



# U.S. DEPARTMENT OF ENERGY

# **WEATHERIZATION ASSISTANCE PROGRAM**

## CLIENT FILE CHECKLIST

**DRAFT v2**

The following elements are expected to be in a Weatherization Assistance Program (WAP) client file. This list is broken into “buckets” demonstrating what constitutes a complete client file.

However, Grantees will vary in the specific contents and how the information is organized. This is not intended to be a prescriptive list of forms but rather a guideline to assist Grantees, and by virtue the Subgrantees, in aligning file requirements to create a comprehensive client file that is able to adequately communicate how weatherization worked in that home. It is NOT a prescriptive list of forms.

### 1. SUBGRANTEE SIGN OFF SHEET

This is a cover sheet documenting someone has reviewed the entire client file against the requirements of the Grantee and all information is contained within the file and the job is considered complete and ready to be closed.

### 2. ELIGIBILITY

The following are the elements related to the eligibility of the unit. These documents may be in the file or possibly “on file,” depending on the Subgrantee file structure.

- Income Eligibility Documentation: Consistent with Poverty Income Guidelines at time of application.
- Owner/Rental Documentation: Proof of ownership OR signed rental agreement.
- Deferral Information, if applicable: Documentation/letter to client related to either a deferral or activities that need to be accomplished for work to begin.
- State Historic Preservation (SHPO) Documentation: If applicable, any SHPO correspondence related to the unit.

### 3. CLIENT CORRESPONDENCE AND SIGN OFFS

Each file must have clear records of any client interactions during the weatherization process.

EXAMPLES:

- Notification to the client on approval (or denial) for service
  - Timeline for anticipated next step (for instance, when client should anticipate to hear from the Subgrantee for an audit to be scheduled).

- Written correspondence reiterating information that may be verbally shared with client by the auditor (e.g., if home is being deferred, when work will begin, how waitlists work, etc.).
- If the home is deferred, written correspondence specific to any repairs or modifications that need to take place for work to resume.
- Written correspondence if the home was previously approved but now is denied service (e.g., eligible parties move, death, etc.).

Client Complaints and Documented Resolution

Client Sign off of the work to be performed

- What measures will be included (may be included on a form within the Scope of Work).

Client Sign off Form (may be included in the final inspection form)

- Acknowledgment work was complete.
- Acknowledgment/awareness of any warranties.
- Acknowledgment of client education/maintenance information necessary (SWS compliant).
- Acknowledgment of how the worksite was left - cleaned up, materials taken away.
- Signed and dated by the client.

4. THE WORK

The following are representative of the documentation that provide a complete picture of the work performed.

Assessment/Audit

Documentation of how the unit was audited. In assessing the unit, the following are elements that may be included in this section:

- If doing site-specific audits, the input report from audit tool (NEAT, MHEA, REM, etc.) and output reports showing SIR.
- If auditing with a priority list, a copy of the full list of measures, documentation and any explanations if any measures are not included in scope and necessary justification for why a measure is not included.
- Auditor "field notes" including pictures of "trouble spots" – specific directions.

Work Order

- Auditor's Scope of Work (SOW) outlining all measures to be installed and any special instructions.

- Work Summary**
  - Work order deviations/comments from field that may alter the SOW, providing justification for any adjustments (e.g., scope called for 40 bags of insulation but 32 bags provided necessary depth in attic).
  - Challenges or comments that are important to convey in order for an inspector to understand what precipitated decisions made by the crew in executing the SOW.
  - Change orders, as applicable.
  
- Testing Documentation** (*Typically included in audit and final inspection but if kept elsewhere, should be included*).
  - CAZ/Draft/CO
  - Blower Door
  - HVAC System Efficiency Testing
  - Duct testing
  
- Subgrantee's Final Inspection Form**

This form, beginning in PY2015, requires signature by a QCI-certified individual. The following reflects the minimum expectations of what is included on a final inspection form.

  - Signed by Subgrantee inspector (with name printed also).
  - Date the Subgrantee's inspection was completed.
  - Sign off by the inspector that he/she verified of Scope of Work and it is in the file.
  - Identify corrections necessary (and full cycle of verification).
  - Review/Verify all appropriate measures were on work order.
  - Identify/Verify documentation and justification for any measures not installed are in the file.
  - Diagnostics at Inspection.
  - Sign off by the inspector that he/she verified Bid against Invoice; audit cost inputs against invoice actuals and make note of any areas where there is deviation from bid/audit input.
  - Client Signature – sign off the work was accomplished (may be a separate form).
  
- Grantee's Final Inspection Form**

Beginning in PY2015, this inspection must be performed by a QCI-certified individual. Grantee percentage of inspections is determined in the State Plan and will vary by Grantee. The following reflects the minimum expectations of what is included on a final inspection form.

  - Signed by Grantee inspector (with name printed also).
  - Date the Grantee's inspection was completed.
  - Sign off the Grantee inspector has reviewed each component of the Subgrantee Inspection Form and the form is in the file.
  - Sign off by the inspector that he/she verified the Scope of Work and that is in the file.
  - Identify any corrections Grantee deems necessary (and full cycle of verification).  
Review/Verify all appropriate measures were on work order.

- Identify/Verify documentation and justification for any measures not installed must be in the file.
- Diagnostics at Inspection.
- Sign off by the inspector he/she verified bid against invoice and audit cost inputs against invoice actuals; make note of any areas where there is deviation from bid/audit inputs.

- Documentation of any call backs, returns, client requests, etc. Written verification this happened, dates, work performed, etc.

## 5. SUPPORTING DOCUMENTATION FOR THE WORK PERFORMED

- Permits: Where applicable, Inspector sign off for that activity.
- Lead Paint Notification: Confirmation client received EPA's Renovate Right document, if applicable.
- Lead Safe Weatherization (LSW) Documentation: If applicable, relevant photographs and record keeping forms.
- Certified Renovator (CR) Documentation: Name of CR legibly on documentation. Subgrantee should have ability to pull certifications, as needed, to verify CR credential.
- Mold/Moisture Assessment
- Other Hazard Notifications: Radon, asbestos, stored materials that prevent being able to perform the work (gas, paint, etc.), other areas that might require a deferral.

## 6. INVOICE

Subgrantee must have consistent procedures, whether this information is contained "in the file" or "on file." A Subgrantee needs to demonstrate a methodical and consistent ability to pull the necessary invoice information by job.

### Contractor Based:

- Related to WAP measures - materials, labor costs.
- Information related to bid/equipment detail/specifications.

### Crew Based:

- Inventory Sheets.
- Installed materials/costs.
- Where....time mechanism/project based....

## 7. GRANTEE-SPECIFIC REQUIREMENTS

Grantees have varying requirements of other documentation necessary for the client file (e.g., pre-WAP utility bills, digital photographs) that may be necessary for Subgrantees to include to consider so the client file is considered to be complete.