

**E-mail MEMO:
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MEMO

WX-2013-1

TO: Agency Directors, Fiscal Officers and Weatherization Coordinators
FROM: Chris Shoopman, WAP Program Manager
RE: Required File Documentation
DATE: September 25, 2013

Greetings,

In order to eliminate any confusion as to the documentation required in each client file, this memo will detail the information that is required to be in the file, what information can be stored remotely, the requirements for access as well as the order in which the documentation must be placed in the file. When applicable, the section of the USDOE state plan with specifics on the document will be included in parenthesis.

The file format described below is based on a 4 fastener classification folder moving from left to right, front to back.

We realize that it might take time for agencies to adopt this system so we are allowing until January 1, 2014 to have it in place.

The following information must be included in the hard copy file unless noted otherwise:

Side 1: Eligibility Requirements

The following must be included in the file:

- Client Application (Section 2.03.1)
- OPUS weatherization client report
- Proof of income: – proof of income may be either included in the file or it must be clearly stated where these documents may be located. (e.g. clients income backup documents on file in the energy assistance office)
If LIHEAP qualification is used, a copy of the LIHEAP income printout must be included in the file.
- Zero income statement if client is claiming no income.

- If a deferral of the project is warranted (Appendix D Section V). A copy of the deferral notice must be included in the project file (Appendix D Section XIII).

The following is not required, but, if included should be in this section of the folder:

- Correspondence with Client
 - Copy of Social Security Card
 - Copy of Driver's License
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Side 2: Required forms and signatures

The following must be included in the file:

- Landlord / Owner permission to proceed statements (Section 2.03.2 & 2.09)
- Health & Safety assessment form.(Appendix D Section V-5)
- Hazard Notification form if any hazards are identified during the weatherization process.(Appendix D section V)
- Pre 78 home Lead Information
 - The following must include the following in the file:
 - A signed and dated confirmation of receipt for the lead pamphlet : “Renovate right”
 - Photo documentation of lead safe work practices if lead safe work practices are required.
 - A renovator checklist, signed and dated by the certified renovator, listing all LSW practices/testing performed on the job.
 - Test kit documentation form if testing is completed.
 - Documentation that the lead testing results and final renovator checklist is provided to the client within 30 days of the end of renovation.
 - The following may be stored elsewhere with clear instructions on where the information may be obtained:
 - Training records of non-certified workers listed on the renovator checklist.
 - The renovator certificate for the renovator(s) in charge

- The certified firm/CCB LBPR License documentation for the contactor(s).
 - LSW training record for workers/contractor staff
- Mold documentation: (appendix D Section V-6)
 - A signed confirmation of receipt of the moisture in your home pamphlet.
 - A mold and mildew checklist signed and dated by the client.
- SHPO: All homes 50 years of age or older must have either:
 - SHPO/OHCS programmatic agreement exemption includes:
 - SHPO PA exemption checklist
 - Pre & Post photo documentation as per PA requirements may be stored digitally with clear instructions on how the information may be accessed, or;
 - Documentation of completion and acceptance by SHPO of a clearance form.
- CO Alarm release: If a CO alarm is installed, a signed release is required. (Appendix D Section V-4)
- Fuel Switching: If a fuel switch was performed documentation of OHCS approval must be included in the file.

The following are not required, but, if included should be in this section of the folder:

- Smoke Alarm Waiver
- Energy Education Documentation
- Client Surveys
- Documentation of ownership.
- Fuel Information Release

Side 3: Project Information

Energy Analysis

- REM/Design™
 - A copy of the REM/Design™ improvement analysis.
 - Incidental Repairs (Section 2.08, Appendix D, VIII, Section 1)
 - If incidental repairs are completed, a second IA with all measures grouped.

- If the incidental repair completed is a door or window, photo documentation of the existing window/door must be included in the file. (Appendix D, VIII Section 5)
- Utility usage: If available, file must include a copy of one year's usage for all metered utilities. (Section 2.06)
- Completed utility consumption analysis if usage data is available.
- REM/Design™ Fuel summary report.
- REM/Design™ Performance summary report.
- Refrigerator Replacement: Refrigerator SIR calculator. (Refrigecon spreadsheet)

Audit Documentation

- Audit sheet
 - All fields must be completed and square footages calculated.
 - Any omitted measures must include an explanation as to why they would not/ could not be completed.
 - Audit sheet must be dated and identify the auditor.
- Diagnostic / combustion testing documentation.
 - All applicable fields must be filled in.
 - Combustion testing must be performed on all homes with combustion appliances. (Fire places and woodstoves also)
 - If any testing is not completed, a valid explanation as to why the testing was not completed must be included in the file.
 - An ASHRAE 62.2 spreadsheet calculator or software calculators print out. In place of a spreadsheet, a form showing the calculations is acceptable.
 - The Diagnostic sheet must be signed and dated by the person conducting the testing pre and post weatherization.

Inspection

- All units where weatherization or baseload measures have been installed **must** have in the job file a Final Inspection Certification form signed and dated by a designated sub grantee staff person. (Section 2.05)
- If a refrigerator only is installed, a self-declaration mail out form signed by the client is allowed in lieu of a final inspection form. (Section 2.05.1)

The following are not required, but, if included should be in this section of the folder:

- Documentation/results of In-Progress/Cover Inspections
 - Project photos
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Page 4: Funding/ Work Documentation

- OPUS funding summary report. (Section 2.05.2)
- A work order/scope of work detailing the work to be completed by the primary contractor
- A work order/scope of work detailing the work to be completed by any specialty contractors.
- Itemized bid for work to be performed.
- Proof of lowest bid/award letter.
- Invoices for all work performed of the project.
- Copy of the insulation Certificate.
- Change Order: If any work/cost is added or deleted from the initial work order, a change order signed by agency staff must be included in the file.
- Vendor payment authorization form that identifies who approved the expenditure and authorizes payment.

The following are not required, but, if included should be in this section of the folder:

- Copies of permits
 - Rebate documents
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If you have any questions, please contact myself at (503) 986-0972,
or Steve Divan at (503) 986-0979.

Best Regards,

Chris Shoopman
WAP Program Manager