel doors	ANSI/SDI ¹ 100-1985.
Wood doors:	
Flush doors	ANSI/NWWDA ² I.S. 1-87, (exterior door provisions)
Pine, fir, hemlock and spruce doors	ANSI/NWWDA I.S. 6-86.
Sliding patio doors:	
Aluminum doors	ANSI/AAMA ³ 101-88.
Wood doors	NWWDA I.S. 3-83.

¹ ANSI/SDI indicates American National Standards Institute/Steel Door Institute.

² ANSI/NWWDA indicates American National Standards Institute/National Wood Window & Door Association.

³ ANSI/AAMA indicates American National Standards Institute/American Architectural Manufacturers Association.

CAULKS AND SEALANTS:

[Standards for conformance]

Caulks and sealants:	
Putty	FS ¹ TT-P-00791B, October 16, 1969 and Amendment 2, March 23, 1971.
Glazing compounds for metal sash	ASTM ² C669-75 (1989).
Oil and resin base caulks	ASTM C570-72 (1989).
Acrylic (solvent types) sealants	FS TT-S-00230C, February 2, 1970 and Amendment 2, October 9, 1970.

CAULKS AND SEALANTS:—Continued

[Standards for conformance]

Butyl rubber sealants	FS TT-S-001657, October 8, 1970.
Chlorosulfonated polyethylene sealants	FS TT-S-00230C, February 2, 1970 and Amendment 2, October 9, 1970.
Latex sealing compounds	ASTM C834-76 (1986).
Elastomeric joint sealants (normally considered to include polysulfide, polyurethane, and silicone).	ASTM C920-87.
Preformed gaskets and sealing materials ..	ASTM C509-84.

¹ FS indicates Federal Specifications.² ASTM indicates American Society for Testing and Materials.

WEATHERSTRIPPING

[Standards for conformance]

Weatherstripping	Commercially available.
Vapor retarders	Selected according to the provisions cited in ASTM ¹ C755-85 (1990). Permeance not greater than 1 perm when determined according to the desiccant method described in ASTM E96-90.
Items to improve attic ventilation	Commercially available.
Clock thermostats	NEMA ² DC 3-1989.

¹ ASTM indicates American Society for Testing and Materials.² NEMA indicates National Electrical Manufacturers Association.

HEAT EXCHANGERS

[Standards for conformance]

Heat exchangers, water-to-water and steam-to-water ..	ASME ¹ Boiler and Pressure Vessel Code, 1992, Sections II, V, VIII, IX, and X, as applicable to pressure vessels. Standards of Tubular Exchanger Manufacturers Association, Seventh Edition, 1988.
Heat exchangers with gas-fired appliances ² .	Conformance to AGA ³ Requirements for Heat Reclaimer Devices for Use with Gas-Fired Appliances No. 1-80, June 1, 1980. AGA Laboratories Certification Seal.
Heat pump water heating heat recovery systems.	Electrical components to be listed by UL. ⁴

¹ ASME indicates American Society of 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 AGA indicates American Gas Association.⁴ UL indicates Underwriters Laboratories.

BOILER/FURNACE CONTROL SYSTEMS

[Standards for conformance]

Automatic set back thermostats	Listed by UL. ¹ Conformance to NEMA ² DC 3-1989.
Line voltage or low voltage room thermostats	NEMA DC 3-1989.
Automatic gas ignition systems	ANSI ³ Z21.21-1987 and Z21.21a-1989. 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.

WATER HEATER MODIFICATIONS

[Standards for conformance]

Insulate tank and distribution piping	(See insulation section of this appendix).
Install heat traps on inlet and outlet piping	Applicable local plumbing code.
Install/replace water heater heating elements ...	Listed by UL. ¹
Electric, freeze-prevention tape for pipes	Listed by UL.
Reduce thermostat settings	State or local recommendations.
Install stack damper, gas-fueled	ANSI ² Z21.66-1988, including Exhibits A&B, and ANSI Z223.1-1988.
Install stack damper, oil-fueled	UL 17, November 28, 1988, and NFPA ³ 31-1987.
Install water flow modifiers	Commercially available.

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

WASTE HEAT RECOVERY DEVICES

[Standards for conformance]

Desuperheater/water heaters	ARI ¹ 470-1987.
Condensing heat exchangers	Commercially available components and in new heating furnace systems to manufacturers' specifications.
Condensing heat exchangers	Commercially available (Commercial, multi-story building, with teflon-lined tubes institutional) to manufacturers' specifications.
Energy recovery equipment	Energy Recovery Equipment and Systems Air-to-Air (1978) Sheet Metal and Air-Conditioning Contractors National Association (SMACNA). ²

¹ ARI indicates Air Conditioning and Refrigeration Institute.² SMACNA denotes Sheet Metal and Air Conditioning Contractors' National Association.

BOILER REPAIR AND MODIFICATIONS/EFFICIENCY IMPROVEMENTS

[Standards for conformance]

Install gas conversion burners	ANSI ¹ Z21.8-1984, (for gas or oil-fired systems) ANSI Z21.17-1984, ANSI Z21.17a-1990, and ANSI Z223.1-1988, AGA ² Laboratories Certification seal.
Replace oil burner	UL ³ 296, February 28, 1989 Revision and NFPA ⁴ 31-1987.
Install burners (oil/gas)	ANSI Z223.1-1988 for gas equipment and NFPA 31-1987 for oil equipment.
Re-adjust boiler water temperature or install automatic boiler temperature reset control.	ASME ⁵ CSD-1-1988, ASME CSD-1a-1989, ANSI Z223.1-1988, and NFPA 31-1987.
Replace/modify boilers	ASME Boiler and Pressure Vessel Code, 1992, Sections II, IV, V, VI, VIII, IX, and X. Boilers must be Institute of Boilers and Radiation Manufacturers (IBR) 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.
Repair combustion chambers	Refractory linings may be required for conversions.
Replace heat exchangers, tubes	Protection from flame contact with conversion burners by refractory shield.
Install/replace thermostatic radiator valves	Commercially available. One pipe steam systems require air vents on each radiator; see manufacturers' requirements.
Install boiler duty cycle control system	Commercially available. NFPA 70, National Electrical Code (NEC) 1993 and local electrical codes provisions for wiring.

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 ANSI/ASME indicates American National Standards Institute/American Society of Mechanical Engineers.

HEATING AND COOLING SYSTEM REPAIRS AND TUNE-UPS/EFFICIENCY IMPROVEMENTS

[Standards for conformance]

Install duct insulation	FS ¹ HH-558C, January 7, 1992 (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 Z223.1-1988 (NFPA ³ 54-1988) including Appendix H.
Repair/replace oil-fired equipment	NFPA 31-1987.
Replace combustion chamber in oil-fired furnaces or boilers	NFPA 31-1987.
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 Z223.1-1988 (NFPA 54-1988) including Appendix H.
Install vent dampers for gas-fueled heating systems	Applicable sections of ANSI Z223.1-1988 (NFPA 54-1988) including Appendices H, I, J, and K. ANSI Z21.66-1988 and Exhibits A & B for electrically operated dampers.
Install vent dampers for oil-fueled heating systems	Applicable sections of NFPA 31-1987 for installation and in conformance with UL ⁴ 17, November 28, 1988.
Reduce excess combustion air:	
A: Reduce vent connector size of gas-fueled appliances ...	ANSI Z223.1-1988 (NFPA 54-1988) Part 9 and Appendices G & H.
B: Adjust barometric draft regulator for oil fuels	NFPA 31-1987 and per manufacturers' (furnace or boiler) instructions.
Replace constant burning pilot with electric ignition device on gas-fueled furnaces or boilers.	ANSI Z21.71-1981, Z21.71a-1985, and Z21.71b-1989.
Readjust fan switch on forced air gas or oil-fueled furnaces	Applicable sections and Appendix H of ANSI Z223.1-1988 (NFPA 54-1988) for gas furnaces and NFPA 31-1987 for oil furnaces.
Replace burners	See power burners (oil/gas).
Install/replace duct furnaces (gas)	ANSI Z223.1-1988 (NFPA 54-1988).
Install/replace heat pumps	Listed by UL.

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

Replace air diffusers, intakes, registers, and grilles	Commercially available.
Install/replace warm air heating metal ducts	Commercially available.
Filter alarm units	Commercially available.

¹ FS indicates Federal Specifications.² ANSI indicates American National Standards Institute.³ NFPA indicates National Fire Prevention Association.⁴ UL indicates Underwriters Laboratories.

REPLACEMENT FURNACES, BOILERS, AND WOOD STOVES
[Standards for conformance]

Chimneys, fireplaces, vents and solid fuel burning appliances ..	NFPA ¹ 211–1988.
Gas-fired furnaces	ANSI ² Z21.47–1987, Z21.47a–1988, and Z21.47b–1989. ANSI Z223.1–1988 (NFPA 54–1988).
Oil-fired furnaces	UL ³ 727, August 27, 1991 Revision and NFPA 31–1987.
Liquidified petroleum gas storage	NFPA 58–1989.
Ventilation fans: Including electric attic, ceiling, and whole house fans	UL 507, August 23, 1990 Revision.

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

AIR CONDITIONERS AND COOLING EQUIPMENT
[Standards for conformance]

Air conditioners: Central air conditioners	ARI ¹ 210/240–1989.
Room size units	ANSI/AHAM ² RAC–1–1982.
Other cooling equipment: Including evaporative coolers, heat pumps and other equipment	UL ³ 1995, November 30, 1990. ⁴

¹ ARI indicates Air Conditioning and Refrigeration Institute.² AHAM/ANSI indicates American Home Appliance Manufacturers/American National Standards Institute.³ UL indicates Underwriters Laboratories.⁴ This standard is a general standard covering many different types of heating and cooling equipment.

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 systems	Commercially available.
Metal louver systems	Commercially available.
Industrial-grade white paint used as a heat-reflective measure on awnings, window louvers, doors, and exterior duct work (exposed).	Commercially available.

[58 FR 12529, Mar. 4, 1993, as amended at 69 FR 18803, Apr. 9, 2004]

PART 445 [RESERVED]**PART 451—RENEWABLE ENERGY
PRODUCTION INCENTIVES**

Sec.

451.1 Purpose and scope.

451.2 Definitions.

451.3 Who may apply.

451.4 What is a qualified renewable energy facility.

451.5 Where and when to apply.

451.6 Duration of incentive payments.

451.7 Metering requirements.

451.8 Application content requirements.

451.9 Procedures for processing applications.

451.10 Administrative appeals.

AUTHORITY: 42 U.S.C. 7101, *et seq.*; 42 U.S.C. 13317.



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ARCHITECTURAL - AGREEMENT TO WORK FOR MARKET ANALYSIS PRICES

I, _____(Contractor) agree to work for the prices that have been agreed upon by the City of Rockford Community Services Weatherization Program and current contractors. I have been given a catalog of the prices (Market Analysis PY26 ARCH Spreadsheet) and submitted all of the required documentation.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

**RELEASE OF INFORMATION
(regarding project experience)**

Vendor: _____

Address: _____

Phone: _____

I hereby authorize release of information regarding my financial and technical resources to the City of Rockford Health & Human Services for the purpose of determining my eligibility as a supplier for the 2026 Illinois Home Weatherization Program Grant. A photo-static copy of this document shall suffice as proper authorization for the release of the above information.

Name (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ARCHITECTURAL - STATEMENT OF VENDOR'S QUALIFICATIONS

All applicable questions must be answered and the data given must be clear and comprehensive. If necessary, questions may be answered on separate, attached sheets. The Vendor may submit any additional information desired. **All Vendors must fill out application in its entirety or it will NOT be accepted.** If not applicable, write N/A.

1. Company Name: _____
2. Address: _____
_____ Phone (____) _____
3. Principal Employees of Firm: _____

4. When organized? _____
5. If a corporation, where incorporated? _____
6. How many years has your company been engaged in the contracting business under the present firm or trade name? _____
7. Contracts on hand: (Schedule these, showing amount of each contract and the appropriate anticipated dates of completion.) If no contracts are on hand, please indicate below.

8. Type of work generally performed by the company: _____
9. Has your company ever failed to complete any work awarded? _____
If so, where and why? _____
10. List the more important projects recently completed by your company, stating the approximate cost for each, and the month and year completed:

11. List your major equipment available for this contract:

12. List experience in construction work or HVAC work similar in importance to this project:

PLEASE NOTE: Questions 13-15 are required for mechanical vendors only:

13. Is your firm able to provide work on heating systems whose fuel source is (check all that apply): ☐ natural gas ☐ propane ☐ oil ☐ coal ☐ wood

14. Is your firm able to provide work on the following types (check all that apply):

☐ Forced Air ☐ Forced Water ☐ Steam Boiler ☐ Gravity Furnace
☐ Conversion ☐ Wall Furnace ☐ Space Heater ☐ Gravity Water (Boiler)
☐ Central Air Conditioning ☐ Water Heater

15. Please indicate any licenses you or your employees hold with the city, state, village, or county where the license is current: _____

PLEASE NOTE: Vendors that have successfully completed contracts for the Illinois Home Weatherization Assistance Program with the City of Rockford for the 2025 program year need not complete number 16 and 17 below:

16. Financial Reference: (Must list two) Reference name, address, and phone number:

17. Work Reference: (Must list two) Reference name, address, and phone number:

18. Will your company, upon request, fill out a detailed financial statement and furnish any other information that may be required? YES NO

19. FEIN # _____

20. The undersigned hereby authorized and requests any person, firm, or corporation to furnish any information requested in verification of the recitals comprising this Statement of Vendor's Qualifications.

By: _____ Date: _____



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ARCHITECTURAL - PROPOSED SUBCONTRACTORS

Name and Address of Contractor

Contractor must at minimum, identify who will perform the following, even if it is the contractor himself.

TYPE OF WORK

Subcontractors NAME/ADDRESS/PHONE

Appliances

Other

I understand that I am financially responsible for any unacceptable work or damage caused by my subcontractor when/if the subcontractor is not insured.

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

BONDING

Acceptable forms of Bonding: If the LAA is going to protect the Weatherization workflow and overall process, then some type of assurance is needed. This can be done by withholding a portion of the overall payment, until everything is deemed to be correct, or through bonding. If bonding is required or desired by the LAA, some acceptable forms of protection are:

Insurance bond
Certificate of Deposit
Irrevocable Letter of Credit
Cashier's Check

The contractor has read and understands the above statement.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

STATE OF ILLINOIS WEATHERIZATION TRAINING

Contractor understands he/she must attend any mandated State of Illinois Weatherization training that may be arising during their contract with the City of Rockford. Failure to do so may result in the cancelling of their contract until proof of attendance has been submitted.

The Contractor has read and understands the Weatherization training statement stated above.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

SAFETY DATA SHEETS

All vendors must turn in Safety Data Sheets (SDS) in the printed format of their choice. Each form should include the following **MINIMUM** information:

1. Name and/or product number
2. Name and Address of Manufacturer
3. Description of hazardous material contained in the product
4. Effects of the Hazardous material
5. Telephone number of manufacturer where additional information can be obtained

SDS are required for any material containing potentially hazardous substances.

All labor vendors must provide SDS to their work crew employees and to the local agency. Upon contract award, labor vendors must also assure the local agency, in writing, that their work crew employees have received the SDS.

The contractor has read and understands the SDS as stated above.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

CERTIFICATION REGARDING WEATHERIZATION MATERIALS

I, the undersigned, certify that:

1. All Weatherization materials supplied (for the duration of this contract) meet all federal standards as specified in Appendix A of 10 CFR 440, and all agency standards or specifications.
2. I understand that supplying materials that DO NOT meet federal standards, constitutes a criminal offense.
3. I have received a copy of Appendix A of 10 CFR and the agency specification list and understand that materials found to be in violation of said Appendix A of 10 CFR 440 by the agency will result in immediate cancellation of my contract. All costs relating to the removal and replacement of any installed inferior materials will be the sole responsibility of the Supplier and reimbursable to the agency.
4. I agree to submit Safety Data Sheets (SDS) for materials with hazardous content. **These must be submitted with bid package.**

This certification is a material representation of fact upon which reliance was placed when this transaction was made and entered into. Any supplier who fails to file this certification with the agency will not be awarded contract.

Contractor's signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

I/We (please print) _____ certify, to the best of my knowledge and belief, that I am not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department, state, local municipality, or agency.

Have not, within a three-year period preceding this, been convicted of or had a civil judgment rendered against me for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction, violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, receiving property.

Are not presently indicated for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any offenses.

Have not, within a three-year period preceding this application/proposal, had one or more public transactions (federal, state, local) terminated for cause or default.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ETHICS STATEMENT

City of Rockford Weatherization funds will not be utilized to purchase goods and/or services for contractors and/or their families even if reimbursement is to be received for such goods and/or services.

Goods and services purchased with **City of Rockford** Weatherization funds are to be used solely for the benefit of the agency and its programs. The use of agency goods and services for personal use by contractors is NOT allowed under any circumstances.

Contractors are required to have, on file, a written code of standard of conduct for employees. This set of written procedures should be available for review by City of Rockford staff upon request.

The contractor has read and understands the above Ethics Statement.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

WAIVER OF LIEN

I hereby agree to waive **any and all** liens, claims, or rights of lien against the City of Rockford or property on account of the Weatherization Program.

The Contractor has read and understands the above Waiver of Lien statement.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

PROCUREMENT APPEALS

There are three (3) levels of appeal: the informal conference, the state review, and the formal hearing.

1. The informal conference:
Will be conducted by the agency at the written request of the bidder. The informal conference will be held within 5 calendar days from the request.
2. State Review:
At the time of the informal conference, the appellant will be given a "Request for State Review" to complete and be sent by the Agency to the Office of Community Assistance within 15 calendar days of the date of the informal conference.
3. Formal Hearing:
If the appealing party is not satisfied with the determination of the state review, the appealing party may request a formal hearing within 15 calendar days of the date of the state review letter by sending a written request to OCA.

The full Appeal Policy is attached for you records.

The appeal officer is **Anne Wilkerson**, Central Services Manager, at Anne.Wilkerson@rockfordil.gov

I attest that I have received the Appeal Process following this document.

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

PAYMENT PROCESS

The contractor will turn their invoice into the Agency. At which time they are given to a Weatherization Inspector to perform a final inspection to verify the contractor has completed the work to IHWAP Standards. The City of Rockford follows the Illinois Prompt Payment Act.

If the job fails the final inspection the contractor will be notified via Call Back to make the necessary corrections to be in compliance with the IHWAP Standards. The invoice will not be processed until the proper documents have been received and the job has passed final inspection. No partial payments will be issued. Substitutions and/or work order changes must have prior approval by the Weatherization Assessor. No substitutions or work order changes will be allowed at the time of invoicing. It will be at the contractor's expense if any additional work was completed that was not specified on the work order without prior approval.

The contractor has read and understands the Payment Process stated above.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

INVOICING REQUIREMENTS/PROCEDURE

Final Invoices reflecting approved work are required for processing payments to vendors. Failure to provide sufficient detail as well as other errors or omissions on invoices could result in delays in payment processing. All invoices submitted for Weatherization work shall include itemized descriptions of all labor costs and material costs and the following:

1. Client's name and address
2. Complete job number
3. CPO # assigned to contractor
4. Billed to: City of Rockford Weatherization
425 E. State St.
Rockford, IL 61104
5. Contractor invoice number
6. ALL dates work performed on job
7. The Weatherization contractor is to submit an invoice summarizing, by category, by labor and material, the cost of each measure applied to the home.
 - a. All line items on work order should have a corresponding line item on the contractor's invoice.
 - b. The invoice must follow the work order with the total material cost and labor cost totaled up, along with the total cost of the job.
6. The invoice will not be processed for payment until the job passes final inspection.
7. Any accompanying documentation necessary at time of invoice will be sent out to contractor prior to first work order being issued.

The contractor has read and understands the Invoicing Requirements and Procedure stated above.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

CONTRACTOR ASSURANCE AND GUARANTEE OF WORK

The contractor must complete an Assurance and Guarantee of Work form that covers their workmanship and parts for one-year warranty starting on the approved final inspection date. This guarantee does not supersede any manufacturer warranty. The form must be signed by the contractor and the **original given to the Agency** with the invoice.

The contractor has read and understands the Assurance and Guarantee stated above.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

CHANGE ORDER PROCESS

The contractor is required to request any changes to the individual job in the IWX System. Contractor shall send **notification via email, text, or phone call** to the assigned Assessor and Coordinator that a change request has been submitted in the system. Requests must be approved before the contractor can implement the changes requested.

The Contractor has read and understands the Change Order Process stated above.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

SMALL, FEMALE, OR MINORITY OWNED BUSINESSES

Small businesses, minority owned businesses and women's business enterprises will be given preference whenever possible. Information will be made available to these firms to encourage their participation in the City of Rockford's Weatherization contracts. When contracting for goods and services, preference will be given to contractors who sub-contract with small businesses, minority-owned businesses and women's enterprises.

An up to date list of the City's Certified MWBE's can be found at www.rockfordil.gov/purchasing

The contractor has read and understands the above statement.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

COMPLETION SCHEDULE WARRANTY

No work is to be started until the NOTICE OF PROCEED is signed by the Director (this is your approval). You will be notified by the City of Rockford by e-mail. (You are liable if your e-mail is not working properly and it is your responsibility to contact our office immediately if other temporary accommodations are needed.) Contractor hereby acknowledges that they have **5** days to sign and return the NTP back and all work must be completed **30** **days** from the date the NTP was signed by the contractor.

To the Contractor:

The City of Rockford warrants all work contracted and further acknowledges failure to perform will constitute a default on the Terms of the Contract that may result in a penalty of \$25.00 per day for every day beyond the designated date.

Failure of use of proper materials and poor workmanship may result in a warning. Furthermore, three (3) penalties and/or warnings may result in contract termination. A contract termination will result in disbarment and bar your company from bidding for the City of Rockford for a minimum period of (3) years.

The Contractor has read and understands the Completion Schedule Warranty stated above.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ARCHITECTURAL - BLOWER DOOR REQUIREMENTS

The contractor understands that there will be NO CHARGES to the City of Rockford Weatherization Program for setting up the blower door and taking readings. The contractor is required to upload blower door documentation, with a completed DIAGNOSTICS EVALUATION, on every weatherized property. This includes but is not limited to: picture of blower door set-up in door, manometer readings, and air sealing performed in all by-pass areas (attic, basement, etc.) prior to insulating as specified on the work order. Pictures should be in color.

It is the responsibility of the contractor to conduct the blower door test to identify air sealing opportunities and compare their findings to the work order. Contractors must also perform blower door assisted air sealing. If target is not being met the contractor shall notify the assessor for guidance. Contractors may request a Change Order if they feel it is needed (refer to Change Order Process). It is imperative to hit the target on every home. If upon final inspection the target was not met, the contractor will return to do additional air sealing in order to meet the target.

It is also mandatory to correct all back-drafting issues and notify the Agency at the time an issue arises. Combustion Safety testing will be performed at the end of every work day to identify potential back draft/spillage issues.

The contractor has read and understands the Blower Door requirements stated above.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ARCHITECTURAL - U-VALUE OF WINDOWS AND DOORS

1. Replacement windows installed in the IHWAP program must have a NFRC U-Value of **0.27** or less and be Energy Star Rated. The following text is taken from the "Illinois Home Weatherization Field Standards Manual":
 - a. Replacement windows shall be ENERGY STAR rated with a U-Value no higher than **0.27**. Replacement windows shall have U-Values rated by the National Fenestration Rating Council (NFRC).
 - b. True mobile home replacement windows shall have a U-Value no higher than **0.36** and need not be ENERGY STAR rated. Replacement windows meant for site-built homes but used in mobile homes shall have a U-Value no higher than **0.27** and be ENERGY STAR rated.
 - c. At least one NFRC label must be removed by the contractor and submitted with the contractor's invoice upon completion of the home for verification. The remaining NFRC labels shall be left on the window for removal by the final inspector. (This should be explained to the home owner)
2. Pre-hung replacement doors without glazing must be ENERGY STAR rated with a U-Value no higher than **0.17**. Pre-hung replacement doors with glazing must be ENERGY STAR rated with a U-Value no higher than **0.30**. ENERGY STAR rating doesn't apply to mobile home doors
3. Pictures of the newly installed windows/doors with the labels on should be uploaded to IWX.

The contractor has read and understands the above specifications required.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ARCHITECTURAL - COMBUSTION SAFETY TESTING

Combustion Safety Testing measures the back-drafting potential of all spaces in which vented combustion appliances are located, including fireplaces. The operation of exhaust fans, clothes dryers, and furnace air handlers can depressurize rooms containing combustion appliances. Potential back-drafting increases as Weatherization work such as air sealing is done in a home.

Determine Worst Case Depressurization (WCD) condition by setting up the home to produce the greatest negative pressure in each Combustion Appliance Zone (CAZ) and conduct the Spillage test. The Spillage test only applies to natural draft appliances.

Contractors are required to conduct a spillage test-out following the completion of every workday, not only at job completion. This test is to ensure that the Weatherization work done that day has not adversely affected natural draft appliance venting.

Every home should have these measures conducted with the documentation uploaded to IWX.

The Contractor has read and understands the Combustion Safety Tests stated above.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ARCHITECTURAL - OSHA EQUIPMENT CHECKLIST

Contractor understands he/she must be OSHA 10, OSHA 30 certified. The following is a list of mandated equipment. These items will be periodically verified to assure they are on the job site.

4-Gas Meters	HEPA Vacuums
Confined Space Vent Fan	Ladders
Extension Cords	MSDS Sheets
Eye Wash	Respirators
Fire Extinguishers	Safety Harnesses
First Aid Kits	Scaffolding
GFCI protection	Signage
Glasses/Goggles	Standard Dust Mask
Gloves: latex	Tyvek suits
Gloves: heavy duty	Walk Planks

The Contractor has read and understands the OSHA Equipment Checklist stated above.

Name of Company (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ARCHITECTURAL - ASHRAE 62.2 Standard

City of Rockford Weatherization requires implementing the ASHRAE 62.2 Standard.

This standard uses continuous ventilation for the purpose of improving indoor air quality with the removal of pollutants. Contractors must be knowledgeable and reliable with the installation and implementation of this standard.

The contractor has read and understands the above ASHRAE 62.2 Standard Statement.

Name of Company (please print)

Signature Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ARCHITECTURAL - LEAD SAFE WORK PRACTICES

1. Contractor must have attended a State of Illinois sponsored training course on “Lead Safe Work Practices”. The certificate must be provided after award.
2. The Contractor must have a copy of the “IHWAP Weatherization Field Standards” manual at the job site. Manual will be provided to contractor.
3. Contractor must have a Renovation, Repair, and Painting (RRP) certificate (individual) along with being an EPA certified firm. The certificate must be provided after award.
4. Contractor must have a HEPA-VAC at each job site capable of vacuuming lead particles.
5. Contractor will have supplies to address lead dust and particles at each jobsite. Examples are (but not limited to) 6 mill vinyl, water spray devices, and cleaning solutions to wipe down areas of dust

The Contractor has read and understands the above Lead Safe Work Practices

Name (please print)

Signature

Date



CITY OF ROCKFORD HEALTH & HUMAN SERVICES PY2026 Weatherization Program

ARCHITECTURAL - CONFINED SPACES

City of Rockford Weatherization Program requires using the IHWAP Confined Spaces Policy.

This policy follows the standards as required by OSHA 20 CFR 1910.147. Contractors must be knowledgeable and reliable with the use of this practice. Permits must be filled out as required.

I have been given the program policy, qualifying appendixes, definitions, along with a question and answer sheet to further clarify the required policy.

The contractor has read and understands the above Confined Spaces Policy Statement.

Name of Company (please print)

Signature

Date



State of Illinois

Department of Commerce and Economic Opportunity

WEATHERIZATION

Illinois Home Weatherization Assistance Program - Field Standards Manual July 2021



All improvements associated with the Illinois Home Weatherization Assistance Program shall be completed in a professional and skillful manner and shall be neat in appearance.



ILLINOIS DEPARTMENT OF
COMMERCE AND ECONOMIC OPPORTUNITY

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100 – Diagnostic Standards

111 Blower Door

1111 House Set-Up

Preparing the house for a blower door test involves putting the house in its heating condition with conditioned spaces open to the blower door. The house should be tested in the “as found” winter condition to determine its existing leakage rate.

Winter condition means that all windows and exterior doors are closed. “As found” means that holes found in the thermal boundary should not be sealed for the blower door test.

- **Check work order for assessor comments regarding any unusual house set-up conditions.**
- **Note if pressurization test should be done rather than depressurization test (see section 11121, “Existing Leakage Rate”).**
- Confirm location of the thermal boundaries and house zones that are conditioned (see section 211, “Thermal Boundary”).
- Deactivate all vented combustion appliances by turning off the heating appliance and setting the water heater to “pilot”.
- Prevent ashes of wood/coal burning units from entering the living space by closing/sealing doors and dampers or by cleaning out ashes (Figure 1111-1).
- Inspect house for loose or missing hatchways, paneling, ceiling tiles or glazing panes. Secure any items that may become dislocated during the test.
- Remove one ceiling tile on suspended ceilings to relieve pressure (Figure 1111-2).
- Open interior doors so that all indoor areas within the thermal boundary are connected to the blower door.
- Do not seal intentional exhaust air openings, such as combustion appliance flues, dryer vents or exhaust fans.
- Temporarily seal intentional fresh air openings (air ducted from the outdoors to the furnace, for example).
- Do **not** temporarily seal large obvious leaks such as missing or broken glass (this represents the “as found” condition of the home).
- If window air-conditioning units are left in place over the heating season, conduct blower door test with the “as found condition”. If occupants remove air-conditioning units over the heating season, temporarily air-seal around units for blower door test.



Figure 1111-1: Ensure that ashes are not drawn into the home during the blower door test



Figure 1111-2: Remove a ceiling tile to relieve pressure

11111 Basements and Crawl Spaces

Basements may be used as living space. Furnaces and boilers and their respective distribution systems, water heaters and washers/dryers are often located in the basement. Heat from these items as well as heat from the space above helps condition basements during the winter. Therefore, basements are usually considered conditioned space and basement doors should be open during the blower door test unless one of the following conditions are present (even if the basement door is generally closed during the winter):

- Assessor conducted test with basement door closed (should be noted on Work Order), or
- The occupants do not use the basement on a regular basis; for example, access to the basement is through an exterior door such as bulkhead doors or through an unconditioned porch.

If you're not sure whether the basement door was open or closed during the assessment, call the assessor.

Crawl spaces are often included within the thermal boundary of the home. However, access hatches from the house to the crawl space should remain closed during the blower door test as the crawl space is non-occupiable space.

1112 Blower Door Test

The blower door (Figures 1112-1) measures the total leakage rate of a home, indicates the potential for air leakage reduction in a home, assists in finding air leakage locations and verifies that air sealing was successful. Four leakage rate numbers are associated with the blower door test:

- Existing Leakage Rate,
- Target Leakage Rate,
- Intermediate Leakage Rate, and
- Contractor Final Rate.



Figure 1112-1: Blower door set-up

Mobile homes should be treated similarly to single-family homes when determining target leakage rate numbers.

Manometers must be calibrated per manufacturer's recommendations. Generally, a label affixed to the manometer indicates when the manometer is to be calibrated. Figure 1112-2 shows the hose connections for doing a blower door test for the three commonly used manometers.

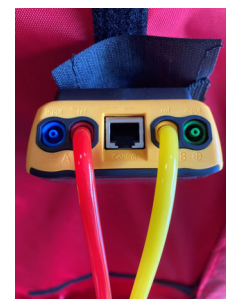
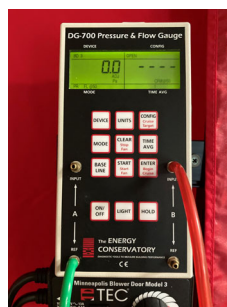
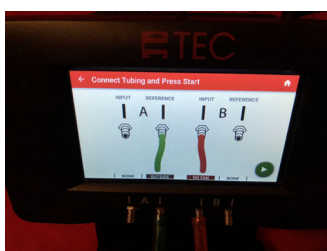


Figure 1112-2: Hose connections for the DG1000, DG700 and DM32 manometers

11121 Existing Leakage Rate

Conduct a blower door depressurization test to determine the existing CFM50 leakage rate of the home. Record the existing CFM50 leakage rate. The average existing leakage rate in Illinois' homes prior to weatherization is about 3600 CFM.

Depressurization Test

A depressurization test is required (unless it is determined that a pressurization test is necessary – see next section) as it is the standard test in the low-income weatherization program. If there are concerns about doing a depressurization test, perform a pressurization test or gradually depressurize the house to -50 Pa while checking the condition of the suspect areas. If, during this gradual depressurization, it is believed that further depressurization is likely to cause a problem, depressurize as much as possible and use the corrected CFM50¹.

Pressurization Test

A pressurization test should be done, rather than a depressurization test, if one of the following conditions is present in the home:

- Presence of suspected asbestos containing material (ACM) such as vermiculite attic insulation which could be drawn into the home during a depressurization test (See section 501, “Vermiculite”).
- Wood or coal fired-heating appliance operating,
- Animal or bird feces is found in the attic that may be a health hazard,
- Hole in top floor ceiling that may result in insulation being pulled into the home,
- Interior wall or ceiling finishes might be pulled down by a depressurization test,
- Open sump in basement,
- Open sewer line in the home, or
- Harmful pollutants could be introduced into the home by the operation of the blower door.

Mold on walls is not a reason to pressurize. A depressurization test is acceptable in such cases.

Can't Reach 50 Pascals

If the blower door cannot achieve -50 Pa house pressure, re-inspect the home to assure that all windows and doors are closed. Though -50 Pa could not be achieved, the CFM50 of the house will be shown in the B channel display (Figure 11121-1).

11122 Target CFM50 Rates

Target CFM50 levels based on a range of existing leakage rates are shown in Table 100-1. Target CFM50 levels relate existing CFM50 leakage rates to expected post-weatherization leakage rates. The premise is that homes with high leakage rates have a potential for larger cost-effective leakage reductions than tighter dwellings.



Figure 11121-1: CFM50 is displayed when 50Pa cannot be achieved in a home

¹ Done automatically if using the DG700, DG1000 or DM32 manometer.

- Air sealing work should continue when the target has been achieved and additional air sealing opportunities are present.
- The most cost-effective air sealing involves addressing the largest leakage paths first and sealing leaks in the top part of the home.
- Confirm effectiveness of air sealing strategies by performing intermediate blower door tests.

Table 100-1 Target CFM50 Rates

Existing CFM50	Target CFM50 Rates
0 to 1250	99% of existing CFM50
1251 to 1560	90% of existing CFM50
1561 to 2750	72% of existing CFM50
2751 to 4250	64% of existing CFM50
4251 to 5500	54% of existing CFM50
5501 to 7500	50% of existing CFM50
> 7500	45% of existing CFM50

11123 Intermediate Blower Door Test

Blower door guided air sealing is recommended. Contractors should take “intermediate readings” while doing air sealing work. These readings provide immediate feedback on effectiveness of air sealing work.

11124 Contractor Blower Door Requirements

- **Contractors are required to do an initial blower door test before beginning work to confirm the assessor’s existing leakage rate and target CFM50 rate.**
 - If the contractor’s existing leakage rate is off by plus or minus 10% of the assessor’s recorded leakage rate, the contractor should call the assessor to ensure that house set-up is the same as it was during the assessment. If necessary, the assessor may re-calculate the target CFM50 rate.
- Contractors should ensure the effectiveness of air sealing work.
 - Air sealing work should be validated using smoke with the house under depressurization or pressurization.
 - Zone pressure measurements should be taken and compared to the assessor’s zone pressure numbers (see section 113, “Zone Pressures”).
- Contractors must submit their final blower door reading to the WX agency.
- Architectural contractors and crews are required to conduct a spillage test-out every day following completion of work (see section 117, “Spillage Test-Out”). This test is only required for natural draft appliances.

1113 Deferred Air Sealing

Air sealing should be done in all homes; however, air sealing work may have been deferred by the WX agency until the following conditions are corrected.

- Carbon monoxide levels exceed suggested action levels (see section 3123, “Carbon Monoxide Testing”)²,
- Presence of unvented space heaters (note that no weatherization may occur in the home until unvented space heaters are removed; see Section 317, “Unvented Space Heaters”),
- Evidence of serious mold issues (an area of mold greater than 10 ft²)²,
- Appliance fails spillage test-out (see section 117, “Spillage Test-Out”), or
- Presence of vermiculite attic insulation which would preclude attic bypass air sealing. Air sealing may proceed in other areas of the home. See section 501, “Vermiculite”.
 - If vermiculite has been tested and asbestos is not present, air sealing in the attic may be done.

1114 Post-Blower Door Test

The following items should be checked after conducting a blower door test.

- Inspect all pilot lights of combustion appliances to ensure that blower door testing did not extinguish them.
- Turn heating appliances on and reset water heater settings.

112 ASHRAE 62.2-2016

ASHRAE 62.2-2016, “*Ventilation and Acceptable Indoor Air Quality in Residential Buildings*”, defines minimum requirements for mechanical and natural ventilation intended to provide acceptable indoor air quality in all residential buildings.

The type of ventilation system and required ventilation rate will be specified by the Weatherization Agency for each house or unit. This information will be included on the work order. Ventilation systems and installation standards are found in Section 505, “ASHRAE 62.2”.

All homes and units weatherized must meet the requirements of ASHRAE 62.2-2016. All architectural and mechanical contractors should familiarize themselves with these requirements.

113 Zone Pressures

The blower door can be an effective tool at finding direct leaks by depressurizing the house and looking or feeling for airflow through leaks. However, leaking air often takes a path through two surfaces that have a space, or zone, between them. These leakage sites may be difficult to find because they are in unconditioned spaces of a house. Once found, these leaks may be the largest and easiest leaks to seal.

A “zone” is a space that separates a heated space from the outdoors. Typical zones include attics, knee wall spaces, crawl spaces and enclosed garages. The inner boundaries of these zones are building components such as walls, ceilings or floors that separate these zones from the conditioned space. The outer boundaries of these zones are the walls, roofs and foundation walls that separate a zone from the outdoors.

² Reason for deferral

Zone-to-outside pressure readings provide information on the relative leakiness between the house and zones and are described in section 1131, “Zone-to-Outside Readings”. Zone pressure testing procedures are described in section 11321. The area of the “hole” between the house and the zone can then be determined by “adding a hole”. That procedure is described section 11322, “Add-a-Hole” Method.

1131 Zone-to-Outside Readings

A pressure difference from the zone to the outside is measured with the blower door depressurizing the house to -50 Pa. The pressure measured between the zone and the outside can indicate the relative leakiness of the zone.

- Zone-to-outside readings of 0 to -25 Pa indicate that the zone is more “outside”.
- Zone-to-outside readings of -25 Pa to -50 Pa indicate that the zone is more “inside”.
- Zone-to-outside readings around -25 Pa indicate that the air zone is in the “middle”.

Zone pressure readings unto themselves may be misleading. For example, an attic-to-outside reading of -15 Pa may seem to indicate significant bypasses. However, when tested with the “Add-a-Hole” method, the size of the hole may be small and not worth the effort to air-seal.

1132 Zone Pressure Testing Procedures

Utilize the following procedures for measuring zone pressures (section 11321) and determining leakage areas with the “Add-a-Hole” method (section 11322) in attics, knee wall spaces, crawl spaces and attached or tuck-under garages.

11321 Measuring Zone Pressures

- Identify zones to be measured.
- Set-up blower door for house depressurization test.
- Set-up a hose to measure pressure in a zone. Make sure that end of hose extends beyond insulation, flooring or other obstructions in the zone.
- Close opening (door, access hatch) between zone and conditioned space, taking care not to pinch hose.
- Depressurize house to -50 Pa.
- Record CFM50 of house (CFM50₁).
- Connect hose from zone to “input” tap on manometer. Connect hose from the outside to “reference” tap on the same channel as the hose from the zone. Be sure to disengage cruise control if being used on the manometer.
- Record pressure of zone with reference to the outside - Z/O₁ (Figures 11321-1 & 2).

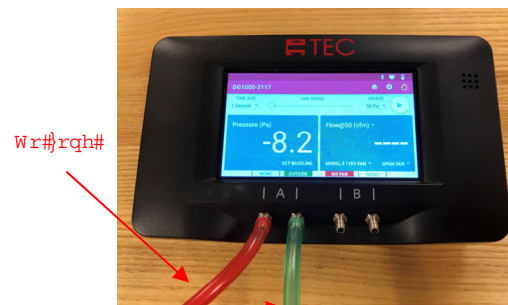


Figure 11321-1: Zone pressure to the outside with DG1000

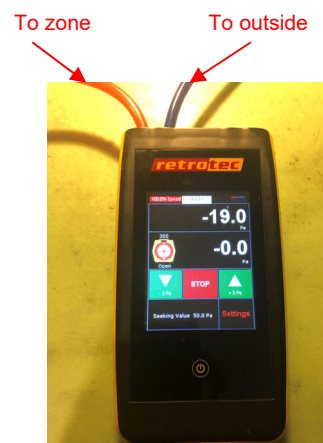


Figure 11321-2: Zone pressure to the outside with DM32

- Compare readings to those shown in Table 100-3.
- Continue with the “Add-a-Hole” Method to determine cumulative hole size.

11322 “Add-a-Hole” Method

The “Add-a Hole” Method may be used to estimate the total size of all the holes and bypasses in a zone being measured. This will provide guidance towards existing opportunities for air sealing in the zone and requires the use of the “ZPD” spreadsheet. The use of the ZPD spreadsheet is described in Appendix 601.

1133 Zone Pressure Standards

Zone pressure readings following weatherization work are shown in Table 100-3. **If cumulative hole size is less than 20 in² (200 CFM50) as determined by the “add-a-hole” method, no air sealing is required regardless of zone pressure reading.**

Table 100-3 – Zone Pressure Readings

Zone	Thermal Boundary Location	Zone Pressure Reading
Attic	Top floor ceiling and attic space	0 to -5 Pa wrt outside
Knee wall space	Knee wall and knee wall cavity, or Knee wall space and roof	0 to -5 Pa wrt outside - 45 to -50 Pa wrt outside
Crawl Space	Foundation wall and crawl space, or Floor between house and crawl space	- 45 to -50 Pa wrt outside 0 to -5 Pa wrt outside
Attached or tuck-under garage	Between house and garage	0 to -5 Pa wrt outside
Basement	Basement foundation walls	-45 to -50 Pa wrt outside

114 Pressure-Pan Duct Test

The pressure-pan test is a duct leakage diagnostic tool that is used with the blower door and manometer to identify duct leakage to outside the thermal boundary of the home.

- Pressure pan testing is not required if the ductwork is being brought into the thermal boundary (ducts in a vented crawl space where the thermal boundary will become the foundation walls, for example).
- Pressure-pan testing is not required on ducts located in conditioned spaces.

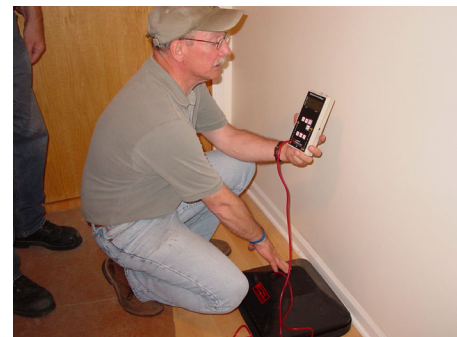


Figure 114-1: Pressure pan test

A gasketed pan is placed over each register or grille with the air handler fan off and the blower door depressurizing the house to -50 Pa³. A pressure measurement between the duct and the room provides an indication of whether duct leakage to the outdoors exists (Figure 114-1).

Note that you must clear the baseline used for the blower door reading before taking pressure-pan readings. There is no need to use or establish a new baseline as the pressure difference between the ducts and conditioned space is simply being measured.

³ If the house is so leaky that it cannot be depressurized to -50 Pa, pressure pan readings will not be accurate. It is first desirable to tighten the house so that -50 Pa can be achieved so that pressure pan measurements can be taken. Note that significant leakage may be occurring through the duct system, though. Using a smoke pencil, look for air coming out of the registers. Look for and seal the leaks in the duct system if found to be leaking. Remember that sealing ducts outside the thermal boundary can help one achieve the target CFM50 rate.

Pressure-pan testing is required when ducts are found in:

- Unconditioned spaces (some examples include attics, behind knee walls, tuck-under garages, crawl space where the floor is the thermal boundary), or
- Ducts located in conditioned space only when a spillage, duct pressure imbalance or indoor air quality problem has been identified such as:
 - failed spillage test (see section 3122, “Spillage Test”),
 - failed room-to-room pressure test (see section 115, “Room to Room Pressure Test”) or other duct imbalance problem, or
 - elevated moisture levels in the home associated with wet basements or crawl spaces.
- Pressure pan tests should always be conducted on mobile homes when the ducts are located in the floor cavity.

1141 Pressure-Pan Procedures

- Install blower door and set-up house for winter conditions. Open all interior doors (see section 1111, “House Set-Up”).
- **CLEAR BASELINE.**
- Turn furnace off. Remove furnace filter and tape filter slot.
- Temporarily seal any outside fresh-air intakes to the duct system.
- Close door to basement if testing ducts in basements. If possible, open a basement window or basement door to the outside.
- Connect a hose between the pressure-pan and the input tap on the manometer. Leave the reference tap open.
- With the blower door at -50 Pa, place the pressure-pan completely over a grille or register to form a tight seal. Record the reading. **Note that only one register is sealed at a time.**
- If a grille is too large or a supply register is difficult to access (under a kitchen cabinet, for example) or a pressure pan is not available, seal the grille or register with duct-mask tape (Figure 1141-1). Grille can also be partially sealed with duct-mask tape and used with the pressure pan (Figure 1141-2). Insert a pressure probe through the duct-mask tape and record reading. Remove tape following reading.



Figure 1141-1: Toe-kick sealed with duct mask tape; pressure pan reading of 24 Pa!



Figure 1141-2: Duct partially covered with duct mask tape.



Figure 1141-3: Sometimes duct leakage is obvious before you use the pressure pan; air coming out of a register with blower door operating; air handler is not on!

Note that no air should be coming out of registers when the blower door is operating. If air is felt

Pressure pan readings greater than 3.0 Pa may indicate a leak between the duct boot and subfloor/wall/ceiling rather than a breach in the duct system. Remove registers on ducts with elevated readings and inspect the boot connection. Seal boots and re-test with the pressure-pan (see section 31532, “Duct Sealing Materials”).

- No more than half of the pressure-pan readings shall be higher than 3.0 Pa (Figure 1142-1) and
- No readings shall be greater than 8.0 Pa.

This is not a required test but can assist in solving spillage, comfort and indoor air quality problems. The test can determine if an imbalance between the supply and return ductwork exists, especially in homes with central return systems.

A hand is holding a black TEC-1 temperature probe. The probe's screen displays a red bar graph and the number '1.3'. A red cable is plugged into the top of the probe. The probe is connected to a black rectangular device with a red label that reads 'New Generation Amplifier'. The background is a white textured wall.

Figure 1142-1: Tight duct measuring 1.1 Pa

- This test is conducted with the blower door turned off and sealed.
- Set-up house for winter conditions. Close all windows and exterior doors. Turn off all exhaust fans.
- Ensure that registers are not covered by furniture and other objects.
- Close all interior doors, including door to basement.
- Turn on air handler.
- Place hose from “input” tap on the manometer under the door to a room. Leave “reference” tap open to main body of house.
- Read and record measurement for each room.

Pressure differences greater than +3.0 Pa or more negative than -3.0 Pa may (Figure 1152-1).
cause issues as mentioned above.



Figure 1152-1: Room to room pressure is 31.6 Pa!

1153 Interpreting Room-to-Room Pressures

Pressure relief may be required when pressures are more than + or -3.0 Pa between a room and the main body of the house with the air handler operating.

To estimate the amount of pressure relief, slowly open door until the pressure difference drops between +3.0 Pa and -3.0 Pa. Estimate area of open door. This is the area required to provide pressure relief. Pressure relief may include undercutting the door, installing transfer grilles or installing jumper ducts (Figure 1153-1).



Figure 1153-1: Jumper duct installed in attic connecting bedroom to hallway (Courtesy Southface Institute)

116 Exhaust Fan Flow Meter Test

The exhaust fan flow meter is used to measure the air flow through bathroom exhaust fans. The flow meter is used with the manometer (Figure 116-1). This test must be done to confirm flow rates if exhaust fans are used to meet ASHRAE 62.2.

1161 Exhaust Fan Flow Meter Procedures

Air flow through the flow meter is measured in CFM with the manometer. The measured air flow can be used in the following manner.

- Determine flow rates of existing bathroom fans. Measured flow rates can be compared to rated flow rate of fans to determine the effectiveness of the fans.
- Adjust flow rate on variable speed fans to meet the required ASHRAE ventilation rate.



Figure 116-1: Exhaust fan flow meter being used to measure bathroom exhaust fan flow

Refer to manometer instructions for setting-up the manometer for using the flow meter.

117 Spillage Test-Out

Architectural contractors and crews are required to conduct a spillage test-out every day following completion of work. This test is to ensure that architectural work done that day has not adversely affected natural draft appliance venting. This test is only required for natural draft appliances.

It is highly recommended that contractors conduct this test prior to beginning weatherization work in homes that measure 2500 CFM or less to ensure that a spillage problem doesn't currently exist.

Ambient CO levels should be monitored while checking for spillage. If ambient CO levels equal or exceed 9 ppm, see section 502-2, "Indoor Ambient CO Action Levels", for additional guidance.

1. Close all windows and exterior doors.
2. Close fireplace damper.
3. Interior doors
 - a. Close all interior doors, including door to combustion appliance zone (CAZ)⁴.
 - b. Open doors to rooms:
 - i. with exhaust fans, such as bathrooms and kitchens
 - ii. with ducted returns.
4. Close or seal supply air ducts in the CAZ. Leave return registers in the CAZ open.
5. Exhaust
 - a. Turn on clothes dryer.
 - b. Turn on all exhaust fans, such as bathroom and kitchen exhaust fans, such that they operate at maximum speed.
 - c. Do not turn on whole house fans.
6. Turn on furnace air handler.
7. Spillage
 - a. Turn-on natural draft appliance.
 - b. Test for spillage at the draft diverter or draft hood with a mirror or smoke pencil.
8. Time limits⁵ –
 - a. **Natural Draft Water Heaters** -
Spillage must cease (water heater begins drafting) within two minutes. If water heater begins drafting within two minutes, the water heater passes the test (Figure 117-1).
 - b. **Natural Draft Furnaces - Warm Vent** (when furnace thermostat is on heat) –
Spillage must cease (furnace begins drafting) within two minutes. If furnace begins drafting within two minutes, the furnace passes the test.
 - c. **Natural Draft Furnaces - Cold Vent** (when furnace thermostat is not on heat) –
Spillage must cease (furnace begins drafting) within five minutes. If furnace begins drafting within five minutes, the furnace passes the test.

If appliance fails spillage test (Figure 117-2) –

- Turn-off appliance
- Check personal CO monitor
- Open window in CAZ if possible
- Re-test if CO is below allowable limits
- If appliance passes, spillage was caused by depressurization



Figure 117-1: Conducting a spillage test with a smoke pencil – passes



Figure 117-2: Failed spillage test

⁴ CAZ is the space in which the natural draft appliance is located.

⁵ ANSI/BPI-1200-S-2017, “Standard Practice for Basic Analysis of Buildings”, sections 7.9.2 and 7.9.3

- If appliance fails, check for flue or chimney for blockage. If blockage is found and removed, repeat spillage test. Also see section 3124, “Solutions to Combustion Safety Testing Failures”.
- Any appliance that fails spillage test-out may not be left in that condition.

200 – Architectural Standards

The architectural standards include insulation and air sealing measures. Insulation retrofits are designed to reduce heat loss by conduction. Air sealing measures are designed to reduce infiltration heat loss. It is important that both conduction and infiltration measures work together. If insulation is added to an attic but bypass air sealing is not done, the effectiveness of the insulation is greatly diminished. It is critical that insulation and air sealing be done in the same building plane if the thermal boundary is to be effective.

201 General Insulation Requirements

2011 Flame Spread Index/Smoke Development Index

Insulation used in homes shall meet the Flame Spread and Smoke Development numbers shown in Table 2011-1¹. Additional information may be found in Appendix 602.

Table 2011-1 Flame Spread and Smoke Development Indices

	Flame Spread Index	Smoke Development Index
Batts	< 25	< 450
Blown	< 25	< 450
Foam Board	< 75	< 450
Spray Foam	< 75	< 450

2012 Contractor Requirements

Contractors shall meet the onsite documentation as noted below for attics, cathedral ceilings, finished attics, sidewalls, foundations, floors and rim joists. Note special requirements for rim joists when spray foam is used.

Loose Fill & Dense Pack - Post a dated receipt signed by the installer that minimally includes installed insulation type, coverage area, installed thickness, minimum settled thickness, installed R-value and number of bags installed.

Batts, Foam Board & Spray Foam - Post a dated receipt signed by the installer that minimally include installed insulation type, coverage area, installed thickness and installed R-value.

Spray Foam in Rim Joists² - Post a dated receipt signed by the installer that minimally includes installed insulation type, coverage area, installed thickness, installed R-value, manufacturer product name, manufacturer supplied material density and flame spread and smoke development index as tested per ASTM E84 or UL 723.

202 Ignition and Thermal Barriers

Ignition and thermal barrier requirements for insulation are dependent upon the location in the home where the insulation is installed. Specific requirements are listed by building section and insulation type. For addition information, refer to “SPFA-126, *Thermal Barriers and Ignition*

¹ Standard Work Specifications (SWS), National Renewable Energy Laboratory (NREL)

² SWS 4.0401.1g, “Insulation – Onsite Documentation

Barriers for the Spray Polyurethane Foam Industry” and the Standards Work Specifications (SWS).

211 Thermal Boundary

The thermal boundary separates conditioned space from unconditioned space (Figure 211-1). Typically, the thermal boundary in a house consists of the exterior walls, top floor ceiling and foundation walls.

The thermal boundary is defined by the placement of insulation. The building component that separates the conditioned space from the outdoors or unconditioned space is the primary pressure boundary. To maximize the effectiveness of the thermal boundary, the pressure boundary must be aligned with it. That is, the pressure boundary must be part of the thermal boundary. If the insulation and air barrier are not aligned; that is, located in different building components, air can pass around or through the thermal boundary, making the insulation less effective.

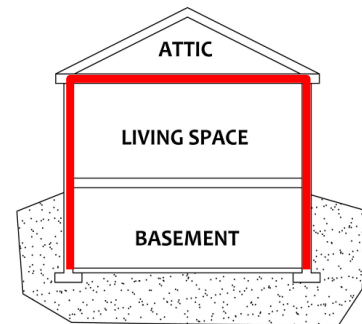


Figure 211-1: Thermal boundary

Basement walls are generally part of the home’s thermal boundary (see section 11111, “Basements”). As such, the basement ceiling is not insulated nor are bypasses in the basement ceiling air sealed for energy savings. If it is determined that the basement walls are not part of the thermal boundary, the basement ceiling shall be insulated and air sealed. Ceilings in basements with the following characteristics may be considered the thermal boundary.

- Space heating and water heating appliances are not located in the basement,
- The occupants do not use the basement on a regular basis; for example, access to the basement is through an exterior door, bulkhead door, hatch, or
- Basement moisture problems that weatherization work cannot solve.

The work order will define the thermal boundary of the home as determined by the assessor. In some cases, there is no right or wrong answer, only implications to the assessor’s decision. How does the home owner use the space (is it a living space even though it was not originally intended to be)? Does the budget or SIR priority permit for the ideal thermal boundary or does a concession need to be made (the assessor would like to insulate the floor above the crawl, water lines and duct work but can only afford to insulate the walls and install a ground cover)?

Do we want to expand the heated area of the home (insulating the rafter cavity rather than insulating and air sealing the knee walls and outer ceiling joists, for example)? What are the costs to establish the thermal boundary (insulation, air sealing, extending the duct work, for example)? These and other questions must be addressed by the assessor in defining the thermal boundary for some room additions, crawl spaces, enclosed porches, attics and knee wall cavities. Cost effectiveness and achieving the highest R-value should be considered when making judgement calls on the thermal boundary.

The work order will reflect these decisions. Contractors should contact the assessor to further discuss the thermal boundary definition if there are questions. Under no circumstances shall the

contractor change the thermal boundary location without first discussing the implications with the assessor.

For additional information regarding the importance of identifying the thermal boundary correctly, see section 300, "Thermal Boundary", in the Assessment Manual.

212 Reducing Air Leakage

Air leakage reduction has always been one of weatherization's most important functions. Measures in the early days of Weatherization were limited to storm windows, storm doors, weatherstripping and caulking – all with the intention of reducing air leakage. But these measures were not always highly successful.

Later came the blower door and advanced air sealing, again with the intent of reducing air leakage. Air sealing was much more successful, but now it was possible to make a home too tight. Air sealing had to be balanced against making a home too tight and creating indoor air quality problems.

Illinois has adopted ASHRAE 62.2, "*Ventilation and Acceptable Indoor Air Quality in Residential Buildings*", as required by the US Department of Energy. This Standard requires the installation of mechanical ventilation systems in most homes. Homes can be made much tighter (as tight as you can get them) increasing energy savings without creating indoor air quality problems.

Objectives of air leakage reduction are to:

- Save energy by cutting air leakage,
- Maximize insulation's thermal resistance by reducing air movement through it,
- Avoid moisture migration into building cavities, and
- Increase comfort.

Combustion appliances must still vent properly, especially now that homes can be much tighter.

2121 Testing

Architectural contractors are required to conduct the following tests.

- Check air sealing work with smoke puffers,
- Conduct intermediate blower door readings,
- Conduct and report their final blower door readings to the agency, and
- Conduct Spillage Test-Out procedure

Air sealing work must be tested with the blower door operating and smoke test verified that air sealing work is effective.



Figure 2121-1: Smoke being drawn down an open study cavity indicating leakage to the inside

Check for leaks in the attic with a smoke puffer while the blower door is depressurizing the home (Figure 2121-1). Air will be drawn down into the home through bypasses. Seal bypasses

and check work with the smoke puffer. If air is still being drawn into the home, additional air sealing is required. If the smoke does nothing, the bypass has been effectively sealed. Be sure attic hatch is closed to increase pressure difference between the attic and house.

Bypasses can be sealed while the home is being depressurized. Spray foams (both 1- and 2-part) will be drawn into the joint to help seal it.

Alternately, turn the blower door around to pressurize the house (older fans have a direction switch that can be used to reverse the direction of air flow). Air will move up into the attic through bypasses. Be sure the attic hatch or door is closed to increase pressure in the home. Pressure testing the house may assist in finding air leakage locations if air sealing efforts have not been effective, particularly in knee wall cavities, crawl space floors and attached or tuck-under garages. Air sealing should not be done while pressurizing the home as spray foam may be blown back at the installer.

It is highly recommended that contractors take intermediate blower door readings (see section 11123, “Intermediate Leakage Rate Test”) to measure effectiveness of their air sealing work and to assist in finding additional air sealing opportunities.

Contractors are required to take a final blower door reading when air sealing work is complete. The contractor final blower door reading must be submitted to the agency. See section 11124, “Contractor Blower Door Requirements”, for additional requirements.

It is required that contractors conduct Spillage Test-Out following work each day to ensure that spillage will not occur in the combustion appliance zones as a result of tightening the home (see section 117, “Spillage Test-Out”).

2122 Sealing Bypasses³

Bypasses are holes and gaps in the thermal boundary that connect conditioned space with unconditioned space. The effort worth expending to seal a bypass depends primarily on its size and location. Bypasses will be found between the conditioned space and attic, conditioned space and crawl space and conditioned space and attached garages.

Seal larger bypass openings first to achieve larger air leakage reductions. There will be cases where sealing an important bypass won’t necessarily reduce air leakage. For example, a chaseway in a plumbing wall tightly sealed from the house but very leaky to the attic acts as an insulation bypass without leaking air between the house and the attic. Even though the



Figure 2122-1: Sealing joist cavity under knee wall with foam board and 2-part spray foam

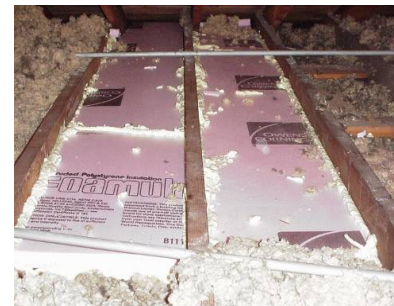


Figure 2122-2: Soffit sealed with foam board and 2-part spray foam

³ SWS 3.0101.1, “Air Sealing Holes”

house air leakage may not be reduced, the attic insulation performance will improve after this attic bypass is sealed.

It is always preferable to use strong air-barrier materials like rigid foam board, plywood or gypsum board to seal bypasses. These materials should be mechanically attached. Strong materials with strong bonds are best practice because air barriers must be able to resist strong pressures. When bypasses are not easily accessible, blow dense-packed cellulose or fiberglass insulation into surrounding cavities so that the cellulose will resist airflow and clog cracks between building materials (see sections 2142, “Dense-Packed Wall Insulation - Cellulose” or 2143, “Dense-Packed Wall Insulation – Fiberglass”).

All bypasses are to be sealed prior to insulating except where dense-packed insulation is also being used to seal bypasses.

- **Joist spaces under knee walls in finished attic areas⁴:** Connect knee wall air barriers on two floors by creating a rigid seal under the knee wall in one of two ways.
 - Install minimum 1 inch thick rigid foam board insulation blocks between ceiling joists. The perimeter of the foam blocks should be sealed with two-part foam (Figure 2122-1), or
 - Tightly fill garbage bags or empty cellulose bags with cellulose or fiberglass. Stuff between ceiling joists under knee wall and seal perimeter with two-part foam.
- **Kitchen or bathroom interior soffits:** Seal the top of the soffit with plywood, gypsum board or rigid foam board insulation: mechanically fasten and seal to ceiling joists and soffit framing with two-part spray foam (Figure 2122-2)⁵.
- **Two-level attics in split-level houses:**
 - Seal the wall cavity with a rigid material mechanically fastened to studs and wall material, or
 - Block stud cavity with scrap batt insulation and cover with 2-part spray foam (Figures 2122-3 & 2122-4), or
 - Tightly fill garbage bags or empty cellulose bags with cellulose or fiberglass batts. Stuff in wall cavity and seal perimeter with two-part spray foam (Figure 2122-5) if still leaking.
- **Tops and bottoms of balloon framed interior**



Figure 2122-3: Stud cavity sealed with 2-part spray foam



Figure 2122-4: Study cavity blocked with batt insulation and sealed with 2-part spray foam



Figure 2122-5: Balloon framed stud cavity sealed with fiberglass batts stuffed in cellulose insulation bags

⁴ SWS 3.0102.11e, “Install Air Barrier”

⁵ SWS 3.0102.9, “Sealing Dropped Soffits/Bulkheads”

partition wall cavities, missing top plates:

- Tightly fill garbage bags or empty cellulose bags with cellulose or fiberglass. Stuff in wall cavity and seal perimeter with two-part spray foam (Figure 2122-5), or
- Seal with rigid barrier, like ¼ inch plywood, gypsum board or rigid foam board insulation and caulk or foam to surrounding materials, or
- Block stud cavity with scrap batt insulation and cover with 2-part spray foam.
- **Fur cavity in masonry buildings:** Seal cavity with one or two-part foam around perimeter of attic/roof cavity (Figure 2122-6).
- **Chimney passing through attic floor⁶:** Seal chimney and fireplace bypasses with sheet metal (minimum 26 gauge thickness) and seal to chimney or flue and ceiling structure with high temperature RED caulk or chimney cement (Figure 2122-7). A “fire block” spray foam is not permitted for this application. This requirement does not apply to chimneys that:
 - Are no longer used and have been permanently sealed with concrete both at the vent connector to the chimney and at the top of the chimney, or
 - Chimneys that have been cut-off in the attic (no longer extend through the roof) and do not contain a furnace or water heater vent that is vented through the roof (Figure 2122-8).
- **Soil stacks, plumbing vents, open plumbing walls:** Seal joints with two-part foam or caulk. If joint is too large, stuff with fiberglass insulation or seal with rigid foam board and foam over the top (Figure 2122-9).
- **Housings of existing exhaust fans and recessed lights⁷:** Caulk joints where housing meets the ceiling (see section 2131, “Attic Insulation Safety” for boxing and air sealing around recessed lights and exhaust fan housings⁸).
- **Duct boots and registers:** Caulk, foam or duct mastic to seal joint between duct boot or registers and ceiling, wall, or floor finish if ducts are in attic, crawl space or attached or tuck-under garage.



Figure 2122-6: Fur cavity sealed with 2-part spray foam



Figure 2122-7: Seal chimney bypass with sheet metal and high temperature sealant



Figure 2122-8: Cut-off chimney in attic



Figure 2122-9: Plumbing wall cavity sealed with foam board and 2-part spray foam

⁶ SWS 3.0102.2, “Sealing High-Temperature Devices”

⁷ SWS 3.0102.1, “Sealing Non-Insulation Contact (IC) Recessed Light”

⁸ Many new bathroom exhaust fans can be covered with insulation and do not require shielding to keep insulation away from them. Only bathroom exhaust fans that can be covered by insulation can be installed in the Weatherization Program (see section 505, “ASHRAE 62.2”).

- **Wiring and conduit penetrations:** Seal joint with caulk or foam.
- **Duct chases:** If chase opening is large, seal with rigid barrier such as plywood, gypsum board or rigid foam board and seal to ducts and ceiling materials (Figure 2122-10). Smaller openings may be foamed or stuffed and caulked.
- **Joists between floors:** Air seal perimeter of building at bandjoist areas with dense-pack cellulose or fiberglass.
- **Bathtubs and shower stalls:** Seal from crawl space or basement in one of two ways
 - Seal with two-part foam or rigid material for larger openings, or
 - Cover opening with gypsum board. Cut hole and dense-pack cavity. Seal hole and gypsum board to surrounding framing materials with two-part foam (Figure 2122-11).
- **Attic hatches and stairwell drops:** See section 2135, “Attic Access Hatches”.
- **Exterior wall top plates, low-pitch roofs:** tape handle of 2-part spray foam gun to broom stick; drill hole through handle and secure string (Figure 2122-12); extend gun to top plate and seal (Figure 2122-13).
- **Whole House Fan⁹:** Construct a durable, rigid enclosure on all sides of the fan housing that is taller than the surrounding insulation. Install an operable cover for the fan enclosure that opens when the fan is operated and closes when the fan is turned off. Operable lid must have an airtight seal when closed. Insulate fan enclosure to a minimum of R-20. Install insulation in full contact with the enclosure. Mechanically fasten insulation to fan cover. Apply a continuous seal at all seams, cracks, joints, and edges of enclosure. Provide an airtight seal for the enclosure cover when it is closed using weatherstripping, gaskets or equivalent.
- **Other openings in the air barrier:** Seal with rigid material, two-part foam, one-part foam or caulk depending upon size of opening.



Figure 2122-10: Duct chase sealed with foam board and 2-part spray foam



Figure 2122-11: Cavity beneath bathtub sealed with gypsum board and dense-packed with cellulose



Figure 2122-12: 2-part spray foam gun secured to broom stick with string attached to handle

2123 General Air Sealing¹⁰

The following general infiltration items are done as air sealing measures when identified with the blower door.

⁹ SWS 3.0103.3, “Whole-House Fan – Operable”

¹⁰ SWS 3.0101.1, “Air Sealing Holes”

- Joints in sill plate (mud sill) and around utility openings in siding and foundation shall be sealed in an appropriate manner. When a space between two metal surfaces is to be sealed, only a butyl or silicone caulk shall be used. Cracks between two masonry surfaces shall be sealed with cement patching compound or mortar mix. If the opening is deeper than 3/8 inch, follow procedures described above.
- Interior joints shall be caulked. These joints include where baseboard, crown molding and/or casing meet the wall/ceiling/floor surfaces. Gaps around mounted or recessed light fixtures and ventilation fans shall be caulked. Cover gap between the chimney and structural members (chase ways) in the basement/crawl space with a heat resistant material (flashing, gypsum board, etc.) and seal with a compatible sealant.
- Low VOC sealants should be used whenever possible.



Figure 2122-13: Exterior wall top plate under low-pitch roof sealed with foam gun shown in Figure 2122-10.

2124 Bypass Sealing Materials

Materials used to seal air leakage sites must be nearly impermeable to air movement and form a continuous, nonporous surface over the opening being sealed. All materials must meet CFR440 specifications.

21241 Worker Safety

When applying low pressure 2-part spray polyurethane foam, air purifying masks with an organic vapor cartridge and P-100 particulate filter shall be used. When applying high-pressure SPF insulation, supplied air respirators (SARs) will be used. Consult safety data sheet (SDS) for respiratory protection requirements.

Spray foam will be handled in accordance with manufacturer specifications or SDS standards to eliminate hazards with the use of foam. Appropriate personal protective equipment (PPE) shall be used.

21242 Spray Foams

Spray foams may be used under counters and cabinets to seal bypasses but otherwise are not permitted to be used in the living area of home. Spray foams may be used in attics, unfinished basements, crawl spaces and attached or tuck-under garages.

Spray foams are either 1-part (sealant contained in one canister) or 2-part (chemicals contained in two canisters and mixed at the gun). 1-part foam is generally low or non-expanding. 2-part foam may expand 3 to 1.

Safety data sheets and manufacturer's instructions must be closely followed to ensure safety. Provide notification to the client of plans to use two-part spray foam. Provide ventilation as necessary to prevent or dilute fumes that may get inside the home.

- 1-Part Foam (Figure 21242-1)
 - **1-part foam dispensed through plastic nozzles is not permitted (Figure 21242-2).** 1-part foam must be installed with a foam gun.
 - Surface areas to be foamed must be cleaned of dust and debris with a rag.
 - Surface areas to be foamed may be misted with water, particularly in cooler temperatures when humidity levels are low to help with adhesion.
 - Spray foam must be installed when the ambient temperature is between 40°F and 100°F, unless spray foam manufacturer recommends other temperatures.
 - Bead size should be no more than 2 inches.
 - 1-part foam should have a Flame Spread rating of 75 or less.
- 2-Part Foam (Figure 21242-3)
 - 2-part spray foam should be installed when the ambient temperature is between 60°F and 90°F unless spray foam manufacturer recommends other temperatures.
 - Spray foam canisters should be brought to 70°F to 80°F before use.
 - Surfaces to be foamed should be cleaned of debris.
 - Should be used on gaps 2 inches or larger.
 - 2-part foam should have a Flame Spread rating of 75 or less.



Figure 21242-1: 1-part spray foam; foam canister is screwed onto a foam gun



Figure 21242-2: 1-part spray foam dispensed through a plastic straw is not permitted in the Weatherization Program

21243 Caulks/Sealants

Caulk should be applied according to the manufacturer's instructions. Caulk should be applied to a smooth, clean, dry surface. It should always be applied in a continuous bead and free of voids, with a smooth and neat appearance. Excess caulk should be removed before it cures.

All openings 3/8 inch to 7/8 inch wide should be filled to within 1/2 inch of the surface with an appropriate packing material specifically manufactured as a packing material prior to caulking. All packing material should be compatible with the type of caulk used.

- Latex/Acrylic/Silicone Hybrids – must conform to ASTM C834
- Acrylic (solvent type), chlorosulfonated polyethylene – must conform to F.S. TT-S-00230C
- Butyl Rubber – must conform to F.S. TT-S-001657
- Low VOC sealants should be used whenever possible.



Figure 21242-3: 2-part spray foam

21244 Packing Materials¹¹

Packing materials used to fill gaps too large for caulks or sealants to seal properly must be flexible closed cell or otherwise nonporous materials that will not absorb moisture and will remain flexible at low temperatures. Packing materials include flexible polyurethane, oakum, butyl rod or similar foam rod stock.

Fiberglass is not to be used as an air sealing material but may be used to stuff larger openings as a backer material with spray foam applied over the top of it. Tops of open wall cavities may also be stuffed with fiberglass which will be dense-packed with insulation.

21245 Air Barrier Materials

The following air barrier materials shall be used for the following conditions.

- Polyethylene
Should have a minimum thickness of 6 mil and be used as an interior barrier material when moisture must be kept out of the conditioned space.
- Spun olefin (*Tyvek, Typar, etc*)
Spun olefin membrane air infiltration barrier should be used when moisture must escape from the conditioned space. These materials are not recommended for use in a location where they remain cool for most of the year, such as the floor above the crawl space or basement ceiling. Water vapor will not move through these materials if they are at or below the dew point temperature.
- Wood or wood composites
Wood or wood composites should be used where flame retardant characteristics are not important. When exposed to moisture or weather, all raw exposed wood must be an exterior grade material and primed on all sides.
- Gypsum board
Gypsum board (drywall) should be used in interior applications where excessive moisture is not a problem and where flame retardant abilities are important. Drywall patches must be taped and at minimum have one finish coat of drywall mud applied. Patches should be sanded and ready to paint.
- Rigid foam board insulation
Air sealing materials such as rigid foam board must be sealed in place with caulk or spray foam to make it air tight. Polystyrene shall conform to ASTM C576. Polyurethane and polyisocyanurate with foil facing shall conform to F.S. HH-1.
- Metal flashing
Metal flashing should be used when high temperature or high moisture is a factor.

213 Attic Insulation

2131 Safety

Comply with fire and electrical safety procedures before insulating.

Non-insulation contact (non IC rated) recessed light fixtures must be enclosed with 5/8 inch Type X gypsum board to prevent overheating and/or fire (Figure 2131-1). Provide a



Figure 2131-1: Recessed light covered with drywall box

¹¹ SWS 3.0101.1c, "Backing, Infill, and Support"

minimum 3 inch clearance between the box and the sides of the fixture. The box should be constructed to a height that will be 4 inches above the installed insulation. Cover the box with gypsum board and seal to the sides of the box. The box is not to be covered with insulation.

If there is insufficient clearance to install the box 4 inches higher than the insulation due to the roof pitch, box shall be equal to the height of the insulation and shall be covered with 5/8 inch Type X gypsum. Attic insulation shall not cover the top of the box. The box shall not be covered with gypsum board if there will be less than inch clearance between the top of the fixture and the gypsum board.¹²

As an alternative to boxing, non-IC rated fixtures may be replaced with IC rated boxes or surface mounted fixtures. New fixtures must include LED lamps.

Alternately, commercially available recessed can covers may be used if they meet the following criteria.

- meet the fire rating requirements of 5/8 inch gypsum board (1 hour rating)
- meet the minimum clearances listed above,
- are non-vented, and
- are non-metallic¹³.
- If recessed lights are certified as Insulation Contact (IC

rated) and air-tight, they may have insulation installed directly over them. The blower door should be utilized to test the air seal of the light. Many times, the light fixture itself still needs to be air-sealed around the perimeter base where it meets the ceiling.

- Spray foam shall not be installed over light fixtures if fixture is IC rated.
- Existing bathroom exhaust fans do not have to be enclosed as described above unless the fans include a heat lamp and/or have incandescent lamps.
- New bathroom exhaust fans installed by the Weatherization Program must be rated such that they may be covered with insulation.
- Seal bypasses around heat producing devices, such as chimneys, B-vents and metal flues, with 26 gauge galvanized metal sealed with high temperature caulk to surrounding framing materials (Figure 2131-2)¹⁴. A “fire block” spray foam is not permitted for this application. Vertical metal used as a barrier around heat producing devices must be securely fastened in such a manner as to not allow the barrier to collapse when insulation is installed (Figure 2131-3). A minimum 3 inch clearance shall be maintained between



Figure 2131-2: Metal barrier around flue sealed with high temperature caulk



Figure 2131-3: Metal barrier around chimney

¹² SWS 3.0102.1, “Sealing Non-Insulation Contact (IC) Recessed Light”

¹³ To prevent condensation within the box

¹⁴ SWS 3.0102.2, “Sealing High-Temperature Devices”

barrier and heat producing device and shall extend a minimum of 4 inches above the finished level of the attic insulation.

- Clearance of insulation from attic furnaces must be provided in accordance with the governing code.
- Ventilated insulation shields should be installed around wood-stove manufactured chimneys.
- Install insulation beneath active knob-and-tube maintaining a three-inch air space between insulation and wiring (Figure 2131-4). Alternately, non-metallic channels or barriers, such as rigid foam board, should be installed to maintain minimum three-inch air space alongside of knob-and-tube wiring (Figure 2131-5).
- Frayed wiring must be repaired before adding insulation. Wiring splices must be enclosed in metal or plastic electrical boxes, fitted with cover plates. Closed electrical junction boxes may be covered with insulation, if marked with flags that are visible above the finished attic insulation level.
- The perimeter of attic fans should be dammed with 1 inch thick nominal common lumber, plywood, metal shielding or minimum 1 inch thick foam board.
- OSHA-approved breather masks must be worn when blowing insulation.

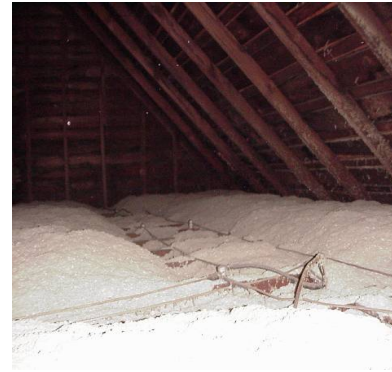


Figure 2131-4: Attic insulation installed under knob-and-tube wiring



Figure 2131-5: Rigid foam board used as barrier next to K&T wiring; floor cavity will be blown with cellulose insulation

2132 Attic Insulation Preparation

21321 Bypasses

Air leakage can significantly degrade the thermal resistance of attic insulation. All attic bypasses as previously described must be sealed before attic insulation is installed. **Where existing attic insulation is present, depressurize the house and check for leaks with a smoke puffer as smoke will be drawn through the insulation. Alternately, consider pressurizing the house with the blower door to help identify attic bypass locations (see section 2121, “Testing”).**

21322 Roof Leaks

All roof leaks must be repaired before insulating attic. If roof leaks cannot be repaired, contact the Weatherization Agency.

21323 Exhaust Fans

All kitchen and bath fans currently venting into the attic must be equipped with backdraft dampers and vented outdoors through roof, gable ends, soffits or eave fascia boards. Appropriate exterior termination kits such as wall caps, roof jacks and eave mounted vents shall also be installed if not present. Fans without operating dampers should be repaired or the fan should be replaced with an ENERGY STAR rated fan. For additional information regarding bathroom exhaust fans and exhaust fan duct installation, see sections 505, “ASHRAE 62.2” and 507, “Exhaust Fan Ducts”.

21324 Top Plates

Existing batt insulation over top plates is not to be compressed with scrap wood or gypsum board. Compressed or ineffective insulation over top plates is to be replaced.

Eliminate wind washing through insulation where soffit venting exists. Block cavity over top plate to prevent blown insulation from falling into soffit and to maximize insulation over top plates (Figure 21324-1). Cavity may be blocked with two-part spray foam (Figure 2122-13), rolled fiberglass insulation or other rigid materials.

Mechanically fasten insulation baffles between foam or blocking and roof sheathing to maintain ventilation passageway. Insulation baffles or blocking material is not to compress insulation.

In rafter cavities where an insulation baffle is not installed or soffit venting is not present, ensure that cavity is blocked with a rigid barrier as described above to prevent over-spill into the soffit area.

Insulation baffles are to be installed only where soffit vents are present. When vented eaves or soffits exist, mechanically fasten insulation baffles in every roof bay that extend above the final insulation level by at least 6 inches. (Figure 21324-2).

2133 Unfinished Attics

21331 Blowing Attic Insulation¹⁵

Efforts shall be made to achieve R49 when attic insulation is installed (Figure 21331-1).

¹⁵ SWS 4.0103.2d, “Installation”



Figure 21324-1: Foam blocking installed over top plates



Figure 21324-2: Soffit chutes extended above insulation



Figure 21331-1: Required attic insulation R-value is a minimum of 49 or the maximum amount with an SIR greater than 1.0



Figure 21331-2: Attic insulation marker

Insulation shall be installed to a uniform depth according to manufacturers' specifications for proper coverage (bags per square foot ratio) to attain the desired R-value at settled density. Contractor shall install attic insulation markers throughout the attic area to ensure that insulation is installed to both a uniform and proper depth (Figure 21331-2). At a minimum, one marker shall be installed for every 300 ft² throughout the attic. Markers shall be affixed to trusses or joists with the numbers a minimum 1 inch in height. Markers shall face such that they can be read from the attic access opening.

Cellulose, blown rock wool or blown fiberglass insulation may be used to insulate unfinished attics. If cellulose insulation is used, it must be treated with boric acid which is used as a fire retardant (termed "borate only").

Note that the R-value of blown fiberglass begins to decrease significantly when the attic temperature drops below 30°F¹⁶ and be reduced by half when the attic temperature is -8°F¹⁷. The loss of R-value is due to establishment of convective air currents in the insulation. This is not a problem with cellulose insulation or fiberglass batt insulation.

Contractors and crews should note the condition of the ceiling finish before blowing cellulose. Cellulose weighs about twice that of blown fiberglass for the same R-value. If the work order calls for cellulose and the ceiling condition is poor, the Weatherization agency should be contacted about using fiberglass.

Do not blow insulation tight against roof deck, particularly over top plates. Cellulose should not be used where it may meet exposed metal roofing.

Dense pack all attic cavities, such as slopes, window bays, flat roofs and attics if not accessible for other installation methods. Install blown cellulose to 3.50 lbs/ft³. Install blown fiberglass to a minimum density of 2.25 lbs/ft³. Access these areas by drilling or removing the fascia board and tube filling each cavity. Ventilation is not needed when dense packing flat roofs.

21332 Floored Attics

Remove attic flooring over joist cavities with live knob-and-tube wiring present and install barrier before insulating floor cavity (see Figure 2131-5). Flooring should be removed at bypass locations for proper air sealing before insulation is installed.

Insulation should completely fill the floor cavity. Install blown cellulose to 3.50 lbs/ft³. Install blown fiberglass to a minimum density of 2.25 lbs/ft³¹⁸.

Flooring boards that have been removed are to be re-installed. With owner permission, flooring boards may be drilled and the cavity filled with blown insulation. Entry holes are to be sealed with plastic or wood plugs.

Dense pack floor insulation should be verified to prevent visible air movement using smoke.

¹⁶ Building Research Council, University of Illinois at Urbana-Champaign, 1991

¹⁷ "Convective Loss in Loose-Fill Attic Insulation", Oak Ridge National Laboratory, 1992

¹⁸ SWS 4.0103.6d, "Installation"

Insulation may be blown over flooring with client's permission. Blowing insulation over the flooring may be done in addition to blowing the floor cavity – not in lieu of blowing the floor cavity (Figure 21332-1).

21333 Batt Insulation¹⁹

Batt insulation must be installed in such a manner to ensure proper fit between ceiling joists. There must be no voids or gaps between batts or between batts and ceiling joists. Insulation must fill joist cavity and provide uniform and complete coverage. If insulation has vapor barrier backing, the vapor barrier shall be toward heated space. When insulation with vapor barrier is installed over existing insulation, the vapor barrier shall either be removed or slashed.



Figure 21332-1: Insulation blown under floor boards and then over floor boards where client storage is not needed

2134 Cathedral Ceilings²⁰

Damaged ceiling areas must be repaired before insulating. Contact Weatherization Agency if ceiling cannot be repaired. Do not insulate cathedral ceiling cavities that contain active knob and tube wiring that have not been tested for safety, thermal bypasses, open electrical boxes, blocking or recessed lighting fixtures.

Access to rafter cavities in cathedral ceilings may be gained through the soffit/fascia or interior ceiling.

Top and bottom of open rafter cavities shall be blocked with fiberglass or other blocking material. Dense pack cavities with cellulose insulation installed to a density between 3.50 lbs/ft³. Blown fiberglass must be blown to a minimum density of 2.25 lbs/ft³ to restrict the movement of air through it.



Figure 2135-1: Attic hatch insulated with foam board; plywood blocking has been insulated with foam board

Interior access holes shall be plugged and sealed such that they can be painted by the client.

Attic ventilation is not needed when dense packing cathedral ceilings.

2135 Attic Access Hatches²¹

If there is no interior access to the attic and access is gained through a gable vent for purposes of insulating, an interior access must be installed for purposes of conducting a final inspection.

Install permanent blocking around the attic access hatch. Use rigid materials such as plywood that will support the weight of a person



Figure 2135-2: Box around retractable attic stairs

¹⁹ SWS 4.0103.1, "Batt Installation"

²⁰ SWS 4.0102.3, "Inaccessible Ceilings – Dense Pack"

²¹ SWS 3.0103.1, "Access Doors and Hatches"

when accessing the attic. The barrier's purpose is to prevent loose-fill insulation from falling out of the attic when the attic hatch is opened.

Attic hatches installed during weatherization should be large enough for a person to pass through and allow for a thorough inspection of the attic. Rough openings must be at least 4 square feet and at least 20 inches in width or length.

Attic access hatches shall be insulated to the same R-value as the adjoining assembly with foam board insulation – hatches are not to be insulated with batt insulation (Figure 2135-1).

Blocking around attic hatch shall also be insulated. Attic insulation blown against and to the top of the blocking will suffice. Foam board may also be used to insulate the blocking if the attic insulation does not insulate to the top of the blocking.

Weatherstrip, other than peel-&-stick foam, shall be used to seal the attic hatch. Latches, sash locks, gate hooks or two ½ inch thick pieces of gypsum board attached to the hatch are to be used to provide positive closure.

Attic hatches must not be permanently sealed and installed in such as fashion as to allow for inspection.

A box shall be built and installed over retractable attic stairways (Figure 2135-2). Hatches shall be insulated to R49 or the maximum R-value structurally allowable up to the R-value of the adjoining insulated assembly. Pull-down stair rough opening will be surrounded with a durable dam that is higher than the level of the attic floor insulation.



Figure 2135-3: Stairwell walls being dense-packed

If attic is accessed by a stairwell and a standard vertical door, dense-pack cellulose insulation should be blown into walls of the stairwell leading to passage door of the unheated attic (Figure 2135-3) as well as the cavity beneath the stairs. Determine if blocking exists to stop insulation from filling other areas by mistake when planning to insulate walls and stairway. Install threshold or door sweep and weatherstrip door.

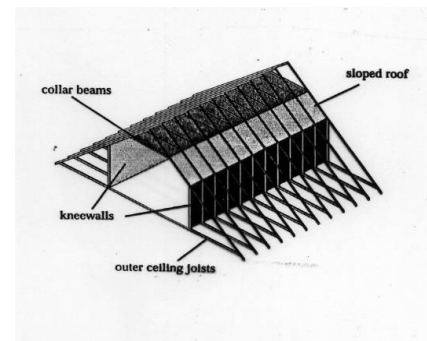


Figure 2136-1 Attic sections

2136 Finished Attics

The finished attic consists of five sections (Figure 2136-1).

- Exterior finished attic walls (end walls of finished attic)
- Collar beams (above finished attic)
- Sloped roof (where wall/roof finish is installed directly to roof rafters)
- Knee walls (between finished attic and unconditioned attic space)
- Outer ceiling joists (between knee wall and top plate of exterior wall)

Attic bypasses shall be sealed before insulating.

21361 Exterior Finished Attic Walls

Insulate exterior finished attic walls per section 214, “Wall Insulation”.

21362 Collar Beams & Outer Ceiling Joists

Insulate collar beams and outer ceiling joists per section 2133, “Unfinished Attics”.

21363 Sloped Roof (roof rafters)

Sloped roofs (roof rafters) shall be tightly stuffed with fiberglass or some other stuffing material at either the top or the bottom of each run. Where possible, insulate sloped roof with dense pack cellulose installed to density of 3.50 lbs/ft³.

If the sloped areas have existing fiberglass insulation, the top and the bottom of each cavity may be sealed and the cavity insulated with dense-pack cellulose.

21364 Knee Walls

Open knee wall cavities may be insulated in one of four manners. One method may be used for closed cavity knee walls.

- Open Cavity – Single Batt
- Open Cavity – Double Batt
- Open Cavity – Spray Foam
- Open Cavity – Dense Packed
- Closed Cavity Knee Wall

Knee walls may also be within the conditioned space. If so, roof rafters shall be insulated rather than the knee walls. See “Knee Wall within Conditioned Space”.

Open Cavity – Single Batt²²

Insulate knee walls with maximum R-value as allowed by stud cavity depth (Figure 21364-1). Extend batt insulation down to bottom plate of knee wall. Ensure that joist cavity beneath knee wall has been air sealed (see section 2122, “Sealing Bypasses”). Insulation shall fit snugly between the studs.

Batt insulation should be installed with the kraft paper installed towards the conditioned space. Batt insulation installed with fibers exposed to the knee wall cavity shall be covered with an air barrier material to prevent convective looping within the insulation and to prevent fiberglass exposure. House wrap material, “belly patch” or ½ inch insulated foam sheathing may be used to cover the insulation (Figure 21364-2).



Figure 21364-1: Knee walls insulated with fiberglass insulation



Figure 21364-2: Fiberglass insulation covered with foam board used as an air barrier

²² SWS 4.0104.2, “Knee Wall – Batt Insulation”

Open Cavity –Double Batt

Knee wall insulation R-value may be increased with the addition of another layer of batt insulation.

- Install first layer of batt insulation as described above but with the kraft paper facing out towards the knee wall cavity.
- Secure insulation by stapling the flanges to the face of the knee wall studs – no inset stapling.
- Install second layer of faced batt insulation horizontal to the first layer of insulation. Kraft paper should face towards the knee wall. Secure second layer of insulation by face stapling insulation flanges to the knee wall studs.
- Enclosed exposed fibers of insulation with a house wrap air barrier as described above.

Open Cavity – Spray Foam²³

Install closed-cell spray foam to back side of knee wall finish. Insulation shall be a minimum 3 inches thick (R18). An air barrier over the insulation is not required.

Separate spray foam from living space with a thermal barrier material (e.g., 1/2" gypsum wallboard) as specified by applicable building code.²⁴ Generally, the interior knee wall finish of drywall or plaster will satisfy this requirement.

If knee wall cavity is used only for the service of utilities, spray foam will be separated from the knee wall cavity using a suitable ignition barrier covering or coating according to manufacturer's specifications.

If knee wall cavity is used for storage or occupancy, spray foam will be separated from the attic space using a thermal barrier material (e.g., 1/2" gypsum wallboard) as specified by applicable building code and manufacturer specifications.

Open Cavity - Dense Packed²⁵

Close-in knee wall studs with house wrap material, “belly-patch” or minimum ½ inch insulated foam sheathing using plastic-ring head nails. Space nails no more than 3 inches apart. Secure material to top and bottom of knee wall to keep insulation in knee wall. If necessary, install additional horizontal or vertical strapping to secure material to studs prior to dense packing. Polyethylene or similar vapor barrier material shall not be used for knee wall enclosure.

Cut holes in knee wall material and insulate with dense pack cellulose (3.5lbs/ft³) or fiberglass (2.25 lbs/ft³) – Figure 21364-3.

²³ SWS 4.0104.5, “Knee Wall – SPF With No Existing Insulation”

²⁴ SWS 4.0104.2f, “Ignition and Thermal Barriers”

²⁵ SWS 4.0104.1, “Knee Wall – Dense Packing”

Closed Cavity - Knee Wall

Insulate closed cavity knee walls per section 214, “Wall Insulation”.

Knee Wall within Conditioned Space²⁶

Insulate rafter cavity with maximum R-value as allowed by rafter cavity depth when space behind the knee wall is considered part of the conditioned space. The attic floor cavity over the top plate must be air sealed and insulated to connect the thermal boundary from the sidewalls to the roof (Figure 21364-4). Use rigid foam board or 2-part spray foam insulation.

21365 Knee Wall Hatches

The access should be properly framed, be as wide as the knee wall stud cavity and be a minimum 20 inches high. The access cover should be a durable, rigid material and securely attached with appropriate hardware to provide recurring access. Access hatch should be weatherstripped with something other than peel-&-stick foam. Hatches should be insulated to the same R-value as the knee walls with a minimum of R-value of 13. Batt or foam board insulation may be used. Window casing may be used as interior trim around hatch opening. Joints in the casing should be caulked prior to painting.

Existing knee wall access hatches should be weatherstripped (no peel-&-stick foam) and insulated with a minimum of R13 batt or insulated foam board (Figure 21365-1). A new access cover of a durable rigid material should be installed if necessary.

Hatches should be installed in such a fashion as to allow for inspection.

2137 Attic Venting^{27, 28}

Installing attic ventilation or increasing attic ventilation is an optional measure and is left to the discretion of the Weatherization Agency. There may be instances where local code will require that additional attic vents be installed.

There are very few reasons to install attic ventilation. The actual color of the roofing medium or shingles has the most impact on solar heat gain or reflection. The focus should be on controlling indoor relative humidity issues and sealing attic bypasses rather than calculating vent area and



Figure 21364-3: Knee walls being dense-packed with cellulose



Figure 21364-4: Connecting roof thermal boundary to sidewall thermal boundary with rigid foam board insulation; 2-part spray foam will also work



Figure 21365-1: Knee wall hatch insulated and weatherstripped

²⁶ SWS 4.0102.3, “Inaccessible Ceilings – Dense Pack”

²⁷ The following findings are taken from “Venting of Attic and Cathedral Ceilings” by William B. Rose and Anton TenWolde from the ASHRAE Journal, October 2002.

²⁸ SWS 4.0188.2, “Unconditioned Attic Ventilation”

determining vent locations. If attic vents are included as part of an overall attic air sealing/insulation strategy, the following guidelines are to be met.

- Vent devices are not to permit rain or snow to enter the attic.
- Ridge vents are not to be installed on hip rafters.
- The structural integrity of a roof system should not be compromised for the sake of installing attic ventilation.
- Venting in an attic does not make it acceptable to terminate bathroom, kitchen or dryer vents in the attic.
- If roof vents must be installed, an effort is to be made to install them on the least visible roof surface.
- Attic vent types will be made of corrosion resistant material for their specific location.
- Attic vents will have screens with non-corroding wire mesh openings of 1/16 inch to ¼ inch to prevent pest entry.

Note that the installation of attic vents may be called for on the work order if an attic fan is present and there are insufficient vents for make-up air when the fan is operating.

2138 Attic Insulation Certificate

Contractors and crews installing blown-in insulation must permanently fasten to the roof side of the attic access (or other accessible location specified by the Weatherization Agency) a signed certificate that attests to the company name, date installed, insulation brand name, R-value added, square footage, thermal resistance chart, conformance to federal specifications and the number of bags installed in the attic.



Figure 2138-1: Attic insulation marker

Attic insulation markers shall be placed in locations throughout the attic such that insulation depth and uniformity of coverage can be inspected (Figure 2138-1). At a minimum, one marker shall be installed for every 300 ft² throughout the attic. Markers shall be affixed to trusses or joists with the numbers a minimum 1 inch in height. Markers shall face such that they can be read from the attic access opening.

Contractor shall install flags at all utility junction boxes that can be seen above the final level of the insulation.²⁹

Contractor shall post a signed and dated receipt that minimally includes installed insulation type, coverage area, installed thickness, and installed R-value for all attics³⁰.

²⁹ SWS 4.0103.2c, "General Preparation"

³⁰ SWS 4.0104.2g, "Insulation – Onsite Documentation"

214 Wall Insulation³¹

2141 Wall Insulation Preparation

Inspect walls for evidence of moisture damage. If existing condition of the siding, sheathing or interior wall finish indicates an existing moisture problem, contact Weatherization Agency.

- Inspect indoor areas on exterior walls to assure that they are strong enough to withstand the application process. Contact Weatherization Agency if problems are found on walls that would prevent sidewall insulation from being installed.
- Inspect wall cavities for active knob-and-tube wiring. Wall cavities that contain active knob-and-tube wiring are not to be insulated.
- Gaps in exterior window trim and other areas that may leak water into the wall must be sealed.
- Seal interior openings from which insulation may escape, such as pocket doors, balloon framing and unbacked cabinets, soffits, and closets.
- Remove siding and drill through sheathing. If siding cannot be removed, contact Weatherization Agency.
- Asbestos siding may be removed (Figure 2141-1). Decision to remove asbestos siding should be made on a home-by-home basis considering condition of siding. Precautions shall be taken so as not to damage siding. Asbestos siding should never be cut or drilled. If possible, insulate walls from the interior (see next bullet point).
- Insulation may be installed from the interior after written approval from the homeowner is obtained by the Weatherization Agency. Interior holes drilled for insulation must be finished, primed and made ready for painting by the client.
- Wall cavities must be probed to identify fire blocking, diagonal bracing or other obstacles. Drill additional holes as necessary to ensure complete coverage.
- Pulley wells no longer used for window operation must be packed with insulation. Holes may be drilled through the jamb and sealed with plugs following installation of insulation.
- Blowing machine pressure test will be performed with air on full, feed off, agitator running and gate closed. Hose outlet pressure should be at least 96 *IWC* or 3.5 *psi* for cellulose insulation; for other types of *dense pack* insulation, check manufacturer specification for blowing machine set up.



Figure 2141-1: Asbestos siding that has been removed

2142 Dense-Packed Wall Insulation - Cellulose

- Contractors and crews installing dense-packed cellulose wall insulation must be certified to do so by the Illinois Weatherization Program.³²



Figure 2142-1: Dense-pack cellulose being installed

³¹ SWS 4.0202.1, “Dense Pack Insulation”

- Install insulation in accordance with the manufacturer's recommended application procedure.
- Drill minimum two- to three-inch diameter holes to access stud cavities. Avoid drilling holes in vicinity of electrical outlets and switches.
- Dense-packed wall insulation is best installed using a blower equipped with separate controls for air and material feed. The recommended insulation blower takeoff pressure should be at least 3.5 pounds per square inch at the exhaust port (96 inches of water column).
- Cellulose insulation must be blown to a minimum of 3.50 pounds per cubic foot density (Figure 2142-1). This minimum density translates into just over one pound per square foot in a two-by-four wall cavity. Blowing cellulose insulation this densely requires a fill-tube. An eight-foot cavity should hold a minimum of 10 pounds of insulation³³.
- The fill tube should be 1 inch or 1 ¼ inch inside diameter tubing with the appropriate stiffness for the job and outdoor temperature.
- Fill-tubes should be marked with one-foot intervals to verify the correct penetration of the tube into the wall.
- Except as previously noted, fill all wall cavities. In some cases, wall cavities close to critical framing junctures will take more insulation to plug and fill, which is often necessary to assure proper air sealing of the house.
- All wall cavities shall be completely filled with insulation leaving no voids.
- Cut additional holes above or below stud cavity obstructions if necessary to fill cavity.
- Seal the holes with expandable foam or stuff tightly with fiberglass and cover with sheathing tape. Cover the hole with adhesive backed roofing paper, such as "ice & water shield" (Figure 2142-2). Attach with minimum two staples to hold in place. Tapered wood or plastic plugs may also be used.
- Dense pack insulation will be verified to prevent visible air flow at 50 pascals of pressure difference.



Figure 2142-2: Hole sealed with sheathing tape

Two-hole method

If the interior wall finish is too weak for dense-pack installation, the two-hole method is permitted only if approval is received in advance of the work from the Weatherization Agency. Examples of weak interior finish include plaster and lath in poor condition, drywall that is less than 1/2" thick and in poor condition and wall paneling used as the interior finish.

- Drill 2 one-inch diameter holes into each stud cavity.

³² Contractor certification for dense-packed cellulose installation is an ongoing Program by IHWAP. Non-certified contractors and crews can continue to install dense-packed cellulose but must become certified as soon as feasibly possible.

³³ Start with several full height, unobstructed wall cavities to measure the insulation density and adjust the machine settings. Start with an empty hopper. Fill the hopper with a bag with a known weight. An eight-foot cavity should consume a minimum of 10 pounds of insulation. For most insulation brands, the hopper will empty of insulation just before the third 8 foot wall cavity is full, assuming about 3.5 pounds per cubic foot density.

- Holes are to be located no more than 2 feet between the top plate and the top holes; 2.5 feet between the bottom plate and bottom holes.
- Examine wall cavity with wire probes or steel tape to determine location of cavities around window and door areas.
- Insulation to be installed in accordance with manufacturer's recommended application procedures.
- All wall cavities shall be completely filled with insulation leaving no voids.
- All wall cavities around windows and doors are to be filled with insulation.

2143 Dense-Packed Wall Insulation – Fiberglass

- Contractors and crews installing dense-packed fiberglass wall insulation must be certified to do so by the Illinois Weatherization Program.
- Access to wood frame sidewalls shall be per section 2141, "Wall Insulation Preparation".
- Install insulation in accordance with the manufacturer's recommended application procedures.
- Dense-packed fiberglass wall insulation must be installed to a minimum density of 2.25 pounds per cubic foot density. One 30 pound bag should fill 5 typical 2" x 4" x 8' stud cavities to achieve this density.
- Drill minimum two- to three- inch diameter holes to access stud cavities. Avoid drilling holes in vicinity of electrical outlets and switches.
- The fill tube should be 1 inch or 1 ¼ inch inside diameter tubing with the appropriate stiffness for the job and outdoor temperature.
- Cut additional holes above or below stud cavity obstructions if necessary to fill cavity. Seal the holes with expandable foam or stuff tightly with fiberglass and cover with sheathing tape. Cover the hole with adhesive backed roofing paper, such as "ice & water shield". Attach with minimum two staples to hold in place. Tapered wood or plastic plugs may also be used.



Figure 2144-1: Injection foam being used to insulate wood frame wall

2144 Injection Foam

- Contractors and crews installing injection foam wall insulation must be certified to do so by the insulation manufacturer.
- Documentation of the "Test Box" weight, and "Break Test" shall be submitted to the Weatherization Agency with invoicing documents.
- Access to wood frame sidewalls shall be per section 2141, "Wall Insulation Preparation".
- Install insulation in accordance with the manufacturer's recommended application procedures (Figures 2144-1 and 2).
- Stud cavities shall be completely filled with no voids or gaps.



Figure 2144-2: Injection foam used to insulate brick veneer wall

- Air space between brick veneer and exterior wall sheathing shall not be filled with foam.
- Walls with existing batt insulation may be insulated with injection foam.
- Access to fur cavity in masonry buildings may be gained by drilling through the interior finish. Holes must be finished and made ready for painting by the client (Figure 2144-3).



Figure 2144-3: Holes sealed and ready for painting

2145 Bandjoist Insulation

The bandjoist is the area between floors in a multi-story home. The bandjoist should be included as part of a sidewall insulation retrofit. Only those parts of these floor cavities that border the exterior must be insulated.

In platform-framed buildings, these cavities must be accessed from the rim or bandjoists. In balloon framed buildings, these cavities are usually open to the walls, allowing access from the rim or bandjoists and also from the wall cavities above or below these floor cavities. The R-value of the insulation in these floor cavities must be at least equal to the R-value of the insulation installed in the adjacent wall cavities.

Follow “Preparation” guidelines as described in section 2141, “Wall Insulation Preparation”. Pay particular attention to location of light fixtures, exhaust fans, wiring and ductwork located in ceilings between floors.

- Remove exterior finish material as described above in section 2141, “Wall Insulation Preparation”.
- Drill 2 inch or 2-1/2 inch diameter holes to access each cavity between ceiling joists.
- Insert nozzle into *Insul-Bag* (or similar product) and fill bag (Figure 2145-1).
- Alternately, insert hose nozzle in cavity. Reduce air setting and raise flow on the hopper. Spray insulation into cavity. The objective is to create an “insulation plug” in the ceiling cavity usually within 3 feet to 4 feet from the bandjoist. Alternately, a 90° nozzle may be inserted into the cavity. An “insulation plug” will be created closer to the bandjoist by spraying insulation up against the subfloor.
- Joist cavities on the remaining two sides of the home (where joists are parallel to bandjoist) should be completely filled with insulation. Insert rigid fill tube half the width of the cavity. Pack the joist cavity with insulation.

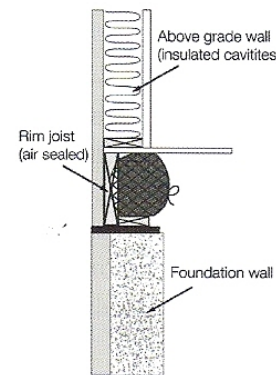


Figure 2145-1: *Insul-Bag* used to insulate bandjoist.

2146 Open-Cavity Wall Insulation³⁴

Batt insulation must be cut to the exact length of the cavity. Each wall cavity should be completely filled with batt insulation.

- If possible, use unfaced friction-fit batt insulation. Fluff to fill entire wall cavity.
- Staple faced insulation to outside face of studs - no inset stapling.
- Split batt around wiring rather than letting the wiring bunch the batt to one side of the cavity.
- Insulate behind and around obstacles with scrap pieces of batt or spray foam before installing batt.
- Install vapor retarder if required. Vapor retarder shall have a perm rating less than one on the warm in winter side of the insulation. Vapor retarder should be well fastened at all seams and edges.
- Installed fiberglass insulation exposed to the interior living space must be covered with minimum 1/2-inch drywall or other material that has an ASTM flame spread rating of 25 or less.

2147 Completion of Wall Insulation³⁵

Ensure that no insulation dust or debris have been left in or around the house.

Duct system shall be inspected to assure that ducts are free of insulation. Turn on air handler and look for signs of insulation.

Provide information on the wall insulation application levels (R-value, quantity of insulation, etc.) required by the certificate of insulation to be given to the client.

215 Crawl Space Insulation

The thermal boundary of a crawl space in site built homes can either be the foundation walls or the floor above the crawl space.

The floor is always the thermal boundary in mobile homes. The thermal boundary in manufactured homes can either be the foundation walls or the floor. The distinction is that mobile homes are not on a permanent foundation. Manufactured homes, though built in a factory, are placed on permanent foundations such as concrete block or poured concrete. In this respect, they are very similar to site built homes.

The following items are required regardless of the location of the crawl space thermal boundary.

- Exhaust fans that vent into a crawl space must be ducted to the outside before crawl space insulation is installed. See section 507, “Exhaust Fan Ducts”.
- An effective ground moisture barrier must be present or one should be installed as part of weatherization, regardless if the crawl space will be insulated (see section 2154, “Ground Moisture Barrier”, for exceptions.)
- Install a durable (minimum of 10-year service life), easily seen sign, sized a minimum of 8.5"x 11" at each access to the space. Sign shall minimally include the following items³⁶:

³⁴ SWS 4.0201.2, “Batt Insulation”

³⁵ SWS 4.0202.1h, “Insulation – Onsite Documentation”

- Warning to prohibit storage of hazardous and flammable materials.
- Caution not to damage the ground vapor retarder, air barrier, insulation, and mechanical components specific to the space.
- Immediate repairs are needed in the case of damage.

2151 Crawl Space Foundation Insulation

Crawl space foundation walls are not to be insulated unless existing crawl space moisture problems can be corrected. Contact the Weatherization Agency if existing moisture problems are found.

Extruded polystyrene and polyisocyanurate insulation are the most appropriate insulation types for flat concrete or concrete block walls (Figure 2151-1)³⁷. Rigid foam board insulation used for foundation wall insulation shall be a minimum R10 and should extend from the top of the foundation wall down to the crawl space floor.

Two-part spray foam is also an option for insulating foundation walls and care must be taken to assure that the proper thickness is obtained (Figure 2151-2)³⁸. 2-part foam insulation shall be a minimum R14 (2 inches thick).

One inch of 2-part foam may be used as an air sealing measure if the foundation material is brick, block or stone. This measure is not acceptable for poured concrete foundations.

If crawl space is used only for the service of utilities, insulation shall be separated from the space using a suitable ignition barrier covering or coating according to manufacturer's specifications³⁹.

If crawl space is used for storage or occupancy, shall be separated from the space using a thermal barrier material (e.g., 1/2" gypsum wallboard) as specified by applicable building code and manufacturer specifications. See section 202, "Ignition and Thermal Barriers", for further guidance.

Insulation may be left exposed without an ignition barrier or thermal barrier if specifically approved for such installation.

Fibrous insulation is not to be used for crawl space foundation wall insulation.



Figure 2151-1: Foil-faced rigid foam board on foundation walls, vents sealed and continuous and sealed



Figure 2151-2: Two-part spray foam applied to foundation wall with ground cover

³⁶ SWS 2.0202.1h, "Signage"

³⁷ SWS 4.0402.2, "Closed Crawlspace – Rigid Foam Insulation"

³⁸ SWS 4.0402.3, "Closed Crawlspace – SPF Insulation"

³⁹ SWS 4.0402.3i, "Ignition and Thermal Barriers"

Existing foundation vents are to be sealed. If foundation vents cannot be sealed, contact Weatherization Agency. Foundation wall insulation is not to be installed unless the crawl space vents can be sealed.

- Air sealing the foundation wall is to be completed before foundation insulation is installed.
- A ground air-moisture barrier shall be installed that extends up the foundation walls at least 6 inches. The barrier shall be sealed to the foundation walls with an appropriate sealant. See section 2154, “Ground Moisture Barrier.”
- If water seepage through foundation is suspected, barrier may be installed up to and attached to the sill plate. Barrier must be continuous from ground to sill plate to prevent water from draining through it. Seams shall be minimized.
- Overlap seams at least 12 inches using reverse or upslope lapping technique and seal with acoustical sealant or 3M #8086 builders’ tape or equivalent. Seams are not to be sealed with spray foam.
- Insulation should be attached to the entire wall surface with appropriate fasteners.
- Install insulation with no significant voids or edge gaps.
- If heating system is located in crawl space or combustion air is drawn from the crawl space, precautions must be taken to assure that adequate combustion air is available (see section 31155, “Combustion Air”). Consideration should be given to insulating the floor above the crawl space if a combustion appliance is located within the crawl space or if combustion air cannot be drawn directly from the exterior (Figure 2151-3).
- Exposed pipes and ducts are to be insulated if combustion air is provided to a heating system located in the crawl space.
- Exhaust fans or dryer vents that terminate in a crawl space must be ducted to the outside before insulating the foundation wall (see section 507, “Exhaust Fan Ducts”).



Figure 2151-3: Combustion air intake from crawl space; floor above crawl space is thermal boundary

2152 Crawl Space Floor Insulation

Floors above crawl spaces may be insulated if they form the thermal boundary.

All appropriate measures shall be taken to establish an effective air barrier at the floor, to prevent air from passing through or around the insulation (see section 2122, “Sealing Bypasses”).

- As the floor above the crawl space is the thermal boundary, foundation vents may be ignored except where required to provide combustion air to combustion appliances located in the crawl space. If combustion appliances are located in the crawl space, vent sizes shall be checked to assure adequate combustion air supply (see section 31113, “Combustion Air”).
- **Insulation must contact subfloor to prevent convection above the insulation.**

Crawl space floor joist cavities may be insulated in one of four manners.

- Batt insulation
- Spray foam
- Dense Pack with Rigid Barrier

- Loose Fill with Netting

*Batt insulation*⁴⁰

Batt insulation used to insulate floor joist cavity should be the maximum R-value structurally allowable by the floor framing (Figure 2152-1). Kraft faced batts must be installed with the kraft facing the subfloor. **Unfaced batt insulation is not allowed.**

Batt insulation must be securely fastened to framing with insulation hangers or other supporting material. Friction fitting or stapling of floor insulation are not appropriate methods. The following methods are acceptable.

- Wood lath and galvanized nails may be used to hold the insulation in place with a maximum spacing of 18 inches on center.
 - Twine used to hold the insulation in place must be made of polypropylene, nylon or polyester with a breaking strength of at least 150 lbs and 12 inch maximum spacing between anchor points on the same joist (Figure 2152-2).
 - Wire used to hold the insulation must be zinc coated, stainless or similar corrosive resistant material with a minimum diameter of .035". Wire must be spaced no more than 18 inches apart. Supports and anchors must be zinc coated, stainless steel or similar corrosion resistant material.
 - Wire hangers may also be used if spaced no more than 18 inches on center and have a minimum thickness of .090 inches. The hanger ends must penetrate the floor joist at least ½ inch.
 - Other approved netting or fabric, such as plastic fencing
- Insulation supports shall not compress insulation by more than one inch (Figure 2152-3).
 - Insulation shall be fitted tightly around cross bracing and other obstructions.
 - Batt insulation shall be installed with the facing placed up towards the floor sheathing
 - Ensure that floor insulation is in direct contact with rim joist. If balloon framed, air seal stud cavities prior to installing insulation.
 - Insulation shall be installed without voids or edge gaps.
 - Exposed pipes and ducts must be insulated.



Figure 2152-1: Insulation should fill floor cavity



Figure 2152-2: Twine used to hold batt insulation in floor above crawl space



Figure 2152-3: Compressed insulation due to insulation support

⁴⁰ SWS 4.0301.1, "Batt Insulation"

- Install a ground air-moisture barrier per section 2154, “Ground Moisture Barrier.”

*Spray foam*⁴¹

Two-part spray foam insulation may be used to insulate the floor. Spray foam insulation must provide a minimum 3 inches (R18) against the floor deck. A minimum of 1 inch spray foam must encapsulate (sides and bottom) the floor joists and cross bracing or blocking. All members of open web floor joists shall also be encapsulated with a minimum of 1 inch foam.

A thermal barrier is required if the crawl space can be used as auxiliary living space or used for storage. Ignition barriers are required whenever the crawl space is not or could not reasonably be used as an auxiliary living space or for storage. Criteria may include difficulty of entry (for example, a hatch or opening not easily accessible)⁴².

*Dense Pack with Rigid Barrier*⁴³

A rigid air barrier must be mechanically fastened to the underside of the floor framing system. Seams and penetrations shall be sealed. Dense pack insulation shall completely fill the floor cavity. Cellulose shall be installed at a minimum density of 3.5 #/ft³ and fiberglass shall be installed at a minimum density of 2.25#/ft³. All holes made for insulation installation and other penetrations shall be sealed.

Install a ground air-moisture barrier per section 2154, “Ground Moisture Barrier.”

*Loose Fill with Netting*⁴⁴

Use insulation manufacturer approved netting or fabric and install to underside of floor framing per insulation manufacturer’s recommendations. Fill floor cavity to manufacturer’s recommended density to achieve desired R-value. Floor cavity must be completely filled with insulation.

Install a ground air-moisture barrier per section 2154, “Ground Moisture Barrier.”

2153 Crawl Space Access

Crawl space access hatches from conditioned areas to unconditioned areas should be weatherstripped and insulated to a minimum of R10. Peel-&-stick weatherstrip is not permitted to be used on crawl space hatches (Figure 2153-1). Access covers must be easily removable for entrance into the crawl space (Figure 2153-2).



Figure 2153-1: Peel & stick weatherstripping is not permitted

⁴¹ SWS 4.0301.5, “SPF in Open Joisted Cavities”

⁴² SPFA-126, “Thermal Barriers and Ignition Barriers for the Spray Polyurethane Foam Industry”

⁴³ SWS 4.0301.4, “Dense Pack in Joisted Cavities with Rigid Barrier”

⁴⁴ SWS 4.0301.2, “Loose Fill with Netting/Fabric in Joisted Cavities”

Outside access hatch shall be securely attached to foundation wall and insulated to minimum R10 and weatherstripped if foundation walls form the thermal boundary. Positive closure (latch, sash locks, gate hooks, barrel bolts, etc) shall be installed to provide substantially airtight closure.

2154 Ground Moisture Barrier^{45,46}

Ground moisture barriers are required regardless of the crawl space thermal boundary location. They are also required whether or not the crawl space will be insulated. The following are exceptions.

- The crawl space is not accessible,
- The crawl space is supported on piers (Figure 2154-1), and
- Mobile homes.

Ground moisture barriers may be added to help solve an existing moisture problem regardless of the exceptions.

Crawl space moisture can lead to condensation, mold and rot. Air passing through the soil can contain radon and pesticides. Covering the ground with an airtight moisture barrier establishes an air barrier and seals out moisture and soil gases.

Ground moisture barriers should be minimum 6 mil polyethylene plastic (Figure 2154-2). Complete or partial coverage of ground moisture barriers will depend on the accessibility and working conditions in the space. If the entire crawl space floor is not accessible, cover as much as possible.

- Ground moisture barriers shall be installed and sealed in accordance with ASTM E1643 and manufacturer's recommendations.
- Ground moisture barriers must meet tear and puncture resistance standard ASTM E1745.
- Cover the ground completely with a ground moisture barrier without voids or gaps.
- When ground moisture barrier is installed on sloping ground or accessed for routine maintenance or storage it shall be fastened to ground with durable fasteners or ballast(s).
- Where HVAC equipment is located in the crawl space, the ground cover between the access opening and equipment shall be protected with a vinyl runner or other mat-like product.
- Extend air-moisture barrier up foundation wall a minimum of 6 inches. Seal ground moisture barrier to foundation wall with acoustical sealant, 2-part spray foam or another



Figure 2153-2: Crawl space access hatch; weatherstripped and easily removable



Figure 2154-1: Crawl space supported on piers



Figure 2154-2: Minimum 6 mil ground cover; sealed to foundation wall with 2-part foam

⁴⁵ SWS 2.0202.1, "Unvented Subspaces – Ground Cover"

⁴⁶ SWS 2.0202.2, "Vented Subspaces – Ground Cover"

effective adhesive. Furring strips can be used to further secure ground cover to foundation wall.

- Seal ground moisture barrier to foundation before installing insulation.
- Overlap ground moisture barrier at least 12 inches and seal seam with acoustical sealant or 3M #8086 builders' tape or equivalent. Seams are not to be sealed with spray foam.
- Seal the ground moisture barrier to concrete footings with acoustical sealant or another effective adhesive.
- Duct tape may also be used to temporarily seal the ground cover to the foundation wall and to seal joints between sheets. Embed the duct tape in duct mastic assuring that the mastic extends a minimum of 3 inches beyond the edge of the duct tape. Duct tape by itself may not be used to seal ground cover to foundation walls or joints between sheets.
- Air conditioner condensate lines draining into to crawl space must drain to the outside or below the ground moisture barrier. The opening around the condensate line and ground moisture barrier must be well sealed to prevent condensate from collecting on top of the ground moisture barrier (Figure 2154-3).



Figure 2154-3: Condensate line draining on top of ground moisture barrier

2155 Crawl Space Ventilation

Installing crawl space vents is a non-allowable weatherization measure, unless needed to provide adequate combustion air to combustion heating appliances located there. If combustion air to the heating appliance is taken from the crawl space, see product manufacturer's instructions for correct combustion air intake size. See section 31113, "Combustion Air", for additional information.

Crawl space ventilation will not solve typical moisture problems found in crawl spaces. The source of the moisture must be identified and, if possible, corrected.

Vents in crawl spaces with the foundation wall being the thermal barrier may be sealed with rigid insulation and a metal finish (Figure 2155-1).

Vents should not be sealed in crawl spaces with heating appliances unless adequate provisions for combustion air are provided. Vents may be installed in crawl spaces that have combustion heating systems if there are no vents or if the vents are not properly sized for combustion air. Vents should be non-operable and the client should be informed that the vents are to remain open.



Figure 2155-1: Insulated vent with metal cover.

216 Basement Insulation⁴⁷

Basements that show signs of groundwater leakage should not be insulated.

Basement wall insulation should be a minimum R10. Basement walls may be insulated with rigid foam board, batt insulation or spray foam. Insulation should be continuous from the top of the basement wall down to the basement floor.

If space is used only for the service of utilities, insulation shall be separated from the space using a suitable ignition barrier covering or coating according to manufacturer's specifications.

If space is used for storage or occupancy, insulation shall be separated from the space using a thermal barrier material (e.g., 1/2" gypsum wallboard) as specified by applicable building code and manufacturer specifications⁴⁸.



Figure 2162-1: Vinyl faced fiberglass insulation

2161 Rigid Foam Board Insulation

- Rigid foam board insulation may be installed directly to the basement wall with mechanical fasteners and insulation compatible adhesives (Figure 2161-1).
- Joints and seams in the insulation should be sealed with sheathing tape to form an air seal.
- A continuous bead of sealant should be used to seal the top and base of the insulation board to the foundation.
- Sealant should also be used to seal the insulation to foundation around windows and doors.
- Extruded or expanded polystyrene must be covered with a material that has an ASTM rating of 25 or less. Vertical edges of the insulation may be routed to accept a 1 inch x 2 inch or 1 inch x 3 inch furring strip. The furring strips may be used to help secure the insulation to the basement wall with power driven masonry nails. The fire barrier rated material may be attached to the furring strips.
- Wood furring strips and gypsum board (if used) shall be held off the basement floor by a minimum 1 inch to prevent capillary action from the basement floor.



Figure 2161-1: Rigid foam board basement wall insulation

2162 Batt Insulation

- 3 inch or 6 inch thick, vinyl-faced (both sides), metal-building fiberglass insulation sometimes referred to as “basement blanket” or “perimeter wrap” may be used (Figure 2162-1). The insulation is installed horizontally along the wall and attached to furring strips. Ensure that the vinyl facing meets the flame spread rating.

⁴⁷ See SWS 4.1402.2, “Basement Wall Insulation – No Ground Water Leakage”

⁴⁸ SWS 4.0402.4i, “Ignition and Thermal Barriers”

- Window and door openings should be furred-out. The insulation should be attached and sealed with sheathing tape. Joints between pieces of the insulation should also be sealed with sheathing tape.
- Note that condensation may occur on the basement walls with this technique if the insulation is not well sealed and the basement is subject to high moisture loads.
- Insulation will remain vapor semi-impermeable to the interior when batt insulation is installed.

2163 Spray Foam Insulation

- One inch of spray foam may be used as an air sealing measure if the foundation material is brick, block or stone. This measure is not acceptable for poured concrete foundations. Minimum two inch spray foam may be used for insulating foundation walls. Foam shall be applied to a thickness that will obtain a minimum R14.

217 Rim Joist Insulation

Penetrations in rim joist must be sealed before insulating. Two-part spray foam is recommended for air sealing and insulating the rim joist. Rigid foam board may also be used, but the insulation must be foamed in place to provide an air seal. Kraft, foil-faced, vinyl faced and unfaced batt insulation are not permitted (Figure 217-1).

Joist cavities that are parallel to the foundation wall may be sealed and blown with wall insulation unless moisture is present. Stud cavities in balloon framed homes must be air sealed before insulating the rim joist.

2171 Two-Part Spray Foam⁴⁹

Provide minimum 1 inch thick spray foam (R7) when air sealing. A minimum 2" thick spray foam (R14) shall be used when insulating the rim joist.

Foam shall make a good seal between the subfloor and rim joist and between the rim joist and sill plate. Spray foam shall also extend down past the sill plate to foundation wall (Figure 2171-1). Faced batt insulation may be installed over the two-part spray foam to increase the R-value of the rim joist.

If foam is no more than 3 1/4" thick, is between 0.5 and 2.0 lb/ft³ in density and has a flame spread/smoke development index of 25/450 or less when tested in accordance with ASTM E84 or UL 723, no thermal barrier is required⁵⁰.

If foam is thicker than 3 1/4", does not meet the flame and smoke index, or is not between 0.5 and 2.0 lb/ft³ density,



Figure 217-1: Batt insulation is not permitted to be used for rim insulation



Figure 2171-1: 2-part spray foam on rim joist

⁴⁹ SWS 4.0401.1, "SPF Insulation"

⁵⁰ SWS 4.0301.1f, "Ignition and Thermal Barriers"

separate foam from the subspace with a suitable thermal barrier covering or coating as indicated in manufacturer's specifications and applicable building code.

2172 Rigid Foam Insulation⁵¹

Provide a minimum R10 rigid insulation. Insulation board should be placed firmly against rim joist. Insulation should be cut to fit tightly between floor joists and between subfloor and sill plate. Perimeter of insulation should be caulked or foamed to the floor joists, subfloor and sill plate (Figure 2172-1). Both extruded polystyrene and foil-faced polyisocyanurate may be used.



Figure 2172-1: Rigid foam board sealed in place with 2-part spray foam

If foam is no more than 3 1/4" thick and the space is not permanently habitable no thermal barrier is required.⁵²

If foam is thicker than 3 1/4", doesn't meet the flame and smoke index, or is of less than 0.5 lb/ft³ density, or the space is permanently habitable, separate foam from the subspace with a suitable thermal barrier covering or coating as indicated in manufacturer's specifications and applicable building code.

218 Windows

Windows were once thought to be a major air leakage problem. However, the gaps and holes in a home's air barrier are usually much more significant than air leakage around windows and doors. Consequently, window and door air sealing has been deemphasized as part of weatherization.

The following air sealing measures are done when identified with the blower door.

2181 Air Sealing⁵³

Window air sealing measures should be accomplished using lead-safe weatherization practices (see section 513, "Lead Safe Weatherization Practices").

21811 Caulking

- Remove loose or brittle material before caulking.
- If crack is deeper than 5/16 inch, install backer rod before sealing with caulk. Backing material includes flexible polyurethane, neoprene butyl rod, fiberglass or sponge rubber.
- Use sealants with rated adhesion and joint movement characteristics appropriate for both the window frame and the building materials surrounding the window. Caulking should be applied in a manner that seals the area thoroughly and is neat in appearance.

⁵¹ SWS 4.0401.3, "Rigid Insulation"

⁵² SWS 4.0401.3f, "Ignition and Thermal Barriers"

⁵³ SWS 3.0201.1, "Window Air Sealing"

21812 Weatherstripping⁵⁴

- Large gaps between sash and sill and sash and stops may be weatherstripped. Meeting rails may also be weatherstripped or planed.
- Weatherstripping is to be secured by nails or staples, form a permanent airtight seal and not obstruct the operation of the sash.

2182 Exterior Storm Windows⁵⁵

Metal exterior storm windows shall have the following qualities.

- Frame should have sturdy corners and not tend to rack out-of-square during transport and installation.
- The gasket sealing the glass should surround the glass edge and not merely wedge the glass in place against the metal frame.
- Storm window sashes must fit tightly in their frames.
- The window should be sized correctly and fit well in the opening.
- Storm windows shall be caulked around the frame at time of installation except for weep holes that shall not be sealed. If weep holes are not manufactured into new storm window, weep holes shall be drilled into them.
- Storm window sashes must be removable from indoors.
- Wood storm window inserts shall fit neatly within window frame with the appropriate turn buttons, latches or closing hardware.
- Fixed storm windows shall not restrict the exiting capacity and access required for emergency exits.

2183 Window Repair

Window repairs associated with high air leakage may be considered as air sealing measures.

All raw wood exposed to the outside must be an exterior grade material and primed on all sides.

21831 Glass Replacement⁵⁶

- Glass should be secured with glazing points (2 inches from each corner and not less than 8 inches apart) and puttied with latex or oil based glazing compound, or sealed with plastic or vinyl glazing strips.
- Glass set in metal frames should have metal-glazing clips no more than 12 inches apart and within 4 inches of each corner and the joint between the two surfaces puttied.
- Glass over 25 inches in either dimension should not be less than “B” grade double strength.
- Safety glass is required in windows located within 12 inches of a door when the bottom edge is less than 60 inches above the floor or if panes are larger than 9 ft² when the bottom edge is less than 18 inches above the floor.

⁵⁴ SWS 3.0201.1f, “Weatherstripping”

⁵⁵ SWS 3.0201.8, “Exterior Operable Storm Window Installation”

⁵⁶ SWS 3.0201.4, “Glass Replacement”

21832 Re-glazing

- Window glazing compound should only be replaced if the existing glazing is deteriorated to the degree that the window glass is in jeopardy of falling out of the sash.
- Silicone caulk may not be used in place of a glazing compound.
- Glazing compound is to be tooled smooth to form a concave surface and be neat in appearance.

21833 Stops⁵⁷

Window stops should be installed in such a way as to ensure a tight seal between the jamb, sash and stop. Ensure that window operates smoothly following stop adjustment. Wood exposed to the weather must be primed on all sides.

- Wood installed should be similar in size and shape to other existing window stops in the house.
- Installed window stop is to be planed or sanded smooth.
- New stop is to be painted or varnished to blend with current trim.
- Corners of installed materials are to be mitered or coped.
- If matching window stop is not available, then all stops on the window are to be replaced.

21834 Sills⁵⁸

Factory made sills or sills made from copper treated lumber must be used for window sill replacements. CCA (chromate-copper-arsenate) lumber is not to be used. Wood exposed to the weather must be primed on all sides.

- Sill is to be beveled flush with the interior wall.
- Sill shall be the same distance from the house as other window sills.
- Sill shall be installed at the same angle as other windows sills on the home.
- All seams shall be caulked after installation.
- Sills shall be painted to match the rest of the windows on the home.

21835 Sash Locks⁵⁹

The meeting rails of the upper and lower sashes are to be flush.

- Blocks under the sash lock or chiseling out part of the sash to recess the lock is not acceptable.
- Sash locks are to be centered on the check rails.
- Cam-type sash locks may be used. If used, one must be installed at each side rail of the bottom sash.

21836 Sash Replacement⁶⁰

New sashes are to be installed in a manner as to allow the lower sash to stay in an open position when raised and down when closed. The client should be able to open and close sash easily.

- The lower sash must have the same bevel on the bottom rail as that of the sill.
- Sashes are to be painted or varnished to match the existing sashes.

⁵⁷ SWS 3.0201.1e, "Sash Stops"

⁵⁸ SWS 3.0201.3, "Window Sill Replacement"

⁵⁹ SWS 3.0201.1g, "Sash Locks"

⁶⁰ SWS 3.0201.2, "Window Sash Replacement"

- Glazing compound and glazier points shall be used when replacing glass.
- Replace missing or severely deteriorated window frame components, such as stops, jambs or sills.

2184 Window Replacement⁶¹

Replacement windows shall be ENERGY STAR rated with a U-value no higher than 0.27.

True mobile home replacement windows shall have a U-value no higher than 0.36 and need not be ENERGY STAR rated. Replacement windows meant for site built homes but used in mobile homes shall have a U-value no higher than 0.27 and be ENERGY STAR rated.

Replacement windows for multi-family buildings that are three stories or under shall meet the requirements for single-family homes. Replacement window U-values in multi-family buildings that are greater than three stories shall have a U-value no higher than 0.35.

Replacement windows shall have U-values rated by the National Fenestration Rating Council (NFRC) – Figure 2184-1.

At least one NFRC label must be removed by the contractor and submitted with the contractor's invoice upon completion of the home for verification. The remaining NFRC labels shall be left on the window for removal by the final inspector.

Windows may only be replaced if SIR is greater than or equal to 1.0 or has been approved as an air sealing measure. If approved as an air sealing measure, only HHS or state funds may be used – DOE dollars cannot be used to fund window replacement as an air sealing measure.

219 Doors

Doors have a small surface area and their air leakage is more of a comfort problem than a serious energy problem most of the time. **Doors may only be replaced if SIR is greater than or equal to 1.0 or has been approved as an air sealing measure. If approved as an air sealing measure, only HHS or state funds may be used – DOE dollars cannot be used to fund door replacement as an air sealing measure.**

2191 Air Sealing⁶²

The following air sealing measures are done when identified with the blower door (Figure 2191-1).

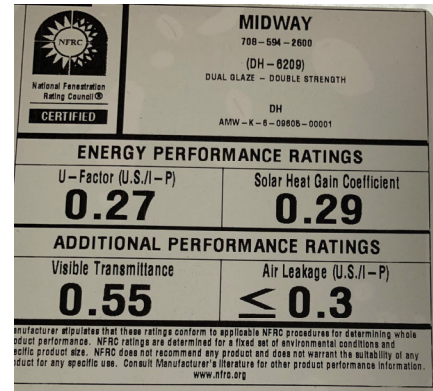


Figure 2184-1: NFRC label

⁶¹ SWS 3.0201.9, "Window Replacement"

⁶² SWS 3.0202.1, "Door Air Sealing"

21911 Weatherstripping⁶³

Door hardware should be tightened and door adjusted to close snugly against its stops before weatherstripping is applied. Door should close without having to use excessive force following weatherstrip installation.

Weatherstrip is to consist of a semi-rigid strip with vinyl or neoprene flap. A bulb type weatherstrip is also acceptable if the bulb is made of siliconized rubber and a minimum of ¼ inch diameter. A third type that can be used is a tough vinyl tear-resistant skinned material enclosing cellular foam.

- New weatherstrip must form a tight seal, be neat in appearance and be fastened in such a way as to prevent buckling or gaps.
- All existing weatherstrip is to be removed from the door if installing new.
- Door trimming and adjustments, including hinge tightening and strike plate adjustments may be necessary and must be done before installing weatherstrip.
- A small bead of caulk is to be applied to make the weatherstrip and the door stop airtight.
- Nails or other fasteners are to be made of a non-rust material.



Figure 2191-1: Door weatherstripping, threshold and sweep

21912 Thresholds

Thresholds and door sweeps shall be installed to prevent infiltration while not preventing the door from operating properly.

- Thresholds are to be set entirely on the sill or a continuous shim from end to end so no gap exists between the threshold and doorsill.
- Thresholds are to fit snugly between the jambs and fastened to the sill and the floor with screws.
- Thresholds are to be caulked on both the interior and exterior to form a tight seal with the doorsill.
- All unfinished wood installed is to be painted or varnished to a smooth finish.

21913 Sweeps

Sweep installation is to be neat in appearance, form an airtight seal and not interfere with the operation of the door.

- Sweeps are to be a metal strip with a vinyl or neoprene insert, or a brush type installed with screws on the interior side of the door.
- Sweeps are to be cut to the same width as the door.
- Sweep shall be secured within 2 inches of the door edge on each end.
- Sweeps shall have a threshold or carpet bar to seal against.

⁶³ SWS 3.0202.1f, “Weatherstripping”

Doors may only be replaced if SIR is greater than or equal to 1.0 or has been approved as an air sealing measure. If approved as an air sealing measure, only HHS or state funds may be used – DOE dollars cannot be used to fund door replacement as an air sealing measure.

Pre-hung replacement doors without glazing must be ENERGY STAR rated with a U-value no higher than 0.17.

Replacement doors with glazing must have a U-value no higher than 0.30.

Wood slab doors do not have to meet this requirement when a pre-hung door cannot be used. The ENERGY STAR rating does not apply to mobile home replacement doors.

- Replacement doors should not have glass panes. If homeowner is persistent, install smallest glass pane as possible or a door viewer. Maximum glazing area shall be “half moon” (Figure 2192–1) or no more than two square feet (approximately two lites).
- All replacement doors must have a solid wood core or an exterior-grade foam core.
- Whenever possible, 1-3/4 inch thick doors are to be used.
- All new wood doors are to operate smoothly, be sanded and be painted or varnished to a smooth water repellent finish.
- Doors shall have a 5° bevel cut on the bottom to form an airtight seal between the bottom of the door and the gasket of the threshold.
- New 1-3/4 inch doors shall receive three new 4 inch x 4 inch butt hinges; 1-3/8 inch doors shall have three new 3 ½ inch x 3 ½ inch butt hinges that are mortised into the door and jamb.
- When installing a new door and jamb, the hinges are to be placed at 7 inches from the top of the door, 11 inches from the bottom of the door and the third hinge centered between the top and bottom hinge.
- New door shall have a new door lock installed (whenever possible a 2-3/4 inch backset should be used unless using a pre-hung door that is pre-drilled for a 2-3/8 inch lockset). The client is to receive all keys - minimum two keys per lockset. If possible, multiple locks should be keyed alike.



Figure 2192-1: Half moon door

2193 Pre-Hung Replacement Doors

If a pre-hung door is needed, either a wood or steel foam filled door may be used. Replacement doors must meet the ENERGY STAR criteria.

- All door jambs must receive at a minimum, shims behind each hinge and lockset and any other area needed to support the door jamb.
- New jambs must be trimmed out to match existing interior and exterior trim.

⁶⁴ SWS 3.0202.2, “Door Replacement”

- Galvanized casement nails must be used, counter sunk and filled.
- All doorsills installed must be flush with the floor of the house

2194 Door Repair

All repair work must be within excepted carpenter standards. All replacement materials are to be of the type and size already existing on the door. Door repairs are considered “incidental repairs”.

All raw wood exposed to the outside must be an exterior grade material and primed on all sides.

21941 Jambs

Remove damaged or deteriorated portion of the jamb and replace with matching materials, butting uniformly to adjacent members. All work is to be neat and form a tight seal.

- All loose sub members and casing is to be secured and all wood installed is to be finish grade or factory made jamb material.
- All installed lumber is to be planed or sanded smooth and painted or varnished to a smooth finish to match existing.
- Hinges are to be tightened or re-set.
- Casing used is to match the existing casing on the house. If matching casing is not available, then all of the casing on the door is to be replaced. Wood is to be installed flush with the wall to insure a tight fit.
- Any damaged interior wall is to be repaired with like materials.
- Strike plate shall be tightened or re-set to hold the door flush with the doorstep.
- Strike plate is to be mortised into the jamb.

21942 Stops⁶⁵

Reposition stops if necessary. Seal gaps between the stop and jamb with caulk.

- Wood used for door stop is to be manufactured as doorstep.
- If a section of the stop is missing or must be replaced and the stop cannot be matched to the existing stop, then the entire stop on that jamb is to be replaced.
- Joints are to be mitered or coped to form a tight corner joint.
- Wood installed is to be sanded smooth and painted or varnished to a smooth finish and approximately match the existing wood.

21943 Locksets/Strikeplates⁶⁶

Replace missing or inoperable lock sets; or reposition the lock set/strikeplate; or install a modernization kit so that the door can be held in a tightly closed position.

- Lock set is to be installed between 36 inches and 39 inches from the floor with a 2-3/4 inch backset whenever possible.
- Cover plates are to completely cover the hole drilled for the lockset cylinder.
- Faceplate and strike plates are to be mortised flushed with the wood of the door and jamb. Screws are to be installed straight and be flush with the face and strike plates.

⁶⁵ SWS 3.0202.1g, “Door Stop”

⁶⁶ SWS 3.0202.1e, “Handle/Lockset”

- Strike plate must be installed in a manner as to allow the door to latch easily but with minimum play between the door and stop.

2195 Storm Doors

Storm door installation or replacement is not allowed.

220 Baseload

2201 Light Emitting Diodes (LEDs)⁶⁷

LED lamps must be ENERGY STAR rated.

LED lighting products use light emitting diodes to produce light very efficiently. An electrical current passes through a semiconductor material which illuminates tiny light sources called LEDs. LEDs are now being incorporated into bulbs and fixtures for general lighting applications. LED lamps that have earned the ENERGY STAR are subject to very specific requirements designed to replicate the experience of a standard incandescent lamp, so they can be used for a wide variety of applications. LED light fixtures and lights contain no hazardous chemicals and fully comply with the Restriction of Hazardous Substances directive, which limits the use of lead, mercury, and four other hazardous materials in electronics.

Refer to table 200-1 for selecting appropriate LED lamps when replacing CFLs and incandescent lamps.

Table 200-1
Equivalent Light Output: LED to CFL to Incandescent

Light Output	LEDs	CFLs	Incandescents
Lumens	Watts	Watts	Watts
450	4 - 5	8 - 12	40
300 - 900	6 - 8	13 - 18	60
1100 - 1300	9 - 13	18 - 22	75 - 100
1600 - 1800	16 - 20	23 - 30	100
2600 - 2800	25 - 28	30 - 55	150
Light bulb projected lifespan	50,000 hours	10,000 hours	1,200 hours

- LED lamps should be listed as “soft white” (or have a Kelvin temperature of 2700° to 3000°K) to match the light quality of incandescent.
- Standard LED lamps should never be used in fixtures controlled with standard dimmable switches. Dimmable switches compatible with the LED lamps should be used in these types of fixtures.
- Exterior LEDs must be rated for outdoor use.
- **CFLs removed from clients’ homes must be recycled and cannot be disposed of in landfills.**

⁶⁷ SWS 7.0103.1, “Lighting Replacement”

2202 Replacement Refrigerators and Freezers⁶⁸

Replacement refrigerators and freezers shall be ENERGY STAR rated (Figure 2202-1). At a minimum, replacement models must meet Federal National Appliance Energy Conservation Act (NAECA) ratings. All replacement refrigerators must meet the UL-250 standard. Only refrigerators located within the thermal boundary of the home are eligible for replacement.

All new replacement refrigerators and freezers must have a fifteen year expected life. The warranty on all replacement refrigerators and freezers must meet or exceed a one year full warranty on parts and labor.

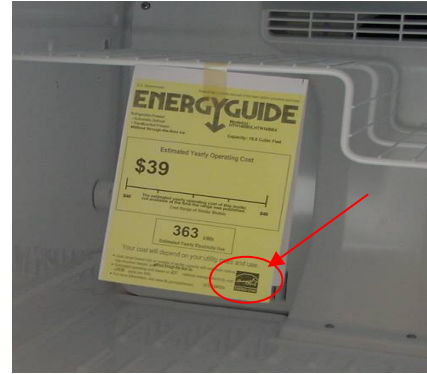


Figure 2202-1: Replacement refrigerators and freezers must be ENERGY STAR rated

Replacement refrigerators should have the following features:

- Freezer on top
- Auto defrost
- Standard shelving
- No ice maker
- No water dispenser
- Reversible doors
- Easy-roll wheels
- Up-front controls

Replacement freezers must be ENERGY STAR rated. Replacement freezers should be no larger than the replacement unit. If possible, chest style freezers should be installed as they are more energy efficient than upright freezers.

The contractor shall:⁶⁹

- deliver and install the new refrigerator or freezer,
- level the unit to ensure proper operation,
- ensure that door hinges are on the appropriate side,
- instruct the customer on refrigerator or freezer operation,
- deliver warranties and operating manuals to the customer,
- set temperature controls appropriately,
- remove all packing materials from the client's home,
- remove the old refrigerator or freezer from the client's home, and
- properly dispose of all replaced refrigerators and freezers.

22021 Disposal⁷⁰

All refrigerators and freezers that are replaced must be removed from clients' homes upon delivery of the replacement units and properly disposed of in accordance with The Clean Air

⁶⁸ SWS 7.0101.1, "Refrigerator and Freezer Replacement"

⁶⁹ From "Incorporating Refrigerator Replacement into the Weatherization Assistance Program", USDOE, 2001

⁷⁰ SWS 7.0101.1e, "Disposal"

Act, USC Title 42, Section 7671g. This Act makes it unlawful for any person to dispose of refrigerants in a manner in which they will be allowed to enter the environment.

All refrigerators and freezers removed from clients' homes must be taken to a recycling facility. Contractors must obtain a certificate or receipt indicating the appliance has been accepted by the recycling facility. A copy of the certificate or receipt indicating the appliance has been accepted by the recycling facility must be provided to the local weatherization agency and be placed in the client file for each refrigerator/freezer replacement. Contact the Weatherization Agency regarding nearest recycling facility or process.

Refrigerators and freezers removed from clients' homes may not be sold, given away or returned to service in any manner. Appliances infested with pests will be enclosed before removal.

2203 Low Flow Showerheads⁷¹

Low flow showerheads shall have a maximum flow rate of 2.0 gallons per minute (gpm) and shall have the *WaterSense* label (Figure 2203-1).

If multiple heads are provided in a shower stall, the total flow rate may not exceed 2.5 GPM.

Select features that meet any special needs of the occupant (e.g., shut off, swivel, handheld showers).

New showerheads and necessary adapters shall be installed according to manufacturer's instructions. Threads shall be properly sealed with plumbers tape to prevent leaks. Any damage done to the house during installation will be repaired. If needed, shower diverter will be repaired or replaced.

2204 Aerators

Aerators shall have a maximum flow rate of 1.5 gpm and shall have the *WaterSense* label (Figure 2203-1).

2205 Showerhead and Aerator Summary

Warranty information, operation manuals, and installer contact information will be provided to the occupant for both low flow showerheads and aerators.



Figure 2203-1: *WaterSense* label

Note that IHWAP's maximum flow rate standards for both low-flow shower heads and faucet aerators exceed those outlined in the SWS. IHWAP standards will be followed.

⁷¹ SWS 7.0201.1, "Low-Flow Devices"

300 – Mechanical Standards

311 Combustion Efficiency and Venting

This section specifies maintenance, repair and efficiency improvements to the fire side of the heating appliance. Procedures outlined here require training, skill, experience and knowledge of the health and safety hazards associated with combustion heating systems.

3111 Natural Gas and Propane

31111 Gas-burner Inspection, Testing and Correction

Perform the following inspection procedures and maintenance practices on all gas-fired furnaces, boilers, water heaters and vented space heaters.

Refer to Table 300-1 for acceptable combustion test analysis values.

1. Inspect the burners for dust, debris, misalignment and other flame-interference problems. Look for soot, burned wires and other evidence of flame roll-out (Figure 31111-1).
2. Clean, vacuum and adjust burners (Figure 31111-2).
3. Clean and adjust thermostat and check anticipator setting.
4. Determine that pilot is burning (if equipped) and that main burner ignition is satisfactory. Test pilot-safety control for complete gas valve shutoff when pilot is extinguished.
 - Install new thermocouple (if an intermittent ignition device, or IID, is not present or not being installed).
 - Adjust pilot flame so the hot tip of the thermocouple is enveloped by the flame.
5. Observe flame characteristics if soot, CO, or other combustion problems are evident.
 - Remove causes of CO and soot, such as closed or blocked primary air intake, over-firing and flame impingement.
6. Check venting system for proper size, pitch and connection by referencing NFPA 54 (Figure 31111-3).
7. Check venting system for obstructions, blockages or signs of condensation (Figure 31111-4).
8. Check high limit control for proper operation.
9. Measure gas input (see Table 300-2)
 - Adjust gas input if burners are over-fired or under-fired. Adjust input by adjusting gas pressure to between 3.3" and 3.5" water column (w.c.) for natural gas and 10 " w.c. to 11" w.c. for propane or replace the burner orifices.
10. Conduct Combustion Safety Test (see section 312, "Combustion Safety Testing"). There are three parts to this test.
 1. *Determine worst case depressurization condition* (see section 3121); the worst case condition for a Combustion



Figure 31111-1: Evidence of flame roll-out



Figure 31111-2: Clean burners with stiff brush



Figure 31111-3: Ensure that vent is properly connected



Figure 31111-4: Check vent for condensation problems

Appliance Zone (CAZ) is established; in other words, the greatest magnitude of negative pressure in the CAZ under which the combustion appliances might have to operate is determined. **The following tests are conducted under these conditions.**

2. *Spillage* (see section 3122)¹ - the spillage test only applies to natural draft appliances.

Natural Draft Water Heaters -

Spillage must cease (water heater begins drafting) within two minutes. If water heater begins drafting within two minutes, the water heater passes the test.

Natural Draft Furnaces - Warm Vent (when furnace thermostat is on heat)

Spillage must cease (furnace begins drafting) within two minutes. If furnace begins drafting within two minutes, the furnace passes the test.

Natural Draft Furnaces - Cold Vent (when furnace thermostat is not on heat)

Spillage must cease (furnace begins drafting) within five minutes. If furnace begins drafting within five minutes, the furnace passes the test.

If the natural draft appliance is common vented (multiple combustion appliances sharing chimney and/or venting system) to an induced draft appliance the water heater diverter should be checked for spillage after firing the common vented induced draft appliance and spillage must stop within 2 minutes.

3. *Carbon Monoxide* (see section 3123); carbon monoxide (CO) air free readings shall not exceed the thresholds in Table 300-3.

11. Conduct steady state efficiency test (see section 313, “Steady State Efficiency Test”).

Acceptable Combustion Test Analysis Measurements

Table 300-1

<i>Heating Unit Type</i>	<i>Oxygen (O₂)</i>	<i>Carbon Dioxide (CO₂)</i>	<i>Net Stack Temp.</i>	<i>Smoke Test</i>
<i>Gas</i>				
Atmospheric	4 - 9%	Natural 9.6 - 6.8% LPG 11.2 - 7.8%	300-600° F	NA
Fan-assisted	4 - 9%	Natural 9.6 - 6.8% LPG 11.2 - 7.8%	300-480° F	NA
Condensing	See man. Info. (4% - 9%)	See man. Info.	See man. Info.	NA
Standard Power Burner	4 - 9%	Natural 9.6 - 6.8% LPG 11.2 - 7.8%	300-550° F	NA
<i>Oil (No. 1 & 2)</i>				
Oil gun burner	4 - 9%	12.5 - 8.8%	325-600° F	2 or less
Flame Retention Burner	4 - 7%	12.5 - 10.3%	325-600° F	2 or less

¹ ANSI/BPI-1200-S-2017, “Standard Practice for Basic Analysis of Buildings”, sections 7.9.2 and 7.9.3

Clocking the Gas Meter

Table 300-2

Seconds for One Revolution on the Dial	½ ft³	1 ft³	2 ft³	Seconds for One Revolution on the Dial	½ ft³	1 ft³	2 ft³
10	180	360	720	40	45	90	180
11	164	327	656	41	44	88	176
12	150	300	600	42	43	84	172
13	138	277	555	43	42	84	167
14	129	257	514	44	41	82	164
15	120	240	480	45	40	80	160
16	112	225	450	46	39	78	157
17	106	212	424	47	38	77	153
18	100	200	400	48	37	75	150
19	95	189	379	49	37	73	147
20	90	180	360	50	36	72	144
21	86	171	343	51	35	71	141
22	82	164	327	52	35	69	138
23	78	157	313	53	34	68	136
24	75	150	300	54	33	67	133
25	72	144	288	55	33	65	131
26	69	138	277	56	32	64	129
27	67	133	267	57	32	63	126
28	64	129	257	58	31	62	124
29	62	124	248	59	30	61	122
30	60	120	240	60	30	60	120
31	58	116	232	62	29	58	116
32	56	113	225	64	29	56	112
33	55	109	218	66	29	54	109
34	53	106	212	68	28	53	106
35	51	100	206	70	26	51	103
36	50	100	200	72	25	50	100
37	49	97	195	74	24	48	97
38	47	95	189	76	24	47	95
39	46	92	185	78	23	46	92

12. Clocking the meter - Using a stop watch, measure the number of seconds for either the ½ ft³ or the 1 ft³ dial to make one complete revolution. Timing cycle should be a minimum of 30 seconds, increase timing by larger volume dial or multiple revolutions if necessary. Read the corresponding input rate in 1,000 of Btus/ft³.

31112 Leak-testing Gas Piping

Natural gas and propane piping systems may have leaks at their joints and valves. Assessors, mechanical contractors and final inspectors must perform a gas leakage test on all gas supply lines, couplings, joints and connections with an electronic combustible-gas detector, often called a gas sniffer. The entire gas line shall be checked with the detector at a rate of 1 inch per second with the tip above the line for natural gas and below for LP gas. The circumference of each joint shall be checked with the detector at a rate of 1" per second.

- All valves and joints shall be checked with the gas detector.
- Leaks shall be confirmed using a non-corrosive bubbling liquid designed for finding gas leaks.

All gas leaks and damaged gas lines must be repaired.

31113 Combustion Air²

Calculate combustion air needs in conformance with the applicable code (i.e., NFPA 54, IFGC, or NFPA 31) and manufacturer requirements.

² SWS 5.0502.1a, "Design"

In instances where conflicts occur between the code and the manufacturer's installation instructions, the more restrictive provisions shall apply (i.e., more air rather than less).

The minimum required volume is 50 cubic feet per 1,000 *BTU*/h of input, except that where the air infiltration rate is known to be less than 0.40 air changes per hour (ACH), then use alternate calculation from *IFGC*³.

3112 Electric Heating Systems

The following measures shall be done on all electric furnaces.

- Inspect all electrical connections for signs of overheating.
- Check and clean thermostat.
- Check, clean and oil blower motor if applicable.
- Clean all filters. Replace if necessary.
- Vacuum and clean housing around electric elements, if applicable.
- Vacuum and clean all fins on electric-baseboard systems, if applicable.
- Verify that all heating elements and controls are operational.

3113 Wood Burner Safety (Figure 3113-1)

- Inspect stove, vent connector and chimney for correct clearances from combustible materials as listed in NFPA 211. Ensure that stove is sitting on a noncombustible floor.
- Inspect vent connector and chimney for leaks and seal leaks with a high-temperature sealant designed for use with metal or masonry.
- Inspect chimney and vent connector for creosote build-up and clean chimney if significant creosote build-up exists.
- Inspect the house for soot on seldom-cleaned horizontal surfaces. If soot is present, replace the gasket on the wood-stove door, seal other air leaks and take steps to improve draft, as necessary to reduce indoor smoke emissions.
- Inspect and clean damper and/or combustion air intake if present (Figure 3113-2).
- Check and replace fire door gaskets if applicable.
- Check catalytic converter for repair or replacement if applicable.
- Conduct Worst Case Depressurization test to check for potential backdrafting (see section 3121, "Worst Case Depressurization").



Figure 3113-1: Wood burner



Figure 3113-2: Dirty combustion air intake to wood stove that needs to be cleaned

³ See *International Fuel Gas Code*, sections 304.5.1 and 304.5.2.

312 Combustion Safety Testing

Assessors, mechanical contractors and final inspectors are required to do Combustion Safety Testing. Mechanical contractors are required to complete these tests following completion of work each day as well as at job completion.

Architectural contractors and crews are required to do a Spillage Test-Out (see section 117, “Spillage Test-Out”) at the end of each work day.

Assessors, mechanical contractors and final inspectors are required to wear personal CO monitors while conducting combustion safety testing (Figure 312-1). See section 502, “Ambient Carbon Monoxide Monitoring”, for additional information.

If ambient CO levels exceed 9 ppm, see section 502-2, “Indoor Ambient CO Action Levels”, for additional guidance.⁴

The purpose of combustion safety testing is to ensure that combustion appliances in a home vent properly.

Proper venting is essential to the operation, efficiency, safety and durability of combustion appliances. Air tightening the home can weaken draft and weatherization work can reduce the heater’s operating time, resulting in a cooler flue. Tightening a home can also reduce air to combustion appliances resulting in backdrafting and/or “lean burns” that produce carbon monoxide (Figure 312-2).

There are three parts to this test.

1. *Determining worst case depressurization condition* (3121); the worst case condition for a Combustion Appliance Zone (CAZ) is established; in other words, the greatest magnitude of negative pressure in the CAZ under which the combustion appliances might have to operate is determined. **The following tests are conducted under these conditions.**
2. *Spillage* (see section 3122)⁵ - the spillage test only applies to natural draft appliances.
 - Natural Draft Water Heaters* -
Spillage must cease (water heater begins drafting) within two minutes. If water heater begins drafting within two minutes, the water heater passes the test.
 - Natural Draft Furnaces - Warm Vent* (when furnace thermostat is on heat)
Spillage must cease (furnace begins drafting) within two minutes. If furnace begins drafting within two minutes, the furnace passes the test.
 - Natural Draft Furnaces - Cold Vent* (when furnace thermostat is not on heat)
Spillage must cease (furnace begins drafting) within five minutes. If furnace begins drafting within five minutes, the furnace passes the test.



Figure 312-1:
Personal CO
monitor



Figure 312-2: Combustion
appliance zone: note presence of
grille in return air duct that can
cause depressurization of the
water heater

⁴ ANSI/BPI-1200-S-2017, “Standard Practice for Basic Analysis of Buildings”, section 7.3.3

⁵ ANSI/BPI-1200-S-2017, “Standard Practice for Basic Analysis of Buildings”, sections 7.9.2 and 7.9.3

If the natural draft appliance is common vented (multiple combustion appliances sharing chimney and/or venting system) to an induced draft appliance the water heater diverter should be checked for spillage after firing the common vented induced draft appliance. With the water heater still operating, fire the induced draft appliance and check for spillage at the water heater. Spillage must stop within 2 minutes (Figure 312-3). The appliance with the lowest BTU input should be fired first – this is usually the water heater.



Figure 312-3: Checking for spillage at the water heater after firing the furnace

3. *Carbon Monoxide* (see section 3123); carbon monoxide (CO) air free readings shall not exceed the thresholds in Table 300-3.

If a house contains more than one CAZ, combustion safety testing must be performed for each area. Additionally, if more than one vented combustion appliance is in a CAZ, each must be tested for safe operation under worst case conditions. Combustion appliances include furnaces, boilers, water heaters and vented space heaters.

Potential solutions for Combustion Safety Testing failures are presented in section 3125.

3121 Worst Case Depressurization

“Worst case” is defined as the configuration of the house that results in the greatest negative pressure in the vented combustion appliance or fireplace zone (CAZ).

Determining the worst case depressurization condition (WCD) must be done in all homes. The following are *exceptions* to this requirement:

1. All vented combustion appliances are sealed combustion (direct vent) or power vented with no woodstoves or fireplaces.
2. If the house or mobile home is all-electric with no combustion appliances, woodstoves or fireplaces.
3. If the home has a boiler and has no exhaust equipment, including clothes dryers, vented bath and kitchen fans, vented central vacuum systems, fireplaces, woodstoves, etc.
4. If the CAZ is located outside the thermal boundary and there are no return ducts in the CAZ. However, always perform this test if the CAZ is in a vented crawl space or a basement deemed to be outside the thermal boundary or a tuck-under or attached garage.

31211 Manometer Set-Up

Set up the digital manometer as follows to measure pressure difference of a combustion zone with reference to the outside.

- Connect a hose from the “reference” tap on the digital manometer to the exterior of the home (Figure 31211-1).
- Connect a hose from the “input” tap on the digital manometer to within two feet of the combustion appliance. This hose is not needed if measurements are taken while standing in the CAZ as shown with the DG700 manometer in Figure 31211-1.



Figure 31211-1 DG700, DG1000 & DM32 manometers set-up for WCD test. Note that hose to CAZ not necessary if readings are being taken in the CAZ

Measurements made with the house in the worst case depressurization condition will likely be quite small. Trying to take these readings on a windy day can be difficult. Care should be taken to protect the tip of the exterior hose from the wind. One method for countering the effects of the wind is by placing the end of hose in the middle of the home, against the foundation, on the leeward side of a home.

31212 House Set-Up

House should be set-up for winter conditions.

- All windows and exterior doors should be closed.
- Close all interior doors except doors to rooms with an exhaust fan and rooms with a ducted return.
- Close CAZ door.
- Turn off all exhaust fans (including ASHRAE fan if present) and clothes dryer.
- Remove, clean and replace lint filter from dryer.
- If dirty, remove filter from furnace. Otherwise, leave filter in place. Do not remove filter cap if present.
- Close supply air registers if present in the CAZ.
- Close damper on fireplace if present.
- Set water heater to pilot and ensure that other combustion appliances are turned-off.

31213 Determining Worst Case Depressurization Condition

1. Set the adjusted baseline with house set-up as described above. This is the pressure in the CAZ resulting from stack-effect air leakage. Generally, the colder the outdoor temperature the greater the magnitude of this baseline value.

2. Turn on clothes dryer and all exhaust fans in house. If ASHRAE fan has been installed, set to operate at its maximum CFM exhaust rate. Turn on central vacuum cleaner if present. Do not turn on whole house fans⁶. Record pressure difference (**P1**).
3. Turn on the furnace air handler, leaving on all the exhaust fans. If cooling is present, run the air handler on high speed. Record pressure difference (**P2**).
 - If the pressure becomes more negative, leave air handler on for P3 measurement.
 - If the pressure becomes more positive, turn off air handler for P3 measurement.
4. Open CAZ door. Record the pressure difference (**P3**).
 - If the pressure becomes more negative, leave CAZ door open.
 - If the pressure becomes more positive, close CAZ door.
5. Compare the three readings. The reading with the highest negative number is the worst case. The house shall remain in this configuration for the spillage test and for measuring CO. Note that this CAZ procedure must be repeated for each CAZ in the home.

3122 Spillage Test⁷ (natural draft appliances only)

Fire the appliance with the smallest Btu capacity first and test for spillage at the draft diverter with a smoke pencil.

Natural Draft Water Heaters -

Spillage must cease (water heater begins drafting) within two minutes. If water heater begins drafting within two minutes, the water heater passes the test (Figure 3122-1).

Natural Draft Furnaces - Warm Vent (when furnace thermostat is on heat) –

Spillage must cease (furnace begins drafting) within two minutes. If furnace begins drafting within two minutes, the furnace passes the test.

Natural Draft Furnaces - Cold Vent (when furnace thermostat is not on heat) –

Spillage must cease (furnace begins drafting) within five minutes. If furnace begins drafting within five minutes, the furnace passes the test.

Induced draft appliances must also be checked for spillage if they are combined with a natural draft appliance in a common vented system. The induced draft appliance must be checked for spillage at the diverter of the natural draft appliance. The appliances must be checked for spillage in order of appliance input rating. Spillage must stop within 2

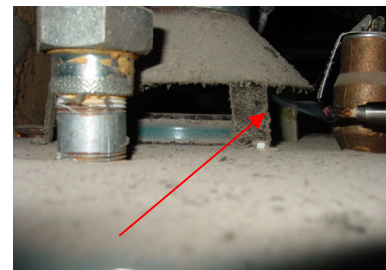


Figure 3122-1: Appliance passes spillage test



Figure 3122-2: Appliance fails spillage test

⁶ If there is a whole-house exhaust fan, it is important to inform the client that operating this fan with the house closed up could be very hazardous.

⁷ ANSI/BPI-1200-S-2017, “Standard Practice for Basic Analysis of Buildings”, sections 7.9.2 and 7.9.3

minutes.

If two appliances share a common vent following a wye connection, ensure that the common vent is properly sized for both appliances. Spillage may result if the common vent is undersized. See NFPA 54, Tables 3 and 4, for guidance.

If appliance fails spillage test (Figure 3122-2), turn-off appliance and open window if possible. Check for blocked flue or chimney. If blockage is found and removed, repeat spillage test. Also see section 3124, “Solutions to Combustion Safety Testing Failures”.

Any appliance that fails the spillage test may not be left in that condition. Turn off appliance and the exhaust fans and open all the interior doors. Allow the vent to cool and then re-test for spillage and CO under natural conditions (see section 3123, “Carbon Monoxide Testing”). Operating the blower door will help cool the combustion gases. Measure the net change in pressure from worst case to natural in the CAZ to confirm worst case depressurization.

See section 3124, “Solutions to Combustion Safety Testing Failures”, for potential actions for appliances that fail the spillage test.

3123 Carbon Monoxide (CO) Testing

- CO air free readings are to be taken and compared to the values in Table 300-3.
- CO air free readings are not to exceed those in Table 300-3.
- CO readings are to be taken after 5 minutes of main burner operation.
- Appliances with CO emissions higher than the threshold limits should be cleaned and tuned and tested for CO emissions again. Contact Weatherization Agency if high CO emission problem cannot be corrected.
- If the CO thresholds are exceeded and ambient CO levels do not exceed 70 ppm (see section 502-2, “Indoor Ambient CO Action Levels”), work in the home may continue.

CO Threshold Limits for Combustion Appliances⁸

Table 300-3

Appliance	Threshold Limit
Furnace	400 ppm air free
Water Heater	200 ppm air free
Boiler	400 ppm air free
Vented Space Heater	400 ppm air free

CO readings are often taken at the same location in the vent connector as combustion efficiency readings (see section 313, “Steady State Efficiency Test”).

Natural Draft Appliances

- Readings must be taken just before the emissions are diluted by room air at the draft diverter (Figure 3123-1). Drilling a hole is often not necessary.

⁸ ANSI/BPI-1200-S-2017, “Standard Practice for Basic Analysis of Buildings”, Table 1

- Where the appliance has multiple burners and cells, each cell of the heat-exchanger must be tested separately. The highest CO reading (not the average) should be recorded and used when deciding the appropriate course of action.

Fan Induced Appliances

- Drill test hole about 1 foot away from where the gases exit the appliance.
- Hole should be in a straight piece of vent pipe away from turns (inducer fans and turns can cause turbulence and make stable readings difficult to obtain).
- See section 3132, “Fan Induced Appliances”, for sealing test holes.



Figure 3123-1: CO reading taken for water before dilution air

Direct Vent Sealed Combustion Appliances (condensing)

- The recommended testing point for condensing appliances is to sample the gasses at the outside of the house by inserting the test probe into the PVC vent pipe at least 6 inches.
- If testing cannot be done on the exterior because the vent pipe is not accessible, testing can be done by drilling the PVC vent pipe near the furnace. Test hole must be drilled and tapped with threads for 1/8” pipe threads and then sealed with a plastic pipe plug and sealant. Proper technique and equipment must be used to seal this pipe as it is under positive pressure and improper sealing will allow vent gasses to enter the house.
- Test holes can be drilled in vertical pipes or the top half of horizontal pipes.



3124 Solutions to Combustion Safety Testing Failures

The following are potential solutions for spillage failures.

- Check for blockage in the vent system and, if found, correct the problem.
- Check vent system for leaks, including missing or loose cleanout doors or open or cracked mortar joints. Seal vent system as appropriate. Lining a chimney may solve the problem.
- Properly seal return duct leakage in the CAZ (Figure 3124-1) or supply air duct leakage outside the thermal boundary.
- Increase the CAZ air volume by connecting the CAZ to other areas within the conditioned volume of the house.
- Increase the CAZ air volume by connecting the CAZ to the outdoors (Figure 3124-2).
- Install a manufacturers’ outdoor air kit for the failed appliances. This is an option with several oil-fired furnaces,

Figure 3124-1: Repair duct system



Figure 3124-2: Combustion air intake

boilers and water heaters.

- g. Install fan to supply air to pressurize the CAZ. It is best to link the controls of such a make-up air fan to the operation of the combustion appliance(s) in the CAZ.
- h. If opening doors solves a spillage test, consider door undercuts, transfer grilles, jumper ducts or in-door transfer grilles (Figure 3124-3).

313 Steady State Efficiency Testing

Combustion analyzer used for testing must be within the manufacturer's calibration period and have a calibration sticker with the calibration date affixed to it. The analyzer should be started-up (calibrated) in a source of known fresh air during the calibration period – usually outside the home.



Figure 3124-3: Transfer grille

3131 Natural Draft Appliances

The following inspection procedures and maintenance practices are required for all natural draft appliances in addition to items 1 through 11 as noted in section 31111, “Gas Burner Inspection, Testing and Correction”.

- Test holes
 - Single wall pipe is preferred location for test holes, but double wall B vent can be drilled if necessary. If B vent is drilled, seal inner pipe with high temperature RTV caulk (or equivalent) and metal tape over the outer pipe. Caulk must be red in color and rated to 600°F.
 - Single wall pipe is to be sealed with high temperature metal tape or metal plugs.
 - Butyl tape is not to be used.
- Determine steady-state efficiency (SSE) using flue gas analyzer measuring in undiluted flue gases below the draft diverter. Where the appliance has multiple burners and cells, each cell of the heat-exchanger must be tested separately.
- Measure O₂ level and stack temperature in undiluted gases (before they enter the draft hood). O₂ level should be between 4% and 9%. Net stack temperature should be between 300°F and 600°F.

3132 Fan Induced Appliances

The following inspection procedures and maintenance practices are required for all fan induced appliances in addition to items 1 through 11 as noted in section 31111, “Gas Burner Inspection, Testing and Correction”.

- Test holes
 - Test hole should be located about 1 foot away from where the gases exit the appliance.
 - Test hole should be in a straight piece of vent pipe away from turns.
 - Single wall pipe is preferred location for test holes, but double wall B vent can be drilled if necessary. If B vent is drilled, seal inner pipe with high temperature RTV caulk (or equivalent) and high temperature metal tape or metal plugs over the outer pipe. Caulk must be red in color and rated to 600°F.
 - Single wall pipe is to be sealed with high temperature metal tape.

- Butyl tape is not to be used.
- Determine steady-state efficiency (SSE) using flue gas analyzer.
- Measure O₂ level and stack temperature. O₂ level should be between 4% and 9%. Net stack temperature should be between 300°F and 480°F.

3133 Direct Vent Sealed Combustion Appliances (+ 90% condensing – Figure 3133-1)

The following inspection procedures and maintenance practices are required for all direct vent sealed combustion appliances in addition to items 1 through 11 as noted in section 31111, “Gas Burner Inspection, Testing and Correction”.

- Inspect the secondary heat exchanger and clean as needed.
- Test holes
 - The recommended test point for condensing appliances is to sample the gasses at the outside of the house by inserting the test probe into the PVC vent pipe at least 6 inches.
 - If testing cannot be done on the exterior because the vent pipe is not accessible, testing can be done by drilling the PVC vent pipe near the furnace. Test hole must be drilled and tapped with threads for 1/8” pipe threads and then sealed with a plastic pipe plug and sealant. Proper technique and equipment must be used to seal this pipe as it is under positive pressure and improper sealing will allow vent gasses to enter the house.
 - Test holes can be drilled in vertical pipes or the top half of horizontal pipes.
- Determine steady-state efficiency (SSE) using flue gas analyzer.
 - Measure O₂ level and stack temperature. Adjust as necessary to meet Product Manufacturer’s Instructions for net stack temperature and O₂ (generally, O₂ is between 4% and 9%).



Figure 3133-1: Direct vent sealed combustion furnace

314 Heating Appliance Venting

Inspect chimney, vents and vent connectors to ensure adequate draft, clearance, soundness and freedom from combustible deposits. Clean if necessary. Repair or replace sections of the venting system that are seriously corroded or rusted, contain cracks or holes, and/or are unsealed, loose, or disconnected.

If two appliances share a common vent following a wye connection, ensure that the common vent is properly sized for both appliances. See NFPA 54, Tables 3 and 4, for guidance.

Ensure all venting materials meet clearances from combustible materials in accordance with the applicable NFPA code. When called for, correct cases where vent clearance requirements are not met.

Ensure that vent/chimney connections are securely fastened. Horizontal runs in the vent connector should have a rise of at least ¼ inch per foot.

3141 Venting Devices, Materials and Sizing

The National Fire Protection Association (NFPA) is the authoritative source for information on material-choice and sizing for vent connectors and chimneys. The information in this venting section is based on the following NFPA documents. Consult these references for specific venting requirements and tables for vent and chimney sizing.

- NFPA 54: The National Fuel Gas Code
- NFPA 211: Standard for Chimneys, Fireplaces, Vents, and Solid-Fuel-Burning Appliances 1996 Edition

3142 Vent Connectors

A vent connector connects the venting outlet of the appliance with the chimney. Approved vent connectors for gas-fired units are made from the following materials.

- Galvanized-steel pipe (≥ 0.018 in. thick),
- Type-B vent, consisting of a galvanized-steel outer pipe and aluminum inner pipe (≥ 0.027 in. thick),
- Stainless-steel pipe (≥ 0.012 in. thick),
- Type-L vent, like Type-B only with a stainless-steel inner pipe, or
- Various listed manufactured vent connectors.

A wye connector is the preferred connection when a common flue is used for more than one appliance. Vent connections are not to be located directly across from each other when an induced appliance is used.

3143 Masonry-Chimney Liners

Masonry chimneys and clay tiled chimneys should have a liner if they are not properly sized. If an 80% furnace or boiler has been installed, the masonry chimney will need a liner as it is probably oversized. The liner should have a small air space between itself and the masonry structure of the chimney to insulate the liner from rapid heat loss. A liner used to vent solid fuel may not also be used to vent liquid or gaseous fuel.

Unlined masonry chimneys should be lined with galvanized-steel vent pipe, Type-B vent, or a flexible liner.

Unlined chimneys or chimneys with deteriorated liners should be relined. For interior chimneys, flexible metal liners may be used. For external chimneys, galvanized-steel vent pipe, Type-B vent or a flexible metal liner, insulated with vermiculite or equivalent, may be used.

3144 Sizing Vent Connectors and Chimneys

Sizing tables and procedures for chimneys and vent connectors are found in NFPA documents numbered 54, 31 and 211 as described earlier. NFPA 54, the National Fuel Gas Code, Part 11 provides tables for sizing various types of chimneys and vent connectors.

315 Forced Air System Standards

The overall system efficiency of an oil or gas forced air heating system is affected by blower operation, duct leakage, balance between supply and return air and duct insulation levels.

3151 Furnace Repair⁹

When possible, furnaces should be repaired to a safe and efficient operating condition. Cracked heat exchangers should be replaced per manufacturer's instructions (Figure 3151-1).



Figure 3151-1: Furnace heat exchanger

3152 Furnace Operation Standards and Improvements

Apply the following furnace-operation standards to maximize the heating system's seasonal efficiency and safety. Refer to Table 300-4 for furnace operating guidelines.

- Check temperature rise between the supply air plenum and return air plenum after 10 minutes of operation. Measure supply air temperature at three different points and use the average. Refer to manufacturer's nameplate for acceptable heat rise (supply temperature minus return temperature). The heat rise should be between 40°F and 70°F with the lower end of this scale being preferable for maximum efficiency.
- Measure total external static pressure (TESP). TESP should be ≤ 175 Pa (≤ 0.70 in w.g.). See section 3191, "Total External Static Pressure", for additional information.
- The fan-off temperature should be between 90°F and 100°F, with the lower end of the scale being preferable for maximum efficiency.
- The fan-on temperature should be 115°F if possible.
- The high-limit controller should shut the burner off before the furnace temperature reaches 200°F. Operate unit with blower disconnected to check high limit control and repair as necessary.
- If needed, seal (with compatible sealing materials) unsealed blower compartment openings and blower compartment door.

If the heating system does not conform to these standards, consider the following improvements.

- Reduce heat rise by cleaning or changing dirty filters, cleaning the blower, increasing fan speed and improving ducted air circulation.
- Adjust fan control to conform to the above standards or replace the fan control if adjustment fails.
- Adjust the high-limit control to conform to the above standards or replace the high-limit control.

In all cases, the following furnace measures will be done:

- Furnace filters shall be cleaned or replaced. Two extra filters of proper size and type shall be left with the client. Filter changing procedure shall be explained to client.
- Pull the blower fan and clean. Vacuum the compartment (Figure 3152-1).
- Inspect the blower assembly's electrical wiring system



Figure 3152-1: Pull blower fan and

⁹ SWS 5.0109.2, "Forced Air – Clean & Tune"

for bad insulation and loose connections and repair as necessary.

- Inspect the blower and squirrel cage for excessive free play and correct as necessary.
- The blower motor shall be lubricated if appropriate.
- The thermostat shall be checked, cleaned and leveled.

Furnace Operating Temperatures

Table 300-4

Inadequate heat rise, Condensation and corrosion possible.		Heat rise good for both efficiency and avoidance of condensation.		Heat rise excessive. Check fan, heat exchanger, ducts and fan speed.	
20°	40°	40°	70°	70°	95°
Heat rise = Supply temperature – Return temperature					
Excellent fan-off temperature if comfort is acceptable.		Borderline acceptable. Consider replacing fan control.		Unacceptable range. Savings possible by replacing fan control.	
90°	100°	100°	115°	115°	130°
Fan-off Temperature					
Excellent. No action needed.		Fair. Consider fan control replacement only if fan-off is unacceptable.		Poor. Consider fan control replacement.	
100°	115°	115°	130°	130°	150°
Fan-on Temperature					

3153 Ducts

31531 Duct Leakage Sites

The following joints should be inspected and sealed (Figure 31531-1). Ducts located outside the thermal boundary should be sealed.

- Seal holes in the air handler and joints between the air handler and the supply and return ducts¹⁰.
- Filter slot must have cover that will seal the opening but is easy for the occupant to open and close (Figure 31531-2)¹¹.
- Seal leaky joints between main supply and return ducts and their branches (Figure 31531-3).
- Seal leaky joints between building materials composing cavity return ducts, like panned floor cavities and furnace return platforms. Cavity return ducts may be replaced with new metal return ducts.
- Seal leaky joints between supply and return registers in the floor, wall and ceiling to which they are attached.

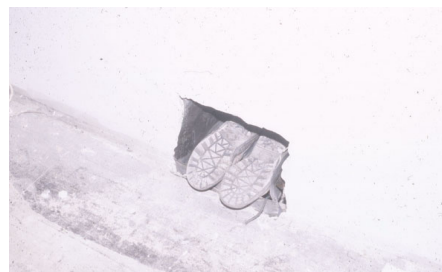


Figure 31531-1: Inspect the ducts!



Figure 31531-2: Metal filter cap

¹⁰ SWS 5.0106.1j, “Air Handler Jacket”

¹¹ SWS 5.0106.1k, “Filter Slot”

- Secure metal duct joints with screws, seal them with mastic, and support joints with duct hangers.
- Flex duct runs should be mechanically attached to the plenum/trunk/boot with clamps or cable ties and sealed. Flex duct should be run as straight as possible with a minimum of long radius turns and should be supported with appropriate hangers to prevent sagging.
- Permanently seal open supply and return registers in unconditioned areas (Figure 31531-4).
- Patch or replace metal ducts that have rusted through and ducts with holes cut in them (Figure 31531-5).
- Seal penetrations made by wires or pipes traveling through ducts. Pipes and wires may be moved and the holes patched.
- Seal return air grilles in basement (Figure 31531-6). Re-check temperature rise and total external static pressure (see section 3191, “Total External Static Pressure”) to assure that it is within the operating limits of the furnace.



Figure 31531-3: Seal leaks and connections in supply and return ducts



Figure 31531-4: Permanently seal registers in unconditioned spaces

31532 Duct Sealing Materials¹²

Duct mastic is the required duct sealing material because of its superior durability and adhesion. Tapes cannot be used for duct sealing in the Illinois Weatherization Program (Figure 31532-1).

Seal leaks less than 1/4" using fiberglass mesh and mastic. Mastic alone is acceptable for holes less than 1/8" in size that are more than 10' from air handler if total external static pressure is less than 1" of water column (250 Pa)¹³.

Seal leaks between 1/4" and 3/4" using a two stage process. Install temporary tape as a backing material. Seal with fiberglass mesh and mastic that extends at least 1" past the temporary tape on all sides.¹⁴

Repair leaks larger than 3/4" using a sheet metal patch. Mechanically fasten patch before applying mastic. Install fiberglass mesh and mastic over the seam, overlapping repair joint by at least 1" on all sides.¹⁵



Figure 31531-5: Seal holes in ducts



Figure 31531-6: Return air grilles should be sealed

¹² SWS 5.0106.1, “Duct Sealing”

¹³ SWS 5.0106.1f, “Seal Leaks Less than 1/4”

¹⁴ SWS 5.0106.1g, “Seal Leaks Between 1/4” and 3/4”

¹⁵ SWS 5.0106.1h, “Seal Leaks Greater than 3/4”

Tape by itself is not to be used as it cannot be expected to hold a joint together nor expected to resist the force of compacted insulation or joint movement (Figure 31532-3). Joints should rely on mechanical fasteners to prevent joint movement or separation and mastic for sealing.

31533 Duct Insulation¹⁶

Insulate supply and return ducts that run through unconditioned areas outside the thermal boundary such as vented crawl spaces and attics. Use minimum R8 insulation on supply ducts.

- Always perform necessary duct sealing before insulating ducts.
- Use fiberglass insulation 3 to 6 inches thick (minimum R8) with foil-skrim-kraft facing or vinyl facing. Vapor barrier must be placed to the outside with no exposed insulation.
- Insulation should cover all exposed ducts, especially in air conditioned homes. Use an approved UL 181 tape so no gaps exist in the vapor barrier.¹⁷
- Insulation should be fastened by mechanical means such as stuck-ups, twine, or plastic straps. Ensure insulation is in full contact with the ducts.
- If spray polyurethane foam is used, apply foam to the prescribed R-value in a continuous layer over entire exterior duct surface using a pass thickness maximum in accordance with manufacturer specifications. No spray foam may be installed on ducts inside the thermal boundary.¹⁸

31534 Duct System Airflow

The airflow capacity of the air handler may be checked in relationship to the size of the furnace or air conditioner. For combustion furnaces there should be 110 to 150 cfm of airflow for each 10,000 Btuh of output. Central air conditioners should deliver 400 cfm of airflow per ton of cooling capacity. Heat pumps should deliver 450 cfm of airflow per ton of heating capacity.

3154 Central Air Conditioners (Figure 3154-1)

31541 Cooling Clean & Tune¹⁹

- Measure air flow across the evaporator coil. Airflow across the indoor coil should be 400 CFM per ton for a wet coil (condensation on coil) and 425 CFM per ton for a dry coil (no



Figure 31532-1: Tape is not to be used for sealing ducts in the Illinois WX Program



Figure 31532-2: Duct mastic used to seal duct joints



Figure 31532-3: Tape is not expected to hold a joint together

¹⁶ SWS 5.0107.1, "General Duct Insulation"

¹⁷ SWS 5.0107.1e, "Sealing".

¹⁸ SWS 5.0107.2c, "Installation"

¹⁹ SWS 5.0109.1, "Condensers"

condensation on coil), plus or minus 50 CFM. Pressure drop across cooling coils will be in accordance with manufacturer specifications.

- Check for correct amount of refrigerant. Follow the manufacturer's specification for refrigerant charge. The airflow across the indoor coil should be adjusted and verified before the refrigerant charge is checked. Any refrigerant that must be evacuated must be captured rather than illegally releasing it to the atmosphere.
- Test for refrigerant leaks using a leak detector.
- Clean the outdoor condenser coil and straighten bent fins. Remove debris from inside unit. Clear debris, foliage, grass, etc. from within 3 feet of the unit.
- Ensure that suction line is insulated between indoor and outdoor coils; replace missing and defective insulation.
- Check for and seal duct leakage in central systems. Duct sealing and insulation is especially important for ductwork running through unconditioned spaces. This work should have been completed by the weatherization workers.
- Verify the correct electric control sequence and make sure that the heating system and cooling system cannot operate simultaneously.
- Inspect electric terminals, clean and tighten connections and apply a non-conductive coating if necessary.
- Oil motors and check belts for tightness and wear.
- Check the accuracy of the thermostat.



Figure 3154-1: Central AC

Dirty air conditioning coils located in main ducts or air handlers are a common cause of low airflow and resultant low heating and cooling efficiency.

- Identify the coil location and the coil surface where the air enters - most of the dirt will be attached to this surface.
- Remove access panel in air handler or duct; or cut access panel in duct; or disassemble duct to gain access to air-conditioning coil.
- Using a soft brush and vacuum, remove surface dust, dirt and lint.
- Spray the coil with cleanser and after a while spray water to rinse out the cleanser and dirt. Repeat the spraying if necessary.
- Observe whether the pan and drain hose are doing their job. Water and cleanser should be flowing out the end of the hose, not overflowing into the duct. Clean the pan and unplug the hose if necessary.

31542 Central Air Conditioner Replacement

Replacement central air conditioners must be ENERGY STAR rated with a minimal SEER of 15 or the current ENERGY STAR minimum SEER requirement. Mobile home air conditioners shall have a minimum SEER rating of 14.

Air conditioners shall be selected to have a rated sensible heat ratio (SHR) of 0.75 or less. Indoor coils and line sets shall also be cleaned or changed if a different refrigerant type will be used in

the system. All new air conditioners shall carry a minimum one year warranty on parts and labor and a five year warranty on the compressor.

Each client shall receive all manufacturer's product warranty information, clear maintenance instructions, educational information and a local telephone number for warranty problems.

Contractor shall size the system properly utilizing the *Residential Load Calculation, Manual J* by the Air Conditioning Contractors of America or other approved method. Sizing calculations must be provided to the Weatherization Agency for inclusion as a permanent part of the client file.

The following characteristics of the house and occupants shall be considered:

- The size and volume of the home and the number and orientation of the windows.
- The amount of existing insulation and insulation to be added as part of weatherization.
- The tightness of the home. It is important to remember that the ACH²⁰ value used in most weatherization work in the midwest is a winter calculation. The ACH during the cooling season – that which is used in cooling load calculations – is usually significantly less.
- The amount of shading on windows, walls and roof.
- The number of occupants and the degree of internal heat gain they generate.
- Ensure that unit can move adequate air corresponding to the size of the unit.

Following installation of new air conditioning system, contractor shall check, test and meet the requirements of section 31541, "Cooling Clean and Tune".

3155 Heat Pumps

All heat pump systems and mini-splits should be sized with adequate auxiliary heat to supply the structure with adequate heat in case of heat pump failure, during defrost modes and as auxiliary heat during low outdoor temperatures. Most properly sized air source heat pumps and mini-splits in Illinois will not be able to maintain indoor design temperatures when outdoor temperatures reach typical outdoor design temps without auxiliary heat.

Auxiliary heat can be a separate heating source such as electric resistance baseboard heat when installing mini-splits, or resistance heat strips can be added to the air handler in cases where an air source heat pump central system is being installed. Cost of including these heat sources should be included with the heat pump installation cost. Other auxiliary heat sources should be reviewed with your Weatherization Specialist.

Existing central heating appliances cannot be used as auxiliary heat sources unless a common thermostat can automatically operate the appliance when auxiliary heat is required.

- Heat pumps shall be ENERGY STAR rated. For split systems, minimum HSPF shall be 8.5 with a minimum SEER of 15 (12.5 EER) or the current ENERGY STAR minimum SEER requirement.
- Measure air flow across the indoor coil in heating mode. Airflow across this coil should be 450 CFM per ton plus or minus 50 CFM.

²⁰ Air Changes per Hour

- Check for correct amount of refrigerant. Follow the manufacturer’s specification for refrigerant charge. The airflow across the indoor coil should be adjusted and verified before the refrigerant charge is checked. Any refrigerant that must be evacuated must be captured rather than illegally releasing it to the atmosphere. For systems with fixed metering devices (capillary tube or fixed orifice), the evaporator superheat method should be used along with the manufacturer’s recommendations. For systems with thermostatic expansion valves (TXV), the subcooling method should be used along with the manufacturer’s recommendations.
- Test for refrigerant leaks using a leak detector.
- Check for and seal duct leakage in central systems. Duct sealing and insulation is especially important for ductwork running through unconditioned spaces (see section 3153, “Ducts”).
- Inspect electric terminals, clean and tighten connections and apply a non-conductive coating if necessary.
- Oil motors and check belts for tightness and wear.
- Check the accuracy of the thermostat.
- Test for proper operation of the heat pump defrost control. This control for the outdoor coil must be adjusted to optimize heating efficiency.

3156 Room Air Conditioner

Replacement room air conditioners (Figure 3156-1) must be ENERGY STAR rated (ENERGY STAR ratings are based on unit size). All new air conditioners shall carry a minimum one year warranty on parts and labor.

Window units shall be sized appropriately. The guide²¹ shown as Table 300-5 may be used to size window units.

Window Air Conditioning Unit Sizing Chart

Table 300-5

Area To Be Cooled (square feet)	Capacity Needed (BTUs per hour)
100 to 150	5,000
150 to 250	6,000
250 to 300	7,000
300 to 350	8,000
350 to 400	9,000
400 to 450	10,000
450 to 550	12,000
550 to 700	14,000
700 to 1,000	18,000
1,000 to 1,200	21,000
1,200 to 1,400	23,000
1,400 to 1,500	24,000
1,500 to 2,000	30,000
2,000 to 2,500	34,000

²¹ From energystar.gov

The following adjustments may be made²².

- Reduce capacity by 10% if room is heavily shaded.
- Increase capacity by 10% if room is very sunny.
- If more than two people regularly occupy room, add 600 Btus for each additional person.
- Add 4,000 Btu if unit is used in kitchen.



Figure 3156-1: Room air conditioner

3157 Condensate Removal²³

Convey all condensate from all cooling coils, condensing furnaces, etc. to the exterior of the building. Condensate from condensing furnaces must first pass through a neutralizer if using waste lines for disposal.

Install condensate piping with not less than 1/8" per foot (1% slope) towards the termination point.

Install vents and traps on condensate drain lines in accordance with manufacturer specifications and applicable building code and in a manner that allows for cleaning of condensate lines without cutting the existing pipe.

Install a secondary drain pan under all condensing appliances installed in or above conditioned space and where water damage may occur to the structure. Install an independent condensate drain for the secondary drain pan that drains to a visible termination location. Slope drain pan towards the condensate drain.

When there is potential for condensation or freezing of the drain line, insulate condensate drain lines to a minimum of R-4 with insulation that contains a Class II or greater vapor retarder.

Install condensate drain pumps when condensate cannot be drained by gravity.

If termination of condensate drain is to the outdoors, direct it downwards with an elbow fitting at the end of the exterior termination.

316 Hydronic Standards

The following standards refer to hydronic systems commonly found in single family homes. Observe the following standards for servicing hydronic heating systems in single family structures.

3161 Hot Water Systems (Figure 3161-1)

- Repair water leaks in the system.
- Clean fire side of heat exchanger of noticeable dirt.
- Lubricate circulator pump if necessary.



Figure 3161-1: Warm water boiler

²² From energystar.gov

²³ SWS 5.0102.1, "Condensate Removal"

- Boiler should not have low-limit control for maintaining a minimum boiler-water temperature unless the boiler is heating domestic water in addition to space heating.
- Test pressure tank for its rated air pressure.
- High-limit control should deactivate boiler at 200° F or less.
- Test pressure relief valve and replace or install new valve if necessary.
- Bleed air from radiators and piping through air vents in elbows or radiators. Most systems have an automatic fill valve.
- Verify that water pump, low water cutoff, automatic feed control and high pressure controls are in operating condition and repair as necessary.
- Insulate hot water supply lines passing through unconditioned areas.
- Check, clean and level thermostat.
- Vacuum and clean baseboard unit fins if appropriate.
- Post on equipment, or in a conspicuous location, a list of all systems and components inspected, results, and services performed that includes legible service personnel name, contact information, and date of service.²⁴

3162 Steam Systems

For steam systems, observe the following.

- Check or replace steam vents and steam traps.
- Verify that water pump, low water cutoff, automatic feed control and high pressure controls are in operating condition and repair as necessary.
- Replace/clean sight glass if water level cannot be seen due to dirt build-up on glass.
- Post on equipment, or in a conspicuous location, a list of all systems and components inspected, results, and services performed that includes legible service personnel name, contact information, and date of service.²⁶

317 Unvented Space Heaters

Removal of unvented space heaters is required by the contractor, even if used as a secondary heat source and the unit conforms to ANSI Z21.11.2. Unvented space heaters must be removed from the site by the contractor prior to weatherization but may remain until a replacement heating system is in place.

318 Advanced and Automatic Setback Thermostats²⁵

Both Advanced (or “Smart”, Figure 318-1) and automatic setback thermostats (Figure 318-2) may be installed in the Weatherization Program. Selection of the thermostat type should be based on willingness and ability of client to use the selected thermostat. Advanced thermostats must be ENERGY STAR certified.

- Select a double-setback programmable thermostat that allows for full functionality of the installed system (supplementary heat, emergency heat, fan only, ventilation control, etc.).



Figure 318-1: Advanced thermostat

²⁴ SWS 5.0204.1, “Documentation”

²⁵ SWS 5.0101, “Thermostat Replacement”

- When replacing existing thermostats, identify and dispose of any mercury containing thermostats in accordance with Environmental Protection Agency (EPA) guidance.
- All thermostats must be installed according to manufacturers' instructions.
- Thermostats are to be level. Installation shall include an appropriate wall plate.
- New setback thermostats should generally be installed in the same location as the old thermostats. In cases where the old thermostat is in the kitchen, in direct sunlight, over a heat register or radiator, or other location which would impede performance, the new setback thermostat should be relocated.
- Seal penetrations for control wiring with a durable sealant (e.g., caulk, silicone) that complies with applicable fire safety code.
- A heating/cooling thermostat must be used if the home is centrally air conditioned.
- Setback thermostats should have a minimum of two setback periods, allowing residents to set temperature back (or up for air conditioning) twice a day—once for sleep and once for vacancy, such as work and school.
- Manual setback or large-lettered thermostats should be installed for seniors or people with visual impairments as appropriate.
- Occupants should be instructed on the setting and operation of new setback thermostats and the replacement of batteries for thermostats utilizing batteries.



Figure 318-2: Automatic setback thermostat

319 Heating System Replacement Standards

All new heating appliances shall carry a minimum one year warranty on workmanship. New condensing units must have a lifetime manufacturer warranty on the primary heat exchanger and a minimum 10-year warranty on the secondary heat exchanger.

Each client shall receive all manufacturer's product warranty information, PMI manual, clear maintenance instructions, educational information and a local telephone number for warranty problems.

New heating appliances that are to be installed on a concrete, dirt, or damp floor, should be raised a minimum of 1 inch above the floor surface, or per local code. Safely remove and dispose of existing unit. Seal openings in chimneys where atmospheric vented appliances are eliminated.

Following completion of furnace replacement, contractor shall conduct a combustion safety test (see section 312, "Combustion Safety Testing").

Sizing calculations must meet accepted standards such as Manual "J". Sizing should account for lower heating loads resulting from insulation and air sealing work. Sizing calculations must be provided to the Weatherization Agency for inclusion as a permanent part of the client file.

If a home has central air conditioning and furnace is replaced, the cost for the furnace replacement work must include reinstallation of the existing central air conditioning unit.

Replacement heating appliances should meet the guidelines and minimum efficiency ratings as shown in Table 300-6.

See section 411, “Mobile Home Furnaces”, for additional information regarding mobile homes.

Replacement System Minimum Efficiencies

Table 300-6

Natural Gas/LP Furnaces	95%, Direct vent sealed combustion
Oil Furnaces	83%
Warm Water Gas Boilers	95%
Steam Boilers	80%
Oil Boilers	80%
Central Air Conditioners	Current ENERGY STAR minimum ²⁶
Air Source Heat Pumps & Mini-Split Systems	Current ENERGY STAR minimum ²⁷

Note that unvented space heaters must be removed from the site by the contractor but may remain in place until a replacement heating system is in place. See section 317, “Unvented Space Heaters”, for additional information.

²⁶ As of April 2018, minimum SEER is 15.0

²⁷ As of April 2018, minimum HSPF of 8.5, minimum SEER of 15 (or 12.5 EER)

3191 Total External Static Pressure (TESP)

Total external static pressure (TESP) shall be measured to determine appropriate fan motor type for furnace replacement or if high static pressure in the system must be addressed.

- If the TESP ≤ 175 Pa (≤ 0.70 in. w.g.), a variable speed fan motor may be used.
- If the TESP is between 175 Pa (0.70 in. w.g.) and 250 Pa (1.0 in. w.g.),
 - An X13 fan motor must be used, or
 - The static pressure in the duct system may be addressed. If the TESP can be reduced to under 175 Pa, a variable speed fan motor may be used.
- If the TESP > 250 Pa (1.0 in. w.g.), the static pressure in the duct system must be addressed as part of furnace replacement.

TESP is to be measured as shown in Figure 319-1. Measure pressure at B and C. Add the absolute value of the two pressure readings.

If the TESP is between 175 Pa and 250, additional readings may be taken at points A and D to help resolve the cause of the high TESP reading or a furnace with an X13 fan motor must be installed.

If the TESP exceeds 250 Pa, additional readings must be taken at points A and D to help determine the cause of the high TESP reading. TESP must be brought under 250 as part of the furnace replacement measure or the furnace cannot be replaced. If the TESP can be brought under 175 Pa, a furnace with a variable speed fan motor may be used. Otherwise, a furnace with an X13 fan motor must be installed. See TESP reference document for guidance on lowering TESP.

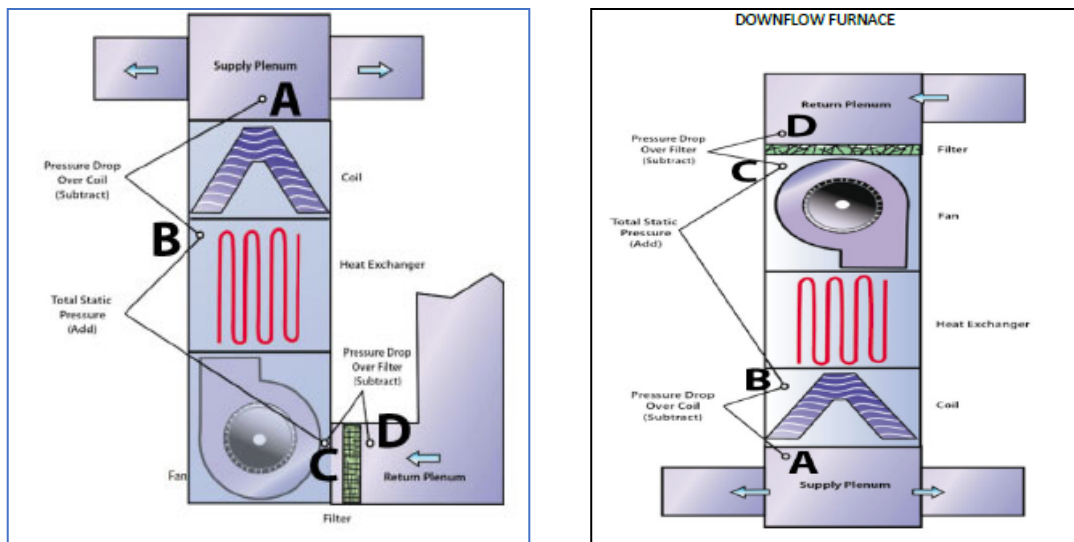


Figure 3191-1: Static pressure reading locations for upflow and downflow furnaces

3192 Natural Gas and Propane Fired Heating Systems

New heating appliances must be installed to manufacturer's specifications, following all applicable building and fire codes.

- Replacement gas furnaces shall have a minimum Annual Fuel Utilization Efficiency (AFUE) of 95% and must be direct vent, sealed combustion (2-pipe) units.
- If a 95% unit cannot be installed for whatever reason, a state approved Replacement Waiver must first be obtained.
- Warm water gas boilers must have a minimum AFUE of 90%.
- Clearances of heating unit and its vent connector to nearby combustibles shall be according to NFPA 54, tables 6.2.3 (a) and 6.2.3 (b).
- All gas piping must be installed according to the American Gas Association (AGA) National Fuel Gas Code specifications and any other appropriate codes.
- Test water heater to ensure that it vents properly after installation of direct vent sealed combustion furnace after setting-up house for worst case depressurization (see section 3121, "Worst Case Depressurization").
- Ensure proper sediment trap on gas line.
- Measure gas pressure to ensure that it is within manufacturer's specifications. Adjust gas pressure if necessary to obtain proper gas input. Verify Btu input by clocking gas meter (see Table 300-2).
- Set thermostat's heat anticipator to the amperage measured in the control circuit.
- Repair or replace sections of the venting system that are corroded, rusted, clogged or blocked, contain cracks or holes or are unsealed, loose or disconnected.
- Follow manufacturer's venting instructions and NFPA 54 Chapters 7 and 10 to establish a proper venting system.
- Properly sized and installed flexible gas appliance connectors are permitted on furnace, boiler and water heater installations.
- Repair or replace unsafe power supply to appliance.
- Install a properly sized and dedicated circuit to the heating appliance if one is necessary.

3193 Furnace Installation²⁸

Observe the following standards in furnace installation.

- All furnace work must be in compliance with:
 - The Uniform Mechanical Code
 - National Fire Prevention Association (NFPA)
 - Local Codes (where existing)
 - Furnace Manufacturer's Specifications
- Furnace should be sized to the home's approximate heating load, accounting for weatherization heat loss reductions.
- If funds are available, return ducts and/or supply ducts must be included with furnace replacement to improve air distribution and to establish acceptable values for static pressure and heat rise.
- Supply and return plenums must be mechanically fastened with screws and sealed to air handler to form an essentially airtight connection.

²⁸ SWS 5.0108.4, "Furnace Replacement"

- Heat rise (supply temperature minus return temperature) must be within manufacturer's specifications.
- High limit must stop fuel flow at less than 200°F. Furnace must not cycle on high limit.
- Fan control should be set to activate fan at 115°F and deactivate it at 90°F if possible. Slightly higher settings are acceptable if these recommended settings cause a comfort complaint.
- Static pressure, measured in both supply and return plenums, must be within manufacturer's specifications. Static pressure outside of manufacturer's specifications cannot be corrected with the installation of a grille on the return air plenum.
- Install equipment connections (e.g., electrical service, condensate drains, ductwork, fuel, venting, refrigerant lines) to allow for necessary service and repair access to all portions of the equipment.²⁹
- Blower must not be set to operate continuously.
- Holes in the air handler must be sealed by installer with mastic.
- New central forced air furnaces and new duct systems will have minimum MERV 6 filtration with no air bypass around the filters. Filters must be held firmly in place and provide complete coverage of blower intake or return register. Filters must be easy to replace.
- Existing air conditioning coils must be re-installed with an airtight, removable panel, providing convenient access for cleaning.
- Furnaces which do not have a readily accessible filter access/location should have a filter rack with a cover, installed in the return air plenum, in an accessible location.
- External filter racks must have a cover that seals the filter opening.
- Install a condensate pump where needed to reach an appropriate drain, if necessary.
- No used furnaces may be installed.
- Contractors must remove and dispose of equipment being replaced unless otherwise directed by the agency.

3194 Boiler Installation³⁰

- Warm water boilers shall have a minimum seasonal efficiency of 95%. **A properly configured outdoor reset control is required with new warm water boiler installations.**
- Steam boilers shall have a minimum seasonal efficiency of 80%.
- All boiler work must follow:
 - The Uniform Mechanical Code
 - National Fire Prevention Association (NFPA)
 - Local Codes (where existing)
 - Boiler Manufacturer's Specifications
- Boiler should be sized to the home's heating load, accounting for weatherization heat loss reductions.
- Install equipment connections (e.g., electrical service, drains, fuel, venting) to allow for necessary service and repair access to all portions of the equipment.³¹

²⁹ SWS 5.0108.4j, "Connections"

³⁰ SWS 5.0203.1, "Boilers"

³¹ SWS 5.0203.1g, "Connections"

- Boilers must have an IID and vent damper or be power vented.
- Maintaining a low-limit boiler temperature is not permitted unless the boiler is used for domestic water heating.
- An effective air-excluding device or devices must be part of the new hydronic system.
- The pressure tank must be replaced or tested for correct pressure during boiler installation.
- A pressure relief valve must be installed with the new boiler and discharge pipe installed to within 6 inches of the floor.
- Extend new piping and radiators to conditioned areas like additions and finished basements, currently heated by space heaters.

3195 Space Heater Installation

Replace combustion space heaters with sealed combustion, direct vent space heaters. If conditions in the house do not permit the installation of a sealed combustion direct vent space heater, an atmospherically vented space heater may be installed. The space in which the space heater is installed shall be treated as a combustion appliance zone (CAZ). A combustion safety test (section 312, “Combustion Safety Testing”) shall be conducted.

Install space heater exactly as specified by manufacturer. Installation of ventless space heaters is not permitted under the Illinois Home Weatherization Assistance Program.

3196 Wood Heating Installation

- All installations must meet manufacturer's specifications.
- All wood heating units must be certified to meet the EPA phase II emission standards or local standards, whichever are most strict.
- Installed units must be certified and labeled by:
 - a. National Fire Protection Association under 211; or
 - b. International Conference of Building Officials; or
 - c. Other equivalent listing organization.
- All clients receive in-home operation instructions to include proper wood-burning practices, safety information and proper maintenance, e.g., stack thermometers, the need for fire extinguishers, etc.

320 Water Heater Retrofits

3201 Tank Insulation³²

Do not insulate water heater if the unit has a manufacturer’s warning against adding additional insulation. If label is not visible, assume that insulation cannot be added to the tank.

Water heater must be operating in a safe condition before adding insulation. Water heater must not be leaking.

Tank insulation must be a minimum R10.

³² SWS 7.0301.2, “Tank Insulation”

Insulation must have a flame spread and smoke development index of 25/450 or less when tested in accordance with ASTM E84 or UL 723 and is clearly labeled with the R-value.

Insulation shall be secured to the water heater utilizing:

- A minimum of three vinyl straps or belts commercially available for water heater jackets, or
- A minimum of three metal banding straps or wires, or
- A minimum of three strips of vinyl tape commercially available for water heater jackets. Each strip shall form two complete wraps around the water heater jacket.

Fasteners should not compress insulation more than 50 percent of its normal thickness.

Water heaters to receive tank insulation must have a temperature-and-pressure relief valve and a safety discharge pipe. If the existing relief valve is plugged or leaking, it must be replaced. Install a relief valve and discharge pipe if none exists. The pipe must terminate 6 inches above the floor and be made of rigid metallic material. There shall be no threads on the end of the discharge pipe.

Water heater insulation shall not obstruct pressure relief valves, thermostat, high-limit switch, plumbing pipes or access plates.

Insulation shall be cut and removed around all controls, service panels (including electrical access panels), air inlets, temperature/pressure relief valves, drain valves specifications and instruction panels.

No insulation shall be in contact with the floor.

Gas-fired water heater insulation

- Maintain a minimum clearance of 6" between combustible tank insulation and water heater draft diverter and/or single wall metal vent materials.
- Keep insulation at least 2 inches away from the access door to the burner.
- Do not insulate the tops of gas-fired water heaters.

Electric water heater insulation

- Set both upper and lower thermostat to keep water at 125°F before insulating water heater.
- Insulation may cover the water heater's top if the insulation will not obstruct the pressure relief valve.
- Access holes must be left in the insulation for the heating-element thermostats.

3202 Pipe Insulation³³

- Insulate first 6 feet of both hot- and cold-water pipes minimum R3 insulation.
- Cover elbows, unions and other fittings to same thickness as pipe.

³³ SWS 7.0301.1, "Pipe Insulation"

- Keep pipe insulation at least 6 inches away from flue pipe.
- Interior diameter of pipe sleeve must match exterior diameter of pipe.

3203 Water Heater Replacement³⁴

Water heaters may be replaced with DOE funds only if the SIR is 1.0 or greater, or if the local agency has obtained OCA approval for a Health and Safety related replacement.

Replacement water heaters must be installed by licensed plumbers.

All water heater work must comply with the International Residential Code (IRC), the National Fire Prevention Association (NFPA), local codes (where they exist) and the water heater manufacturer's specification. No used water heaters may be installed.

Note that water heaters installed in garages must be a minimum of 18 inches off the floor.

All replacement water heaters must have a pressure relief valve and a discharge pipe extending within 6 inches of the floor.

Provide a level working space not less than 30" in length and 30" in width in front of the control side of the appliance. Install appliance and plumbing to allow for inspection, maintenance, and replacement of the appliance and its components, without disturbing other installed equipment, controls, piping, and components, other than what requires repair/replacement. Ensure that anode rod is accessible for replacement.

If appliance is installed in or above conditioned space or in a location where water damage could occur, install a drain pan according to the requirements of the International Residential Code (IRC). Drain pan to the exterior of the building.

Install a separate water cut-off valve for both the hot and cold water lines.

Install an expansion tank anytime a storage water heater is supplied with cold water that passes through a check valve, pressure reducing valve or backflow preventer. Connect the tank to the cold water supply line at a point that is downstream of all check valves, pressure reducing valves and backflow preventers. Size thermal expansion tanks in accordance with the tank manufacturer's instructions and applicable code.

Install dielectric unions when connecting copper to galvanized steel piping in accordance with the IRC and manufacturer specifications.

Install heat traps on the inlet and outlet piping where not provided by manufacturer.

Permanently remove equipment from job site and recycle or dispose of removed equipment and refrigerant in accordance with local and federal law.

Provide occupants/owners with user's manual, warranty information, installation instructions, and installer contact information.

³⁴ SWS 7.0302.2, "Fuel-Fired Storage Tank Water Heater"

32031 Electric Water Heaters³⁵.

Electric storage tank type water heaters must have a minimum Energy Factor (EF) of 0.93.

Install appliance where it is protected from freezing and accessible for service.

32032 Heat Pump Water Heaters³⁶

Electric heat pump water heaters must have an Uniform Energy factor (UEF) greater than or equal to 2.00 and must be ENERGY STAR rated.

Install appliance where it is in conditioned space and is accessible for service. Must have sufficient volume of air per manufacturer specifications. Install in location such that it will not affect indoor thermostat readings or blow directly on occupants.

32033 Gas and Propane Water Heaters

Gas and propane storage tank type water heaters must have a minimum Uniform Energy Factor (UEF) of 0.64 and be ENERGY STAR rated with low NO_x burners.

Properly sized and installed flexible gas appliance connectors are permitted on water heater installations.

Install appliance where it is protected from freezing and accessible for service.

In tight homes or homes where the mechanical room is located in living areas, replacement gas water heaters must be either power-draft or sealed-combustion. Sealed-combustion water heaters are preferred in tight homes where the water heater is in the living space.

32034 Mobile Home Water Heaters

Mobile home water heaters may only be replaced with DOE funds if they have an SIR of 1.0 or greater, or if the local agency has obtained OCA approval for a Health and Safety related replacement. See section 412, “Mobile Home Water Heaters” for mobile home water heater replacement standards.

32035 Tankless On-Demand Water Heaters³⁷

Gas and propane tankless water heaters must have a minimum UEF of 0.87 and be ENERGY STAR rated.

Ensure water heater fits in the installation space with required clearances and will provide sufficient hot water for the occupants.

Ensure gas line to water heater is of properly sized for water heater burners. Note that some homes may not have the proper size gas line to the home or pressure to support the addition of a tankless water heater.

³⁵ SWS 7.0302.1, “Electric Storage Tank Water Heater”

³⁶ SWS 7.0302.3, “Heat Pump Storage Tank Water Heater”

³⁷ SWS 7.0302.5, ‘Tankless On-Demand’

321 Gas Ovens

3211 Inspection

- Inspect the stove for gas leaks at the fittings using a gas leak detector.
- Gas burners shall be turned-on and visibly inspected. A *Potential Hazardous Condition* form shall be completed and given to the client if:
 - The flames have any discoloration, flame impingement or an irregular pattern, or
 - The burners are visibly dirty, corroded or bent.
- Inspect oven for stored materials and remove before testing.
- Turn on oven to bake temperature of 500°F.
- Place test probe of CO analyzer on throat of oven exhaust.
- Test for CO after oven has reached steady-state (CO readings have steadied).
- CO shall not exceed 225 ppm as measured when measured in undiluted flue gases. If CO exceeds 225 ppm as measured, the following recommendations may be made:
 - Recommend cleaning to client if oven is excessively dirty and a *Potential Hazardous Condition* form shall be completed and given to the client.
 - The range may be replaced.

3212 Replacement

Gas ovens may be replaced as a Health & Safety measure if high CO readings are found and/or the oven is non-repairable. DOE funds may not be used for stove replacement. **Non-operable stoves shall not be replaced.** A waiver is required for replacement and the new units must meet the following requirements.

- Units shall be free standing 30" range with a 4-burner cooktop, electronic ignition, oven window and interior light.
- Units shall be white or black – no special color orders.
- Installation shall include new flex-line and gas valve.
- Must be installed per manufacturer's instructions.
- All packing materials from compartments shall be removed.
- Burners and oven shall be checked for proper operation.
- Instructions shall be left with client.
- Contractor shall remove old unit from home.
- Gas ranges may be replace with electric ranges **IF** there is an existing electrical connection requiring no upgrade **AND** the client agrees to the switch.
- Oven shall be tested for CO per the above requirements. As measured CO shall be less than 225 ppm.

322 Contractor Checklist

The HVAC Contractor Checklist is to be completed on each home where mechanical work was completed. This document must be signed and dated by the contractor who completes the work. The Contractor Checklist may be downloaded from *WeatherWorks*.

- All information requested on the contractor checklist for the heating system serviced must be provided.
- All readings are to be obtained directly from the heating system serviced and are not to be estimates derived from contractor service manuals.

- The Contractor Checklist must be provided to the Weatherization Agency for inclusion as a permanent part of the client file.
- Payment for services rendered by the HVAC contractor shall not be made until the Contractor Checklist is completed, signed and dated by the contractor who serviced the heating system.

CONTRACTOR CHECKLIST -

rev. 05/21/2021

Job# _____ Date _____ Contractor Name & Phone # _____
 Client Name _____ Address _____ City _____
 Phone _____ Furnace/Boiler brand & model number _____ Serial # _____

(Circle all that apply)

Residential Furnace Condensing unit Mini-split Mobile Home Boiler Heat pump

Natural Gas Propane Electric Clean & Tune Appliance Replacement

Furnace

Inspect vent system & vent connections Yes No NA
 Electric shutoff switch present Yes No NA
 Manual gas valve present & operational Yes No NA
 Sediment trap at unit location present Yes No NA
 Clean & inspect pilot, & burners Yes No NA
 Replace thermocouple Yes No NA
 Inspect wiring for cracks & overheating Yes No NA
 Clean and inspect heat exchanger Yes No NA
 Combustion Blower cleaned Yes No NA
 Clean main blower and secondary heat exchanger Yes No NA
 Advanced thermostat installed with common wire Yes No NA
 Set back thermostat installed & programed Yes No NA
 Are all rooms receiving heat Yes No NA
 Is adequate return air present Yes No NA
 Air filter cover present Yes No NA
 Gas leak test all gas appliance & supply lines Yes No NA
 Unit raised minimum of 1 inch Yes No NA
 Indoor blower type PSC EEM ECM CFM setting _____ cfm

90+ Furnaces

Two pipe vent installed per PMI Yes No NA
 Vent termination per PMI Yes No NA
 If less than 90 % state reason _____
 Neutralizer installed on condensate line Yes No NA
Mobile Homes
 Listed mobile home furnace Yes No NA
 Flue Collar/Roof Jack installed Yes No NA
 Defective floor registers replaced Yes No NA
 Floor Supply/Return ducts/boots sealed Yes No NA
 Approved Mobile Home vent pipe Yes No NA

Electric Heat

Condition of Elements & Links _____
 Voltage _____
 Condition of wiring _____
 Rated amp draw _____ Measured amp draw _____
 Temp Rise per Manufacturer's Specifications _____
 Supply temp.(AVG) _____ Return Temp. _____ Temp. Rise _____
 Disconnect present? Yes No

Testing

Worst case conditions ____ PA Spillage test passed Yes No NA
 Draft Reading (see table) _____ COaf Reading _____
 Rated Input _____ Btuh Clocked Input _____ Btuh
 Gas pressure _____ iwc.
 Temp rise per name plate _____
 Supply air temp (T1) _____ (T2) _____ (T3) _____ AVG _____
 Return air Temp _____ T_{Rise} _____
 Blower on temp _____ Blower off temp _____
 Supply static pressure _____ Pa Return static pressure _____ Pa TESP _____ Pa
 Name plate max TESP _____

Appliances

Sediment trap present Yes No NA
 Uncoated brass flex connectors replaced Yes No NA
 Gas leak test conducted Yes No NA
 Rigid vent present & connected Yes No NA
 Shutoff w/ handle present and operational Yes No NA

Gas Stove Gas Dryer

Yes No NA Yes No NA
 Yes No NA Yes No NA
 Yes No NA Yes No NA
 Yes No NA Yes No NA

BOILER

Inspect vent system & vent connectors	Yes	No	NA
Gas shutoff valve present & operational	Yes	No	NA
Sediment trap present	Yes	No	NA
Electric shutoff switch present	Yes	No	NA
Clean & inspect burners and pilot	Yes	No	NA
Clean & inspect heat exchanger?	Yes	No	NA
Inspect wiring?	Yes	No	NA
Gas leak test all appliance & supply lines	Yes	No	NA
Repair water/steam leaks?	Yes	No	NA
Fill Valve operational?	Yes	No	NA
IID/Vent Damper installed?	Yes	No	NA
Pressure/Temp. Valve operational?	Yes	No	NA
Expansion tank drained/pressure check	Yes	No	NA
System bled?	Yes	No	NA
Low Water cutoff cleaned and operational	Yes	No	NA
All radiators receiving heat	Yes	No	NA
Sight glass visible & cleaned?	Yes	No	NA
Pigtail removed & cleaned (Steam)	Yes	No	NA
Outdoor reset installed/operational	Yes	No	NA
Thermostat installed/programed W C wire	Yes	No	NA

Testing

Worst case conditions _____ Pa COaf reading _____

Flame condition _____ Spillage test passed Yes No NA

Gas Pressure _____ iwc. Flue Temp _____ Degrees

Rated Input _____ BTU Clock Input _____

Outdoor reset installed and operational Yes No NA

Circulator on Temp. _____ Circulator off temp. _____

CLIENT INFORMATION

Guarantee form been left with the client	Yes	No
PMI been left with the Client	Yes	No
Furnace Filters been left with the client	Yes	No
Sizing Chart been Completed	Yes	No

Cooling/Heat Pump/Mini-split

Outdoor unit name/model _____

Indoor unit model _____ Coil model _____

Aux heat _____ kw Yes No NA

Disconnect on outdoor & indoor unit Yes No NA

Refrigerant lines leak checked Yes No NA

Suction line insulated inside and outside Yes No NA

Thermostat installed with C wire Yes No NA

Unit mounted on level pad with room for service Yes No NA

Heat pump unit raised up above ground level Yes No NA

Plenums fastened to indoor unit Yes No NA

Line sets torqued to PMI specifications Yes No NA

Condensate drain with cleanout installed Yes No NA

Charging method super heat sub cooling factory charge

Refrigerant type _____ Metering device TXV orifice

Running test

OAT _____ f. Return wet bulb _____ f. return dry bulb _____ f

supply wet bulb _____ f supply dry bulb _____ f

High side pressure _____ psig low side pressure _____

Liquid line temp _____ suction line temp _____

Measured super heat _____ Measured sub cooling _____

Required super heat _____ Required sub cooling _____

WATER HEATER GAS _____ Electric _____

Type: Power Vent Sealed Combustion Natural Draft

Unit mounted minimum of 1 inch above floor

Draft Reading _____ iwc

Worst case conditions _____ PA Spillage test passed Yes No NA

COaf Reading _____ ppm

Condition of venting _____ Condition of burner _____

Electric disconnect installed Yes No NA

Manual gas shutoff w/handle installed & operational Yes No NA

T/P valve discharge pipe installed & operational Yes No NA

Shut offs installed supply & return Yes No NA

Sediment trap installed Yes No NA

Gas leakage test conducted Yes No NA

Flue liner installed? Yes No NA

Burner Door /Panel in Place? Yes No NA

I certify that I have inspected all existing, and newly installed gas lines and gas appliances for any gas leaks, and that all combustion appliances are working safely within the specified IHWAP parameters. I understand that all invoices must be itemized with Labor/Material costs and submitted with the Work Order and this document.

Technician Signature

Date

400 – Mobile Home Standards

411 Mobile Home Furnaces

A great majority of mobile homes are equipped with downflow furnaces, designed specifically for mobile homes (Figure 411-1). A replacement furnace should never have a larger Btu rating than the mobile home manufacturer recommends, unless the home has been added onto. Mobile home furnaces are different from conventional furnaces in the following ways:

- Mobile home combustion furnaces are sealed-combustion units that use outdoor combustion air.
- Gas-fired furnaces contain kits to burn either propane or gas.
- Return air to the furnace usually passes through a large opening in the furnace rather than a ducted return. Supply air is returned to the furnace through the living space. The furnace closet door must have louvers or grilles that allow the air back to the furnace return air opening.

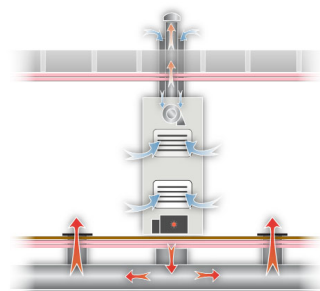


Figure 411-1: Typical mobile home downflow furnace

4111 Furnace Replacement

Mobile home furnaces must be replaced by furnaces designed and listed for use in mobile homes. See section 319, “Heating System Replacement Standards”, for heating system replacement guidelines. A 95% replacement furnace should always be installed in a mobile home. If a 95% furnace can’t be installed, the local Weatherization Agency must request a waiver from the Office of Energy Assistance. If an 80% furnace is approved for installation, a new roof jack must also be included.

4112 Furnace Maintenance

Mobile home furnaces should comply with the combustion safety and efficiency standards as discussed in sections 3111 (“Natural Gas and Propane”), 3112 (Electric Heating Systems), 3113 (Wood Burning Safety) and 312 (Combustion Safety Testing).

4113 Furnace Venting

Mobile home furnaces often use manufactured chimneys that include a concentric passageway for combustion air. When replacing a mobile home furnace, note any differences between the old and new furnace supply air paths. Follow manufacturer’s instructions exactly.

Mobile home furnaces with concentric vents cannot be drilled and must be tested at the exhaust port which is often on the roof. If climbing on the roof to test the furnace is not safe (poor ladder footing, roof in poor condition), do not test the furnace.

Inspect the vent for signs of rust, cracks, holes or unsealed or disconnected sections. Repair or replace if necessary.

4114 Ductwork

The following locations have been identified as the most serious duct problems in mobile homes:

- Floor and ceiling cavities used as return-air plenums. These return systems should be eliminated and replaced with central return-air¹ through the living space back to the furnace. – see section 41141, “Converting Belly-Return Systems”.
- Disconnected, damaged or poorly joined crossover duct – see section 41142.
- The joint between the furnace and the main duct. The main duct may need to be cut open to access and seal these leaks.
- Joints between the main duct and its boots - the short duct sections joining the main duct to the floor register.
- Joints between duct boots and floor (Figure 4114-1). Mechanically attach and seal with mastic. If gap is larger than $\frac{3}{4}$ ", first cover gap with fiberglass mesh tape and then seal with mastic².
- Pressure pan tests (see section 114, “Pressure-Pan Duct Test”) should be conducted on the ducts following duct repair/sealing. Duct leakage test standards provided in section 41144, “Duct Leakage Standards”, shall be met.
- See Figure 4114-2 for potential duct leakage locations.



Figure 4114-1: Opening between duct boot and floor

41141 Converting Belly-Return Systems

The following standards shall be met when converting a belly-return system in a mobile home to a central return.

- A grill with at least 200 in² of net free area shall be added to the furnace closet door.
- All floor return registers shall be blocked with a durable material to keep floor insulation from being blown into the home.
- Completely block and seal all floor openings in the furnace closet using a fire retardant air barrier, being careful to not seal the combustion air inlet.
- Check the temperature rise of the furnace to ensure that the airflow is not restricted, especially after installation of floor insulation. The temperature rise should be within the range specified on the manufacturer’s label or between 40° and 80° F.
- Repair the plenum/furnace joint at the floor before measuring the temperature rise if necessary.
 - If the temperature rise is greater than the recommended range the

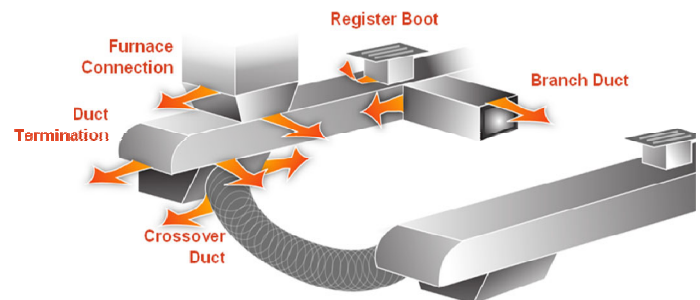


Figure 4114-2: Potential mobile home duct leakage locations

¹ A central return is defined as a return air system with one return air grille. Return air may be ducted to the furnace or, as in the case of mobile homes, air returns to the furnace through louvered doors to the furnace closet.

² SWS 5.0105.5, “Replace MH Duct Boots”

airflow is restricted by an:

- Undersized opening in the furnace closet door, or
- Another restriction in the ductwork
- If the temperature rise is less than the recommended range, there might be:
 - Significant leakage at the furnace/plenum joint, or
 - Significant leakage in the duct between the furnace and the supply air register where the temperature was measured.
- Room pressures shall be tested once the temperature rise is within the recommended range. See section 115, “Room-to-Room Pressure Test”.

41142 Crossover Ducts³

Crossover ducts are generally made with flex duct. Inspect crossover ducts for the following conditions and correct as necessary.

- Ducts should not be compressed nor should sharp bends be present.
- Ducts should be insulated to a minimum R8.
- Sags in crossover ducts should be limited to 12 inches over an eight foot span.
- Ducts should be mechanically secured to belly of mobile home.

Damaged crossover duct work should be replaced. New ducts shall be rigid metal made of minimum 26 gauge metal. Cut-out damaged sections. Insert and secure metal sleeve between remaining pieces of duct. Mechanically fasten at both inner and outer liner. Seal joints with UL-listed sealant that is durable and structurally sound. Insulate metal sleeve to a minimum R8.

41143 Duct Sealing⁴

Any portion of the duct work that extends beyond the last register or grille may be sealed.

End blocks should be made from sheet metal or aluminum flashing. Any metal end blocks must be mechanically attached to the duct system. Gaps between the end block and the duct must be sealed with mastic. If possible, install the trunk end block at least one foot beyond the last register location. Duct “sweeps” or sloped end blocks are not to be used.

Spray polyurethane may be used to seal ducts outside the thermal boundary. Spray polyurethane foam may not be used on ducts inside the thermal boundary.⁵

See section 3153, “Ducts” for additional information regarding duct sealing procedures and methods for improving airflow.

Duct leakage standards shown in section 41144 shall be met.

41144 Duct Leakage Standards

- No more than half of the pressure-pa readings shall be higher than 3.0 Pa and
- No readings shall be greater than 8.0 Pa (Figure 41144-1).

³ SWS 5.0105.3, “Crossover Duct Repair or Replacement”

⁴ SWS 5.0106.1, “Duct Sealing”

⁵ SWS 5.0106.2c, “Installation”

See section 114, “Pressure Pan Duct Test”, for pressure pan test procedures.

412 Mobile Home Water Heaters^{6, 7}

Mobile home water heaters may be replaced with DOE funds only if the SIR is 1.0 or greater and meets the following requirements.

Water heaters installed at the time of mobile home assembly were HUD approved for mobile home installation (Figure 412-1). The following considerations should be given when replacing mobile home water heaters:

- Contractors should become familiar with the HUD code for water heaters and apply these standards when advising about, working on, or replacing water heaters in manufactured homes.
- Water heaters, whether gas or electric, should be installed to discourage storage of combustibles around heat-producing appliances. Clearances around water heaters should be in accordance with manufacturer’s instructions.
- Gas or propane fired water heaters must provide for the complete separation of the combustion air from the conditioned space. If this condition is met, HUD labeling of the water heater is not critical.
- Water heaters in manufactured homes should be installed with a drain pan.
- Floors under replacement water heaters should be stable, level and structurally sound before they are installed.



Figure 41144-1: Initial pressure pan reading of 47 Pa; return duct was totally disconnected



Figure 412-1: Existing mobile home water heater

413 Mobile Home Air Sealing

ASHRAE 62.2 shall be used in mobile homes (see sections 112 and 505, “ASHRAE 62.2”). See section 11122, “Target CFM50 Rate” for determining air sealing guidelines.

Because insulating mobile home floors, walls and roof cavities often make a mobile home tighter, it is recommended that air sealing be limited to sealing ductwork and large holes needed to hold insulation in place until all insulation measures have been completed and a blower door test has been conducted.

4131 Air Leakage Locations

The following are common air leakage problems in mobile homes.

⁶ For additional information, see “Water Heaters and Manufactured Housing - A Survey of Code Requirements with Recommendations for IHWAP Providers” by the Building Research Council, September 2000.

⁷ SWS 7.0302, “Water Heater Installation”

- Plumbing penetrations in floors, walls and ceilings. Water heater closets with exterior doors are particularly serious air-leakage problems, having large openings into the bathroom and other areas.
- Torn or missing underbelly, exposing flaws in the floor to the space beneath the mobile home.
- Gaps around the electrical service panel box, light fixtures, fans and flue pipes.
- Joints between the halves of double-wide mobile homes and between the main dwelling and additions.
- See section 2123, “Bypass Sealing Materials” for information regarding air sealing materials.

414 Mobile Home Floor Insulation

Mobile home floor insulation is a beneficial measure in heating climates. Existing insulation is fastened to the bottom of the floor joists, leaving the cavity uninsulated and subject to convection currents (Figures 414-1 & 2). Mobile home floor cavities may be blown with fiberglass insulation. Alternate floor insulation methods may be done with IHWAP approval.

4141 Mobile Home Floor Preparation⁸

- The belly material of the mobile home must be inspected prior to blowing floor insulation. Seal air leaks and ensure that all moisture problems are solved before insulating.
- Gas, water and electrical lines should be secured every 4 feet.
- Ensure that floor cavity is not being used as a belly-return air plenum. The belly-return must be converted to central return before floor cavity is insulated. See section 41141, “Converting Belly-Return Systems”.
- If existing conditions of the ground and skirting mandates, a moisture barrier that covers the crawl space ground will may be installed with allowances for structural supports (piers) and accessibility. Otherwise, ground moisture barrier is not required for mobile homes.
- Test ducts to ensure that they are tight (see section 4114, “Ductwork”). Seal all holes in the duct system before insulating floor cavity. Ensure that duct boots are securely fastened to sub-floor and main trunk. Duct leakage standards described in section 41144 should be met.
- Determine location of water pipes in the floor cavity. There must be a minimum of 3 inches between the belly material and pipes for floor insulation. If it is not possible to get 3 inches of floor insulation between the belly material and pipes, the pipes must be

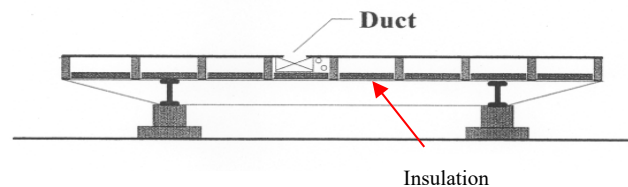


Figure 414-1: Insulation on bottom of floor cavity – floor joists running length of mobile home

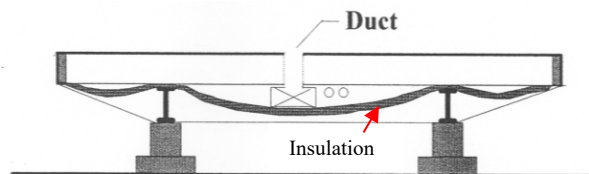


Figure 414-2: Insulation on bottom of floor cavity – floor joists running width of mobile home

⁸ SWS 4.0302.9a, “Pre-work Qualifications”

insulated or moved closer to the floor above. Otherwise, the floor cavity should not be insulated.

- Tightly seal all holes in the floor to prevent loose insulation from blowing into the living space.
- Seal large holes in the belly material and ensure that all plumbing problems are solved before insulating. Patch holes with insulated foam board, fiberboard, house wrap or belly-paper (nylon reinforced material specially manufactured for mobile homes). Secure patches with stitch-staples and caulk, screws or lath strips.⁹

4142 Floor Insulation¹⁰

Floor cavities should be insulated with blown fiberglass installed to a density of 1.25 lbs/ft³ to 1.75 lbs/ft³. A density of 1.5 lbs/ft³ may be achieved if approximately 50 pounds of fiberglass insulation are installed per 100 ft² of floor area. Batt insulation may be used when repairing and patching mobile home floor cavities. Blown cellulose and rock wool are not to be used.

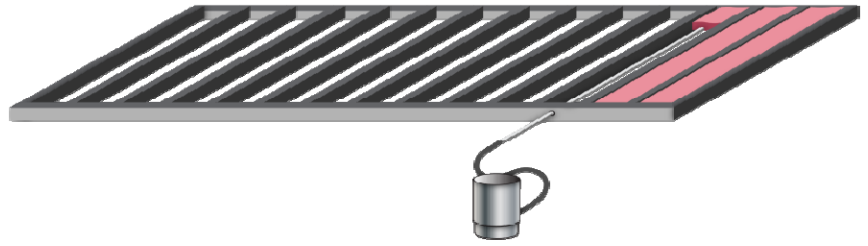


Figure 4142-1: Insulating floor cavity from the side where the floor joists run crosswise to the mobile home

Two methods of insulating mobile home floors are common. The first is drilling through the 2-by-6 rim joist and blowing through a rigid fill tube. Insulation may be blown



Figure 4142-2: Insulating floor cavity from the end where the floor joists run the length of the mobile home (end blow)

from the sides where the floor joists run crosswise to the mobile home (Figure 4142-1), or a side blow. If the floor joists run the length of the mobile home, the floor cavity may be insulated from the ends of the mobile home (Figure 4142-2), or an end blow.

The second method is blowing insulation through a flexible fill tube from holes in the underbelly (belly-board method).

41421 Side and End Blow Methods

Each joist cavity in the floor is insulated through holes cut in the rim joist. Remove trim pieces to expose the rim joist. Drill carefully to avoid wiring located adjacent to rim joists. Block drilled holes with wood plugs following insulation. Seal plugs with adhesive prior to replacing trim.

Ducts running Crosswise to the Mobile Home (side blow)

Two 2-9/16 inch holes should be drilled into adjacent joist cavities on opposite sides of the mobile home to avoid



Figure 41421-1: Blowing a mobile home floor from the side

⁹ SWS 3.0102.5 & 7, "MH Belly Repair – Soft Bottom Patching & Rigid Bottom

¹⁰ SWS 4.0302.9, "MH – Blown Belly Insulation"

excessive weakening of the rim joist (Figure 41421-1). The belly-board may have sags in it where it dropped down from the joists, especially near the center where the duct is located. It may be necessary to push the belly-board up and secure to the joists to avoid installing unnecessary amounts of insulation. Leave a minimum 3 inch space between the belly material and bottom of duct and pipes for insulation.

Ducts running the Length of the Mobile Home (end blow)

The rim joists on the short sides of the mobile home are non-structural. Two 2-9/16 inch holes should be drilled into each cavity at the front and rear of the home as it may be difficult to insulate the entire joist run from one side (Figure 41421-2). Insulate half the cavity from each end of the home.

Attach sections of rigid fill tubes as needed to fill each cavity.

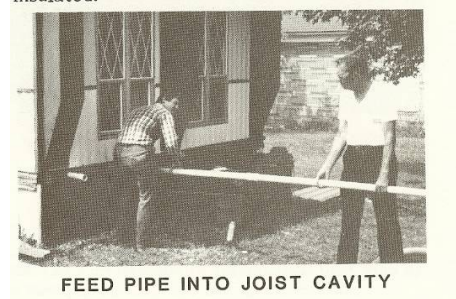


Figure 41421-2: Blowing a mobile home floor from the front

41422 Belly-Board Method (Figure 41422-1)

For crosswise joists, use existing holes or cut slits near the center of the home. Extend a flexible fill-tube out to the rim joist. Fill cavity from edge back towards hole. Repeat procedure on other side of joist cavity.

Secure sections of belly-board to floor joists where sags are present to avoid blowing an unnecessary amount of insulation into the cavity. Leave a minimum 3 inch space between the belly-board and bottom of duct and water pipes for insulation.

For ducts that run the length of the mobile home, cut holes into each joist cavity. Space holes along the floor cavity at approximately the same length as the fill-tube.

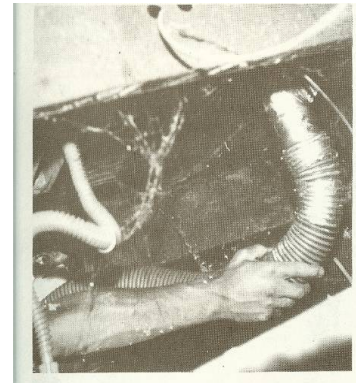


Figure 41422-1: Belly-board method

415 Mobile Home Wall Insulation

Mobile home walls are usually partially insulated. It is common for the existing insulation to fill only half of the cavity's thickness and to be poorly installed. Access to mobile home walls is from the bottom of the metal siding. Use fiberglass batts or blown fiberglass. Cellulose and rock wool are not allowed because of moisture absorption and weight.

Sidewalls should not be dense-packed or over-filled. Inspect exterior siding and interior panels and repair or reinforce sections as necessary before insulating. Seal holes and cracks in interior wall panels to keep loose insulation from getting into the home.

4151 Electrical Assessment

The client should be asked about any known existing electrical problems. Assess type and condition of electrical wiring. Electrical #12 aluminum or #14 copper wiring must be protected with 15 amp fuses or breakers. Cavities should not be insulated if excessive movement of the wires will occur. Each outlet, switch, or light fixture should be checked for proper operation with a receptacle tester before and immediately following the completion of the insulation work.

If aluminum wiring is present, a licensed electrician should check that the wiring is safe both prior to and after installing sidewall insulation. A brass pig-tail shall be used to connect aluminum wiring to copper wiring when installing new furnaces, exhaust fans and other electrical devices. Proper ground connections shall also be checked. Contact Weatherization Agency if aluminum wiring is found.

4152 Wall Insulation

Access to mobile home walls is from the bottom of the siding. If horizontal siding is present, the bottom section of siding is removed. If vertical siding is present, the siding is loosened by removing the bottom row of screws. Joints in the vertical siding pieces may need to be secured with short sheet-metal screws.

Walls may be insulated using the batt-stuffer method or may be blown with fiberglass. Cellulose insulation is not to be used.

41521 Batt-Stuffing Mobile Home Walls¹¹

This method works on about 50 percent of metal-sided mobile homes. It is faster than blowing the wall and works well for partially insulated walls or wall cavities with obstructions. Poly encased or vinyl faced fiberglass insulation is preferred for this application, however kraft-faced and unfaced batts will also work (Figure 41521-1).

- Use a batt stuffer made of quarter-inch *Lexan*® (polycarbonate plastic), 10 or 11 inches wide and 96 inches long (Figure 41521-2).
- On the ground, lay a piece of plastic sheeting, measuring approximately the same size as the unfaced batt and the stuffer.
- Cut batts approximately 8 inches longer than the wall cavity height.
- Lay the batt on the plastic and the batt-stuffer on the batt.
- Lap a few inches of the batt and plastic sheeting over the top of the batt-stuffer. Stuff the batt up into the wall between existing insulation and the interior



Figure 41521-1: Batt-stuffing a mobile home wall

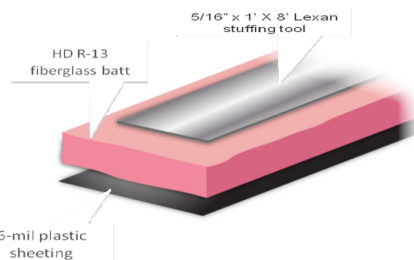


Figure 41521-2: Batt stuffing tool

¹¹ SWS 4.0202.3, "MH – Fiberglass Batts"

paneling, with the plastic sheeting against the wall paneling. The plastic sheeting may remain in place.

41522 Blowing Mobile Home Walls¹²

Blowing mobile home wall cavities is recommended for cavities that cannot be stuffed with batts. Additional insulation is blown between existing insulation and interior paneling with a flexible fill tube with a 1-1/4 inch inside diameter. Fiberglass insulation should be blown to a density of no more than 1.6 #/ft³.¹³ The end of the hose should be cut on a 45 degree angle to facilitate movement up the wall cavity. Use the natural curvature of the tube to help push the tube up the wall cavity. Ensure that interior paneling is sound.

- Remove screws from bottom of exterior siding.
- Pull siding and existing insulation away from studs.
- Insert tube to the top of the wall cavity with tip sliding against interior paneling.
- Avoid overfilling the cavity and bulging the exterior siding.

To prevent over-filling the wall cavity, loose blow the bottom of the cavity with an unfaced batt stuffed in the bottom of the cavity to prevent insulation from blowing out of the wall cavity. Additional insulation is blown between existing insulation and interior paneling. Make sure that interior paneling is sound.

416 Mobile Home Roof Cavity Insulation

Blown fiberglass is required. Cellulose is not to be used because of moisture absorption, density and weight.

Venting mobile home roofs is optional. Vent installation may be considered part of an overall strategy to keep moisture out of the roof cavity.

Ensure that electrical problems do not exist in roof cavity before insulating (see section 4151, “Electrical Assessment”).

Occupants of mobile homes in heavy snow load areas should be advised that snow loads will likely increase due to roof cavity insulation. Occupants should be advised not to shovel snow off of the roof, but rather use a push broom if there are concerns.

There are two common methods for blowing mobile home roof cavities. The first is disconnecting the metal roof at its edge and blowing fiberglass through a rigid fill-tube. The second is cutting a square hole in the metal roof and blowing fiberglass through a flexible fill-tube.

4161 Preparation

See section 2131, “Safety”, for information with respect to insulation clearances. Generally, insulation should be kept a minimum of 3 inches from heat producing devices such as non-Type-IC rated recessed lights.

¹² SWS 4.0202.4, “MH – Blown Fiberglass”

¹³ SWS 4.0202.4e, “Installation”

- Inspect the ceiling and seal all penetrations.
- Reinforce weak areas in the ceiling.
- Inspect seams and joints on the roof. Seal open seams and joints before or during insulation installation.
- Take steps to maintain safe clearances between insulation and recessed electrical fixtures.
- Assemble patching materials such as metal patches, sheet-metal screws, putty tape, and roof coating.



Figure 41611-1: Blowing from the edge

41611 Blowing Through the Edge (Figure 41611-1)

This procedure requires a scaffold to be performed safely and efficiently. The roof cavity may have to be accessed from both sides of the mobile home if a “strongback”¹⁴ is present in the roof assembly and the fill tube won’t fit under it. Mobile home metal roofs are usually fastened only at the edge, where the roof joins the wall.

- Remove the screws from the metal j-rail at the roof edge. Also remove staples or other fasteners. Scrape off putty tape.
- Pry the metal roof up far enough to insert a 2 inch diameter, 14 foot long rigid fill tube (Figure 41611-2).
- Blow insulation through the fill-tube into the cavity. Loose blow the last few feet (nearest installer) to prevent insulation from blowing out. Stuff the last foot or two with unfaced fiberglass batts.
- Re-attach roof edge to the wall using new putty tape and larger screws (Figure 41611-3). Re-attach rain gutter.



Figure 41611-2: Blowing roof cavity from edge



Figure 41611-3: Re-installing roof gutter with new putty tape

41612 Blowing Through the Top (Figure 41612-1)

This procedure is not recommended for metal roofs in heavy snow load areas. Instead, install insulation from the roof edge (section 41611) in these areas.

- Cut 10 inch square holes at the roof’s apex on top of every second truss. Each square hole allows access to two truss cavities.
- Existing aluminum roof coating around hole must be removed before new patch is installed. The coating must be heated and then may be scraped-off.
- Use a 2 inch or 2 ½ inch diameter fill-tube. Insert the fill-tube and push it out to within 6 inches of the cavity edge.
- Blow fiberglass insulation into each cavity. Install insulation to a density between 1.25 lbs/ft³ and 1.75 lbs/ft³. Do not overfill cavity.



Figure 41612-1: Blowing insulation through mobile home roof

¹⁴ A beam used as a stiffener in some mobile home roofs and floors.

- Stuff the area under each square hole with a piece of unfaced fiberglass batt so that the finished patch will stand a little higher than the surrounding roof.
- Patch the hole with a 14 inch square, 26 gauge galvanized steel. Seal with roof cement and screw into the existing metal roof (Figure 41612-2).
- Cover the patch with a second 18 inch square patch of *Peal and Seal*.



Figure 41612-2: Patch hole with galvanized steel and roof cement

417 Mobile Home Windows

4171 Replacement Windows

Replacement windows are to be double glazed.

True mobile home replacement windows shall have a U-value no higher than 0.36 and need not be ENERGY STAR rated. Replacement windows meant for site built homes but used in mobile homes shall have a U-value no higher than 0.27 and be ENERGY STAR rated.

New jalousie or awning type windows are not acceptable as replacements. At least one replacement window with an emergency release should be installed in bedrooms when a bedroom window is being replaced.

Condition of rough opening members should be inspected when replacing windows. Deteriorated, weak or waterlogged framing members are to be replaced.

Prepare replacement window by lining the perimeter of the inner lip with 1/8-inch thick putty tape or 100% silicone caulk. Exterior window frame perimeter shall be caulked to wall after installing window.

4172 Mobile Home Storm Windows

Two kinds of interior storm windows are permitted as mobile home measures. RDG storm windows clip into a frame, screwed into the wall. RDG storms serve awning and jalousie windows. Interior sliding storm windows that are paired with exterior sliding prime windows shall be operable. Interior storms shall not interfere with the bedroom egress requirements

Replacement of existing storm windows is not allowed unless the existing storm windows cannot be re-glazed or repaired.

418 Mobile Home Doors

Mobile-home doors come in two basic types: the mobile-home door and the house-type door. Mobile home doors swing outward and house-type doors swing inward. Mobile home replacement doors do not have to be ENERGY STAR rated.

419 Mobile Home Skirting

Mobile home skirting is not allowed either as a retrofit or repair item. Insulating existing skirting is also a non-allowable weatherization measure.

500 – Health & Safety Standards

Health and Safety Issues are divided into the following sections:

- 501 Vermiculite
- 502 Ambient Carbon Monoxide (CO) Monitoring
- 503 Spray Polyurethane Foam
- 504 Mold and Moisture
- 505 ASHRAE 62.2-2016
 - Continuous Exhaust Only
 - Supply-Only Ventilation
 - Balanced Ventilation
- 506 Kitchen Exhaust Fans
- 507 Exhaust Fan Ducts
- 508 Dryer Venting
- 509 Gutters and Downspouts
- 510 Smoke Detectors
- 511 Fire Extinguishers
- 512 Carbon Monoxide Alarms
- 513 Lead Safe Weatherization Practices
- 514 Code Compliance
- 515 OSHA
- 516 Asbestos
- 517 Hazardous Materials
- 518 Refrigerants
- 519 Injury Prevention
- 520 Radon

501 Vermiculite

Vermiculite is a naturally-occurring mineral composed of shiny flakes, resembling mica. When heated to a high temperature, flakes of vermiculite expand as much as 8-30 times their original size. The expanded vermiculite is a light-weight, fire-resistant, and odorless material and has been used in numerous products, including insulation for attics and walls.



A mine near Libby, Montana, was the source of over 70 percent of all vermiculite sold in the United States from 1919 to 1990. There was also a deposit of asbestos at that mine, so the vermiculite from Libby may be contaminated with asbestos. **It should be assumed that vermiculite insulation is from Libby** and the material should be treated as if it contains asbestos.

Attic insulation that looks like vermiculite should not be removed or disturbed. Removal of vermiculite attic insulation is not allowed with any IHWAP funding.

The Weatherization Agency may choose to test for asbestos to determine if insulation and air sealing work can be done. Testing must follow the Asbestos Hazard Emergency Response Act of 1986 sample collection method and testing must be conducted by a certified tester.

Blower door testing is still permitted and should be done in pressurization mode. Therefore, since vermiculite cannot be disturbed, air-sealing cannot be performed in an attic with vermiculite and ventilation may not be installed through such an attic. If it is not possible to comply with ASHRAE ventilation requirements through supply ventilation, balanced ventilation, or exhaust ventilation that goes through a side wall, the home would be a deferral.

502 Ambient Carbon Monoxide (CO) Monitoring

502-1 Requirements

Assessors and final inspectors shall have a designated ambient CO monitor continuously operating while working in the home (Figure 502-1). Monitors are to be worn near the breathing zone (chest or higher).

The ambient air shall be sampled upon entering the home. The ambient air may be sampled while taking the initial walk-through of the home. Sampling should be done in all occupiable areas of the home, including basements, utility rooms and attached or tuck-under garages.

Architectural contractors are required to wear personal CO monitors while conducting spillage test-out. Mechanical contractors are required to wear personal CO monitors while conducting Combustion Safety Testing.

Monitors are to be turned on outside the building away from any combustion outlets and automobile traffic areas, adjusted to zero and otherwise prepared for use in accordance with manufacturer's instructions.

Assessors, final inspectors, architectural and mechanical contractors shall comply with CO exposure and Lower Explosion Limits (LEL) action levels specified in section 502-2. Work shall not proceed when CO concentrations in the home exceed 70 ppm or LEL is greater than 10%.



Figure 502-1: Personal CO monitor

502-2 Indoor Ambient CO Action Levels

Actions in response to ambient CO measurements shall be taken as follows:

- If the CO monitor indicates an ambient CO level of 70 ppm or greater or the LEL reading is greater than 10%, the assessment, architectural work, mechanical work or the final inspection shall immediately cease. The client shall be notified that all building occupants are to evacuate the building. The Weatherization Agency is to be contacted such that the appropriate emergency services can be notified.
- If the CO monitor indicates an ambient CO reading in the range of 36 ppm-69 ppm, the assessor, architectural contractor, mechanical contractor or final inspector shall advise the client that **elevated** levels of ambient CO have been detected. Windows and doors shall be opened. All possible sources of CO are to be turned off immediately. Where it appears that the source of CO is a permanently installed appliance, a recommendation shall be made that the appliance be turned off. Weatherization work not impacted by opening windows and doors or turning off the suspected appliance may proceed. The Weatherization Agency shall be contacted for further direction.
- If the CO monitor indicates an ambient CO reading in the range of 9 ppm-35 ppm, the assessor, architectural contractor, mechanical contractor or final inspector shall advise the client that CO has been detected and recommend that windows and doors be opened. All possible sources of CO should be checked. Where it appears that the source of CO is a permanently installed appliance, the mechanical contractor should be contacted to service the appliance. Weatherization work not impacted by opening windows and doors may proceed. The Weatherization Agency shall be contacted for further direction.
- If the CO monitor indicates an ambient reading in the range of 0 ppm-9 ppm, weatherization work may proceed in a normal fashion.

503 Spray Polyurethane Foam (SPF)

Air purifying masks with an organic vapor cartridge and P-100 particulate filter shall be used when applying low pressure 2-part SPF.

Supply air respirators shall be used when applying high pressure 2-part SPF.

Installer shall have Material Data Sheet (MDS) on site when SPF is being used.

Installers shall follow EPA recommendations when working within a conditioned space or when SPF fumes become evident within the conditioned space. When working outside the building envelope, isolate the area where foam is applied. Precautions are to be taken so that fumes will not transfer to inside the conditioned space. Installers shall check for penetrations in the building envelope during installation and make sensory inspections inside the home for fumes during foam application.

Installers shall inform clients of precautions that may be necessary before using SPF.

504 Mold and Moisture

IHWAP funding cannot be used to remedy severe mold and moisture issues nor can it be used for mold testing.

The following weatherization measures may help eliminate a mold and moisture problems.

- Exhaust fan installation
- Crawl space ground cover
- Attic and sidewall insulation

The following items may also help solve mold and moisture problems and are permitted as either Health & Safety or Incidental Repairs.

- Minor roof repair
- Gutter and downspout work (see section 509, “Gutters and Downspouts”)
- Sump pump repair, replacement, installation or covers

505 ASHRAE 62.2-2016

ASHRAE 62.2-2016, “*Ventilation and Acceptable Indoor Air Quality in Residential Buildings*”, defines minimum requirements for mechanical and natural ventilation intended to provide acceptable indoor air quality in all residential buildings.

All architectural and mechanical contractors should familiarize themselves with these requirements. Key points of the Standard are summarized here.

- The ventilation system may consist of continuously operating bathroom and/or kitchen exhaust fans, a supply-only system or a balanced system.
- The required airflow shall be measured following installation of the ventilation system to assure the desired airflow has been achieved. Airflow may be measured with a flow hood, flow grid or other measuring device.
- Accessible override control must be provided to the occupants. Override controls may include, but are not limited to, circuit breaker, flow setting dial on fan or advanced timer control (for meeting the continuous ventilation requirement with intermittent fan operation). Fan control must be clearly labeled as such.
- Information on the ventilation systems and instructions on operation and maintenance shall be provided to the client.

A summary of ventilation systems that may be used to meet ASHRAE 62.2-2016 are included here.

5051 Exhaust Only Ventilation¹

All bathroom² exhaust fans shall meet the following requirements. See section 506, “Kitchen Exhaust Fans” for kitchen fan requirements.

- ENERGY STAR rated

¹ See SWS 6.0302.1, “Individual Exhaust Fan Serving Entire Dwelling”

² This includes bathroom exhaust fans when installed not to meet the ventilation requirements of ASHRAE 62.2-2016.

- Sone rating no higher than 1.0³
- Rated for continuous operation
- Fans have an efficacy of 2.8 cfm/watt or more⁴Fans that run on low speed providing the required ventilation with the ability to boost to high speed during period of showering may be used
- Properly terminate the duct to the outside.⁵
- Refer to Table 500-1 for proper exhaust fan duct size

The following installation guidelines shall be met. Note that some bathroom exhaust fans are not to be installed over bathtubs and shower enclosures – check manufacturer’s installation guidelines.

- Only IC rated exhaust fans may be used such that they may be covered with insulation.
- Fan outlet will be oriented toward the final termination location.
- Fan housing should be securely mounted to ceiling framing members with mounting brackets. Blocking should be added if necessary.
- Fan housing should be flush to ceiling surface.
- Ensure that fan damper closes following duct connector installation.
- Follow manufacturer’s wiring diagram. Use proper UL approved connectors to secure housing wiring to fan.
- Fans must be properly grounded.

5052 Supply-Only Ventilation⁶

A simple supply-only system uses the furnace air handler as the ventilation fan and the heating ducts as the distribution system (Figure 5052-1). Flex duct is installed from the outside of the home to the return side of the furnace. Whenever the air handler operates, fresh air is drawn in from the outside and mixed with the return air. This system is only permitted when the furnace manufacturer’s requirements for return air temperature are met (that is, return air to the furnace is not too cold).

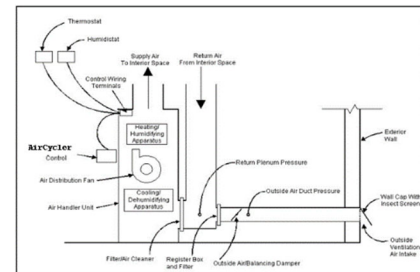


Figure 5052-1: Supply-only ventilation system

Duct to the outside shall be sized to provide the required ventilation rate. A motorized damper or equivalent technology will be installed between the intake fitting and the return side of the air handler. Air flow will be provided by sequenced operation of the damper or equivalent technology.

Exterior intakes⁷ should be located no closer than 10 feet from known sources of contamination such as a stack, dryer vents, bathroom and kitchen exhaust vents and vehicle exhaust. The intake should be placed so that entering air is not obstructed by

³ Maximum sone rating of 1.1 for interior wall mounted exhaust fans.

⁴ SWS 6.0302.1, “[Individual Exhaust Fan Serving Entire Dwelling](#)”

⁵ SWS 6.0302.1c, “Termination Location”

⁶ SWS 6.0301, “Supply Ventilation”

⁷ SWS 6.0101.3, “Exterior Intakes”

snow, plantings or other materials. Inlets shall be covered with rodent/insect screens (mesh not larger than ½”). Inform client that inlet must be cleaned of dirt and debris on a regular basis.

Insulated flex duct should be used to reduce condensation during the winter. A filter should be installed between the flex duct and the return duct. Filter should be located and installed in such a manner that allows the client to clean or replace.

5053 Balanced Ventilation⁸

In tight buildings with limited natural infiltration, a balanced ventilation system can meet the ventilation requirements of a home without creating depressurization or pressurization problems.

Package units can be either heat recovery ventilators (HRV) or energy recovery ventilators (ERV). HRV systems exchange household air with fresh outside air. Sensible heat in the exhausted household air is recovered and transferred to the incoming outside air as both airstreams pass through a heat recovery core. An HRV system is recommended for heating climates when air conditioning is not used in the home.

An ERV system is recommended when balanced ventilation is installed in a home that has cooling. An ERV system transfers both sensible and latent (heat and moisture) energy. Heat and moisture in the incoming outside air is transferred to the outgoing exhaust air in an ERV so as not to increase the cooling load of a home.

For most effective operation, balanced systems should supply fresh air to all the important living spaces, such as bedrooms, living, dining and family rooms. Exhaust air should be removed from spaces in which moisture and odor are generated, generally kitchens, bathrooms and utility rooms. The duct system should be well-sealed.

The following items should be considered when installing an HRV or ERV system.

- New ductwork should be installed for the HRV or ERV system. If existing ductwork is used, there is a potential that air will “short-circuit” and not circulate around the home. The furnace air handler may be needed to circulate the air around the home. Unless the air handler has an efficient ECM motor, there may be a significant increase in electric consumption.
- HRV and ERV systems require filter cleaning. Units should be located for easy accessibility. Client must be willing to maintain system on a regular basis. Fresh air intake must be cleaned of dirt and debris on a regular basis.
- Condensate will form on the cool side of an HRV during the summer. Provisions for draining the condensate must be provided.
- Fresh air grilles should be located away from sources of poor air quality.
- Balanced ventilation systems should be professionally designed, installed and balanced.

⁸ SWS 6.0303, “Balanced Ventilation”

Operation instructions should be posted near the installation to avoid occupant override or misuse.

506 Kitchen Exhaust Fans⁹

Any exhaust fan installed in a kitchen must be rated for kitchen use or installed outside the cooking area (Figure 506-1). Exhaust fans installed in kitchens, other than range hoods, must meet the ventilation requirements of ASHRAE 62.2-2016 and the fan requirements of section 5051, “Continuous Exhaust Only”.

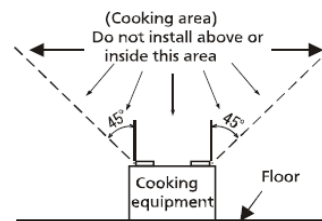


Figure 506-1: Fans used in kitchen must be installed outside the cooking area unless the fan is specifically designed for use in the cooking area

Kitchen range hoods shall meet the following requirements.

- Maximum 3.0 sones
- Have a minimum efficacy of 2.8 cfm/watt
- Should have a minimum exhaust capacity of 100 CFM. Through-the-wall or ceiling mounted exhaust fans may be used when exhaust range hoods cannot be installed.
- Kitchen exhaust fans must be vented to the outside. No recirculating kitchen hoods are permitted to be installed.
- Refer to Table 500-1 for proper exhaust fan duct size.

507 Exhaust Fan Ducts

An improperly vented bathroom or kitchen fan has decreased exhaust capacity because of increased static pressure in the duct. All exhaust fans must be vented to the outside.

- Appropriate exterior termination kits such as wall caps, roof jacks and eave mounted termination vents must be used for bathroom and kitchen exhaust fans.
- Smooth metal duct or semi rigid flexible aluminum duct may be used. If semi rigid flexible duct is used, the entire length should be supported with braces or hangers every 18 inches to prevent sagging.
- Elbows should be minimized. Elbows with a long radius angle should be used. If possible, there should be a 2 feet to 3 feet horizontal run out of the fan before the first elbow.
- Existing ribbed plastic vent material is not to be used and should be replaced when found. Vent sizes and lengths shall conform to those shown in Table 500-1 given exhaust fan capacities. Note that 3 inch diameter duct is not permitted and that fan ratings are given at 0.25" of static pressure.
- Exhaust fan ducts extending through non-conditioned spaces shall have their joints sealed with UL 181B or 181B-M listed materials (e.g., mastic, tape).¹⁰
- Exhaust ducts and are to be insulated to a minimum R8 (spray foam insulation may be used).
- Kitchen exhaust fans must be ducted through hard metal and provided with a metal termination cap.

⁹ SWS 6.0201.2, “Kitchen Range Hoods”

¹⁰ SWS 6.0101.2f, “Sealing”

Exhaust Duct Sizing¹¹

Table 500-1

Duct Type	Flex Duct				Smooth Duct			
Fan Rating CFM @ 0.25 in. wg	50	80	100	125	50	80	100	125
Diameter (in)	Maximum Length (ft)							
4"	70	3	X	X	105	35	5	X
5"	NL	70	35	20	NL	135	85	55
6"	NL	NL	125	95	NL	NL	NL	145

NL – no limit

X – not allowed

Table 500-1 assumes no bends and no terminal devices. Subtract the Equivalent Duct Length (EDL) found in Table 500-2 for elbows and terminal devices.

Equivalent Duct Lengths

Table 500-2

	Duct Diameter	
	4"	6"
Elbow	15'	20'
Terminal – Roof Cap	30'	40'
Terminal – Wall Cap	30'	40'

For example, 4 inch smooth duct will be used for a 50 CFM fan (@0.25 in. wc). There will be two elbows and a roof cap. The maximum length without elbows and a roof cap from Table 500-1 is 105 feet. The maximum length of the duct with the elbows and roof cap is 45 feet.

$$105' - (2 \times 15'_{\text{elbows}}) - (1 \times 30'_{\text{roof cap}}) = 45'$$

It is common to find operating bathroom and kitchen exhaust fans not vented to the outside of the building. The fans may be vented into an attic or crawl space (Figure 507-1). In some cases, the exhaust duct from these fans terminates directly beneath an attic vent (Figure 507-2). Both of these venting options are unacceptable and should be corrected as part of Weatherization.



Figure 507-1: Fans may not be vented into the attic under the Weatherization Program

508 Dryer Venting¹²

Disconnected or improperly vented clothes dryer ducts should be corrected as part of weatherization.

- Dryer ducts should be smooth-surfaced aluminum or galvanized rigid duct (Figure 508-1).
- Semi rigid aluminum transition ducts approved for dryer venting may also be used (labeled “Clothes Dryer Transition Duct”, UL 2158A).

¹¹ From ASHRAE 62.2-2016, “Ventilation and Acceptable Indoor Air Quality in Low-Rise Residential Buildings”

¹² SWS 6.0202.1, “Clothes Dryer”

- Mylar covered dryer transition spiral duct may not be used.
- Plastic and vinyl flex duct and smooth plastic pipe are not to be used and must be replaced when found.
- Duct joints should be lapped taking account of the direction of air flow. Duct sections should be connected with foil-backed metallic tape or approved clamps. Screws or fasteners that extend into the duct are not to be used.
- Minimum duct diameter should be 4 inches and length should not exceed 25 feet from the dryer outlet to the termination point (no more than 8 feet for “Dryer Transition Duct”). If duct length is greater than 25 feet, 5 inch diameter duct should be used. Assume a reduction in maximum length of 2.5 feet for every 45 degree bend and 5 feet for every 90 degree bend. Clothes dryer transition duct should be installed without dips or sags.
- Dryer vent ducts extending through non-conditioned spaces are to be insulated to a minimum R8 (spray foam insulation may be used).
- Outdoor dryer vent caps should have a backdraft damper that closes when the dryer is not being used. Insect screens or small wire cages are not to be installed over the vent cap because they can become clogged with lint.



Figure 507-2: Venting to a roof vent is not allowed under the Weatherization Program; a roof vent may be removed and the exhaust duct extended through the existing hole and capped with a termination kit



Figure 508-1: Dryers should be vented with smooth metal duct

509 Gutters and Downspouts

Missing or damaged gutter systems may be repaired or replaced as a Health & Safety item when necessary to prevent moisture/mold or mildew conditions. The gutter system includes the gutters, downspouts, leaders and splash blocks (Figure 509-1). The following standards shall be met with respect to repairing or replacing gutter systems.

- Minimum 0.027 gauge aluminum gutters shall be used. The heavier gauge 0.032 is preferred for heavy ice and snow locations.
- Gutters should be pitched to downspouts at 1/4 inch per 10 feet of run¹³. Short gutters may be hung level. In areas with a moderate number of trees, gutters and downspouts should be oversized where leaves and debris can be flushed more easily.
- Seal gutter connections with mastic or caulk to prevent leaking.

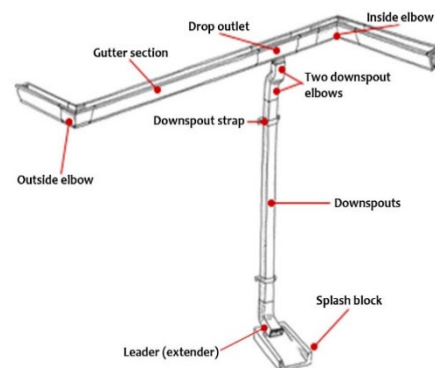


Figure 509-1 Gutter system

¹³ SWS 2.0201.1c, “Slope”

- Use heavier versions of hangers and secure gutters every 24 inches (18 inches where heavy ice and snow may be a problem). Hangers should be firmly fastened to the fascia, rafter end or truss tails. At a minimum, heavier hangers should be used at stress points, such as corners and downspouts.
- Downspouts may be oversized to help reduce clogging. Elbows and straight sections should be fastened together with pop rivets—screws that project into the downspout can lead to clogging.
- Secure downspouts to house with 3 fasteners for every 4 feet of length¹⁴.
- Use 1 downspout for every 40 feet of gutter.

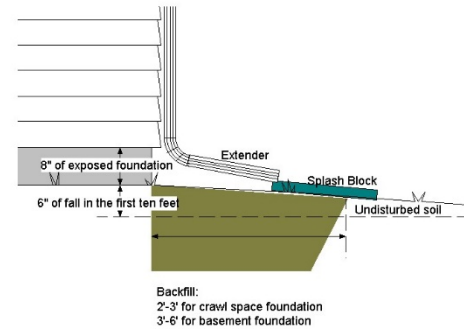


Figure 509-2 Water should be directed away from the home

Leaders and splash blocks should be used to direct water away from the home. Water from downspouts should come out at least 3 feet away from a house that has a crawl space and 6 feet away from homes with basements (Figure 509-2).

510 Smoke Detectors¹⁵

All houses that are weatherized are required to have at least one working smoke detector in them.

Smoke detectors must be installed by the contractor and not left with the client. Select battery-operated smoke alarms that are listed and labeled in accordance with UL 217 and have sealed, non-replaceable, 10-year batteries¹⁶.

Batteries are to be replaced in existing operable smoke detectors. Replacement of operable smoke detectors is not permitted.

5101 Installation

Install battery-operated smoke alarms in accordance with the manufacturer's instructions.

Assure that smoke detectors are properly located.

- Smoke detectors should be installed on the ceiling at least six inches from the wall or four to six inches below the ceiling on the wall.
- Install one smoke detector on each level of the home.
- One smoke detector should be located at the base of the basement stairwell.
- One smoke detector should be located within 15 feet of every room used for sleeping.
- Do not locate smoke detectors near kitchen stoves or bathroom showers.
- Do not locate smoke detectors within 12 inches of exterior windows and doors.
- Do not locate smoke detectors in front of supply air registers.
- Exclude unoccupied attics.

¹⁴ SWS 2.0201.2b, "Attachment"

¹⁵ SWS 2.0101.2, "Battery-Operated Smoke Alarms"

¹⁶ SWS 2.0101.2a, "Selection"

Relocate existing smoke detectors as necessary.

5102 Operation

Assure that existing smoke detectors have new batteries. Test all smoke detectors for proper performance following installation.

Hard-wired smoke detectors¹⁷ should be wired to a circuit that is always energized. They should not be wired to a ground-fault circuit interrupter (GFCI). Hard-wired smoke detectors are to be listed and labeled in accordance with UL 217.

5103 Client Education

Review smoke detector testing procedures with clients following alarm installation and advise regarding battery replacement as appropriate. Provide occupants the manufacturer's written instructions.

5104 Specifications

- Smoke detectors that are powered by a battery must emit a signal when the battery is losing power.
- All installation hardware, including a screw mounting bracket, should be included with the alarm.
- Smoke detectors must be approved by Underwriters Laboratories (UL 217).

For additional information regarding smoke detectors, see “Smoke Detector Act (425 ILCS 60/).

511 Fire Extinguishers

Fire extinguishers may only be provided where solid fuel (wood, coal, etc.) is being used in the home as either the primary or secondary heat source. Fire extinguishers must meet the following requirements when provided.

Fire extinguishers should be labeled as a combination Class A and Class B and Class C (A-B-C) extinguisher (Figure 511-1). Class A extinguishers will put out fires from ordinary combustibles such as wood and paper. Class B extinguishers are to be used on fires involving flammable liquids such as grease or gasoline. Class C indicates that the extinguisher may be used on electrical fires. The fire extinguisher must be a minimum of 3lbs. The fire extinguisher should be near the solid fuel burning appliance or in a central location.



Figure 511-1: Fire extinguisher

Clients should be instructed on use of the fire extinguisher. The term “PASS” may be used for this explanation.

- P** = PULL the pin (this unlocks the operating handle).
- A** = AIM the extinguisher at the base of the fire.
- S** = SQUEEZE the operating handle discharging the fire

¹⁷ SWS 2.0101.1, “Hardwired (interconnected) Smoke Alarms”

- fighting agent.
- S** = SWEEP from side to side, carefully moving in on the fire sweeping back and forth across the base of the fire.

512 Carbon Monoxide Alarms¹⁸

All homes that receive Weatherization work shall receive carbon monoxide alarms regardless of the space heating fuel type.

CO alarms should be installed according Illinois Public Act 094-0741 in all homes.

In addition, carbon monoxide alarms should be installed, on a permanent basis, when an agency has to delay weatherization services due to an unsafe furnace, water heater, stove, fireplace or oven.

A summary of Illinois Public Act 094-0741 with regard to type and placement of CO alarms is provided here.

5121 Type

Combination smoke and CO detectors are permitted. CO alarms must contain internal non-replaceable batteries and have a ten-year warranty from date of manufacture on the alarm and sensor. Expiration date, as warranted by the manufacturer, must be written on the front of the alarm in permanent ink.

5122 Location and Placement

CO alarms are to be installed on each separate living level of the home where household members frequently spend time. CO alarms must also be installed in any room with a wood-burning fireplace. It is not necessary to install a CO alarm in an unfinished basement.

Do not install alarms in the following areas:

- Near bathrooms or in shower areas,
- In closets,
- Crawl spaces or unheated areas where extreme hot or cold temperatures occur,
- Within 5 feet of fuel burning appliances,
- Close to adjacent walls or in corners,
- Near bathtubs or basins,
- Directly above or below return air grilles or supply registers, and
- Behind drapes, furniture, or other objects that could block air flow to the CO alarm.

5123 Specifications

CO alarms shall:

- Meet or exceed UL2034-98 and/or IAS696 standards.
- Have a manual test and reset button.

¹⁸ SWS 2.0102.1, "CO Detection and Warning Equipment"

5124 Client Education

Clients shall be informed about the purpose and features of the CO alarms and tell them what to do if the alarm sounds (Figure 5124-1). Clients shall be given the manufacturer's written instructions.

513 Lead Safe Weatherization Practices

All homes built prior to 1978 are treated as if they have lead-based paint. All work must follow the requirements of the United States Environmental Protection Agency's "Renovation, Repair, and Painting" (RRP) program employing lead-safe methods while working on painted surfaces that are being repaired or retrofitted for energy efficiency.

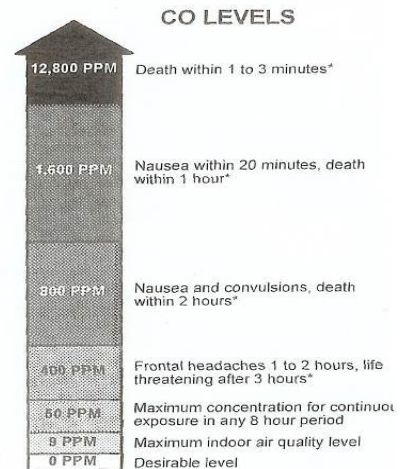


Figure 5124-1: Health effects from elevated CO levels

All contractor weatherization crews must have at least one supervisory worker who has been trained and certified in lead-safe renovation practices under the United States Environmental Protection Agency's RRP program.

Where lead safe work practices are required, their costs may be funded as a health and safety measure. Lead based paint hazard abatement is not allowed with IHWAP Weatherization funding.

Lead safe weatherization consists of work practices that address these two problems:

1. Lead contamination of the work site that may expose children and other residents to lead dust.
2. Protecting weatherization workers from airborne lead dust.

5131 Dust Control

Lead safe weatherization is all about managing dust. Whenever working with previously painted surfaces, there is a possibility of generating lead dust and paint chips. It is this dust and debris that is a hazard to workers and can become a hazard to residents. There are four essential parts to lead safe weatherization:

1. Generate as little dust and debris as possible
2. Don't breathe it – protect workers when dust is generated
3. Don't spread it – protect the work site and contain the dust
4. Clean up the dust properly

¹⁹ SWS 2.0102.1a, "Selection"

5132 Engineering Controls

“Engineering Controls” is a term for work practices that limit the amount of dust and debris that is created. Engineering controls help protect workers and the work site from lead exposures. Some helpful engineering controls for weatherization include:

- Work Wet - when scraping, sweeping, or sanding, misting the surfaces prevents the creation of airborne dust. Simply, the materials become too heavy to get airborne.
- Disassemble rather than demolish. Use hand tools, rather than power tools. Hand tools generate far less dust (Figure 5132-1).
- If you need to cut a leaded paint surface with a power saw, the line of the cut can be wet scraped clean of paint before starting.
- When drilling through a painted surface, drill through foam shaving cream. This will capture most of the dust and debris generated.
- When taking door and window trim apart, pre-score the joints with a utility knife or window opener to prevent the spread of paint chips around a room.



Figure 5132-1: Use hand tools whenever possible

5133 Prohibited Practices

The following activities are Prohibited Practices:

- Open flame torches used for paint removal
- Heat guns operating over 1100 F ° used for paint removal
- Extensive dry scraping
- Power sanding or grinding (without a HEPA vacuum attachment)
- Uncontained abrasive or water blasting
- Chemical strippers containing methylene chloride

5134 Resident Protection

Residents are to be informed that Lead Safe Work Practices will be used. Limit access to work areas by instructing the residents to stay away from the work areas. Signs and barriers should be posted if necessary. Resident belongings that can't be moved from the work area should be covered with protective plastic sheeting.

5135 Worker Protection

Workers are required to wear respirators. Two types of respirators are acceptable: Half mask negative air respirators with HEPA filters (color coded purple) and N-100 paper respirators. All weatherization workers should be “fit tested” and approved for respirator use.

Workers should wear protective clothing. Disposable *Tyvek* coveralls and shoe covers, which can be removed and discarded at the job site, are examples of protective clothing. If this precaution is not taken, workers should vacuum their clothing with a HEPA vacuum before leaving the site.

If workers use the resident's facilities for personal cleanup, these facilities should be thoroughly cleaned at the end of each work day.

5136 Site Protection

There are three levels of containment for site protection.

- Level 1 Interior Containment – Masking
- Level 2 Interior Containment – Full Room
- Exterior Containment

Note that blowing insulation into attics doesn't disturb painted surfaces (unless access openings need to be cut – Level II Containment). Blowing insulation into sidewalls requires removing siding or exterior finish before blowing insulation. The process of removing the exterior finish or drilling through the sheathing may still cause lead exposure (Exterior Containment).

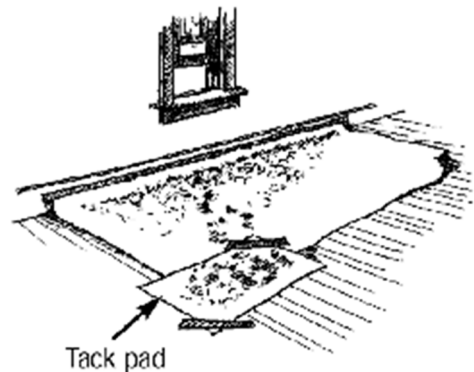


Figure 5136-1: Level 1 Containment

Level 1 Interior Containment - Masking

For small weatherization tasks that produce some paint chips, but little dust, masking is sufficient. Masking may be used when less than 6 ft² of interior surface will be disturbed.

Typical weatherization tasks requiring Level 1 Containment include:

- Repairing or adjusting a window (not full window replacement)
- Window and door caulking
- Window and door weatherstripping
- Repairing or wet scraping a small section of walls and ceilings

Masking consists of taping a sheet of 6 mil plastic under the work area. The plastic should extend five feet out from the wall, and five feet in each side direction (Figure 5136-1). Fabric drop cloths are not to be used as they trap lead dust, and ultimately spread the dust from room to room when the drop cloth is moved.

Level 2 Interior Containment – Full Room

When a weatherization task will generate significant dust and debris or more than 6 ft² of surface is disturbed, that space should be placed under full containment (Figure 5136-2).



Figure 5136-2: Level 2 Containment

Typical weatherization tasks requiring Level 2 Interior Containment include:

- Window and door replacement
- Cutting access hatches
- Cutting holes for exhaust fans
- Replacing door jambs and thresholds
- Planing a door in place

Full containment consists of removing all the furniture and belongings in a room and covering the entire floor with 6 mil plastic. The door to the room should be fitted with a “slit and flap” opening consisting of two layers of plastic. All vent openings should be sealed.

Exterior Containment (Figure 5136-3)

It is important to protect the soil around a house from lead contamination when installing sidewall insulation. 6 mil plastic should be secured at the base of the house and extend 10' feet out from the foundation (add five feet for each additional story). The edges of the plastic should be turned up to prevent dust and debris from blowing off the plastic. There should be no open windows or doors within 20 feet of the work site. Work should cease if the wind speed increases to 15 mph.



Figure 5136-3: Exterior Containment

Ground should still be covered when power tools are being used, even if properly shrouded and connected to a HEPA vacuum.

Respiratory protection is still required when working outdoors.

5137 Clean Up Procedures

Lead dust cannot be swept up. It is sticky and must be washed up. HEPA vacuums and wet cleaning are recommended.

The cleaning process for lead safe weatherization is as follows:

1. Using a brush attachment on the HEPA vacuum, clean up the visible debris on the plastic.
2. Fold the plastic inward from the corners and place in a plastic disposal bag.
3. HEPA vacuum the entire area – the floor and all horizontal surfaces around the work area.
4. Wet clean the floor and horizontal surfaces. It is best to keep the detergent water in a sprayer to keep the clean water from being contaminated. Wet mop the floor using a separate rinse bucket and twist bucket for the mop. When cleaning other horizontal surfaces (such as window sills and window wells), use a rag with a divided bucket for rinse water and dirty water. Change rinse water regularly.

Examine the work area after cleaning. There should be no visible dust, debris or paint chips.

5138 Planning and Supplies for Lead Safe Weatherization

Weatherization crews should always have the supplies and equipment available to work lead safe. The supplies should include:

- A HEPA vacuum
- Wash buckets and rags
- Wet mop and mop buckets
- 6 mil plastic and duct tape

- Plastic trash bags
- Respirators for all crew members
- Protective *Tyvek* coveralls
- Shoe covers
- Tack pads

514 Code Compliance

Correction of a preexisting code compliance issue is allowable only if it precludes the installation of a weatherization measure.

Weatherization work will comply with applicable codes in the jurisdiction where the work is being done. Visual inspection at assessment and local code enforcement inspections are used to establish code compliance issues.

515 OSHA

OSHA standards apply to all weatherization contractors. It is the contractor's responsibility to maintain a safe work place and that the employees are properly trained. These standards include, but are not limited to;

- Confined space
- Ladder safety
- Personal protection equipment (PPE)
- Power operated hand tools
- Fall protection

Weatherization workers will follow OSHA Safety Data Sheets (SDS) pursuant to the revised Hazard Communications Standard 29 Code of Federal Regulations 1910.1200 and will take precautions to ensure the health and safety of themselves, other workers and the residents.

516 Asbestos

Abatement and replacement of asbestos containing building components is not allowed with any IHWAP funding.

Removal of siding to install sidewall insulation is permitted. Ducts or pipes wrapped with asbestos are not to be disturbed. Appliance venting containing asbestos should not be disturbed.

In rare cases when asbestos is encapsulating a heating system (usually a boiler), the existing heating system should not be disturbed.

517 Hazardous Materials

All refrigerators, freezers and air conditioning units that are replaced must be removed from clients' homes upon delivery of the replacement units and properly disposed of in accordance with The Clean Air Act, USC Title 42, Section 7671g.

All refrigerators, freezers, and window air conditioning units being replaced must be taken to a recycling facility. Contractors must obtain a certificate or receipt indicating the appliance has

been accepted by the recycling facility and provided to the local agency to include in the client file.

518 Refrigerants

Workers handling refrigerants are required to have EPA approved section 608 type I or universal certification.

Refrigerant is to be recovered per the Clean Air Act 1990, section 608, as amended by 40 CFR82, 5/14/93.

The costs of refrigerant handling and safe disposal are included in the costs of the relevant retrofit weatherization measure.

519 Injury Prevention

Minor repairs and installation is allowed only when necessary to effectively weatherize a home.

Repairs for injury prevention, other than when necessary to effectively weatherize a home, are not allowed to be funded with IHWAP funds from any source.

520 Radon²⁰

Whenever site conditions permit, exposed dirt must be covered with a vapor barrier (6 mil polyethylene sheeting) except for mobile homes (see section 2154, “Ground Moisture Barrier”).

Covers may be installed on open sump pits and sealing below grade foundations cracks may also be found as radon mitigation measures²¹.

²⁰ SWS 2.0401, Radon Precautionary Measures

²¹ SWS 2.04-1.2, “Sump Well/Pit Covers”

Appendix 601 – “Add-a-Hole Method”

The “Add-a Hole” Method may be used to estimate the total size of all the holes and bypasses in a zone being measured. This will provide guidance towards existing opportunities for air sealing in the zone and requires the use of the “ZPD” (Zone Pressure Diagnostics) spreadsheet. The use of the ZPD spreadsheet is described here.

- Enter the house pressure, air flow and zone pressure numbers (50 Pa, 3900 CFM50 and 4.5 Pa in the example below¹).
- Make opening between house and zone (attic hatch, for example) or zone to outside (exterior hatch to crawl space, for example).
- Bring house to 50 Pa (or lower pressure if zone is too leaky), enter CFM50 and new zone pressure number. If the pressure didn’t change by more than 6.0 Pa, make opening larger.
- Read results. For example below:

Total area of all attic bypasses:	148 in ²
Total area of all attic vents and other openings in roof:	617 in ²
Maximum CFM50 reduction if all attic bypasses are sealed:	1382 CFM50

A. Original house pressure, CFM50 and attic zone pressure	Input:	Zone A:	attic		
		Blower door test 1a, reference to outdoors			
		House pressure		50 Pa	
		Air flow		3900 cfm50	
B. Indicate zone opening to inside or	Input:	Zone pressure		4.5 Pa	
		Blower door test 2a, reference to outdoors			
		Opening: zone to...		inside	
		House pressure		50 Pa	
C. New house pressure, CFM50 and attic zone pressure after opening hole	Output:	Air flow		6780 cfm50	
		Zone pressure		28.6 Pa	
		Opening area	House to attic		148 in2
			attic to outdoor		617 in2
Max. reduction			1382 cfm50		
D. Results					

¹ Note that zone pressures are entered without the “-” sign; simply enter the zone pressure number.

Appendix 602 – Sample Flame Spread and Smoke Development Numbers

Below are sample flame spread and smoke development numbers for insulation products by manufacturer. The list is by no means exhaustive. Contractors are encouraged to verify the numbers shown below if that insulation is being used. Flame spread and smoke numbers for products not shown below should be obtained from the insulation manufacturer.

Insulation Manufacture	Insulation Type	Flame Spread	Smoke Development
Owens Corning	Unfaced batt	<25	<50
	PSK or FSK faced batt	<25	<50
	Foil faced batt	75	150
	Kraft faced batt	NOT RATED	NOT RATED
	Foamular (XPS)	Equal or less than 25	<450
Johns Mansville	Comfort therm batt	<25	<50
	Unfaced batt	<25	<50
	PSK or FSK Batt	<25	<50
	Foil face batt	<75	<150
	Kraft faced batt	NOT RATED	NOT RATED
	Mineral wool batt	<25	<50
	Polyiso continuous foam sheeting	Rated by thickness	<450
	Sprayfoam (open or closed cell)	Equal or less than 25	<450
CertainTeed	Unfaced batt	<25	<50
	FSK batt -25	<25	<50
	Kraft faced batt	NOT RATED	NOT RATED
	Certa Spray closed cell foam	30	475
	Basement blanket	<25	<50
	Metal building blanket	<25	<50
Knauf	Unfaced batt	<25	<50
	Foil face batt	NOT RATED	NOT RATED
	Kraft faced batt	NOT RATED	NOT RATED
	FSK-25 batt	<25	<50
	Basement blanket	<25	<50
Rockwool	Mineral wool batts	<25	<50
American Rockwool	Mineral wool batts	<25	<50
DuPont	XPS	<25	<450
	EPS	<25	<450
	Polyiso	<25	<450
	Froth Pak 2-part foam	25	165
DAP	Touch n Seal 2-part foam 2" thickness	15	350
	3" thickness	10	50
Tiger Foam	2-part foam 2" thickness	<25	<450
Lapolla	2-part foam	<25	<450
Nexseal 2.0	2-part foam 4" max	<25	<450
Dow	Thermax	25	225