



WEATHERIZATION ASSISTANCE PROGRAM

CLIENT FILE CHECKLIST (OPTIONAL)

SEPTEMBER 2024

Weatherization Assistance Program (WAP) client files should contain the following elements. This list is broken into sections demonstrating what constitutes a complete client file.

The specific content and file organization will vary by Grantee. This is not intended to be an exhaustive or prescriptive list of content but rather an optional resource to assist Grantees, and by virtue Subgrantees, in aligning file requirements to create a comprehensive client file. The client file should tell a story that is able to adequately justify how decisions were made throughout the process and demonstrate the weatherization work completed.

1. SUBGRANTEE SIGN OFF SHEET

A cover sheet documenting the entire client file was reviewed against the requirements of the Grantee and information contained within the file is complete and ready to be closed.

2. ELIGIBILITY

Eligibility documents may be in the file or “on file” depending on the Subgrantee file structure.

Income Eligibility Documentation: Consistent with [Federal Poverty Income Guidelines](#) at the time of application.

Client Demographic Information: Information about household members for data reporting purposes.

Owner/Rental Documentation: Proof of ownership OR signed rental agreement.

Deferral Information, if applicable: Documentation/letter to client specifying 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 client interactions during the weatherization process.

Required Health & Safety (H&S) Client Forms

- Grantees must develop a policy that includes, at a minimum, the following documentation relating to the approved H&S Plan implementation and maintain signed copies in each client file.
- Each notification must include the occupant(s) (and landlord if applicable) name and address, indicate that they understand and have been informed of their rights and options, and be signed and dated by the occupant (and landlord if applicable). The form must also be signed by the Subgrantee personnel collecting the information.

Required documentation:

- **Occupant Pre-existing or Potential Health Condition Screening**

Provides documentation that allows occupant(s) to self-report known or suspected health concerns as part of initial application for weatherization, during the energy audit, or other part of the weatherization process as specified. Must minimally contain:

- Any known risks associated with the measures and materials being installed.
- Subgrantee point of contact information for occupant(s).
- Date of screening.

- **Hazard Identification Notification**

Provides documentation that the occupant and landlord (if applicable), have been informed of any potential hazards identified during the energy audit or intake process. Must minimally contain the following:

- Date(s) of the energy audit/assessment and when the occupant(s) (and landlord, if applicable) was informed of a potential H&S issue.
- A clear description of the problem, including any testing results.
- A statement indicating if, or when weatherization could continue.

- **Radon Informed Consent Form**

Provides documentation that the occupant(s) (and landlord if applicable) have been informed of any potential hazards associated with radon in weatherized dwellings. A [sample radon informed consent form](#) is available. The form must minimally contain the following:

- An explanation of the small potential risk of increasing radon levels when building air leakage is reduced. This is based on the results of the [Buildings Assessment of Radon Reduction Interventions with Energy Retrofits Expansion Study](#).
- A list of precautionary measures WAP will install based on [EPA Healthy Indoor Environment Protocols](#).

- Benefits of weatherization include energy savings, energy cost savings, improved home comfort, and increased safety.
- Confirmation that [EPA's A Citizen's Guide to Radon](#) was received and radon related risks were discussed with the client.
- **Lead Paint Notification**
Confirmation client received [EPA's Renovate Right](#) document, if applicable.
- **Mold/Moisture Assessment**
- **Other Hazard Notifications:**
Asbestos, stored materials that prevent being able to perform the work (e.g., gas, paint, etc.) or other areas that might require a deferral.

Notification to the client of approval (or denial) for service.

Timeline for anticipated next step (e.g., when client should anticipate hearing 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; if applicable.

Client Sign off on the work to be performed.

- Measures to be included (may be included on a form within the Scope of Work).

Client Sign off on the work completed (may be included with the final inspection form).

- Acknowledgment work was completed.
- Acknowledgment/awareness of any warranties.
- Acknowledgment of client education/maintenance information (Standard Work Specification (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 represents documentation that provides a complete picture of the work performed.

Assessment/Audit

Documentation of how the unit was audited. In assessing the unit, these elements 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 individual measure Savings to Investment Ratios (SIR) and SIR for the package of measures.
- 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 (“major measure” cannot be skipped).
- Auditor field data collection form and associated documentation including required photo documentation.

Work Order

Documentation of the Auditor’s Scope of Work (SOW) outlining all measures to be installed and instructions/standards for work installation (e.g., efficiency values, equipment sizing, installation areas, etc.).

- **Weatherization Readiness Funding (WRF) Details, if applicable** – Documentation of what measures are being installed with WRF funds to alleviate deferral conditions.
- **Enhancement and Innovation (E&I) Details, if applicable** – Documentation of what measures are being installed with E&I funds.

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 for an inspector to understand what precipitated decisions made by the crew in executing the SOW.
- Change orders, as applicable, and how they were approved.
- Insulation certificate.

Testing Documentation.

- Combustion Safety Testing Information for each combustion appliance (e.g., spillage, Carbon Monoxide measurements, Worst Case Depressurization).
- Infiltration/Blower Door Testing.

- HVAC System Efficiency Testing.
- Duct Leakage Testing.
- Zone Pressure Diagnostic Testing.
- Lead, Radon, Asbestos Testing Results, etc. as applicable.
- Ventilation diagnostics, calculations, and design (i.e., ASHRAE 62.2 compliance).

Subgrantee's Final Inspection Form

This form requires signature by a Quality Control Inspector-certified (QCI) individual. The following reflects the minimum expectations of what is included on a final inspection form.

- Signed by Subgrantee QCI (with printed name and certification number).
- Date the Subgrantee's inspection was completed.
- Verify accuracy of energy audit and completed SOW.
- Identify any corrections necessary (and provide documentation of the full cycle of rework and verification).
- Review/Verify all appropriate measures were on the work order and the accuracy of the audit inputs.
- Identify/Verify documentation and justification for any measures not installed are in the file.
- Verify all diagnostic testing at the Final Inspection.
- Verify the invoicing matches any bids and costs input into the energy model; making 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).

Documentation of any call backs, returns, client requests, etc.

- Written and/or photo verification that this happened, dates, work performed, etc.

Grantee's Monitoring Inspection Form (if applicable)

This form requires signature by a QCI-certified individual. The following reflects the minimum expectations of what is included on a Grantee's monitoring inspection form.

- Signed by Grantee QCI (with printed name and certification number).
- Date the Grantee's inspection was completed.
- Verify the Grantee QCI reviewed each component of the Subgrantee Final Inspection Form, and the form is in the file.
- Verify the Scope of Work, accuracy of audit inputs, and required documentation is in the client file.
- Identify any corrections necessary (and provide documentation of the full cycle of rework and verification).

- Review/Verify all appropriate measures were on the work order.
- Identify/Verify documentation and justification for any measures not installed.
- Review results of diagnostic testing performed at Monitoring Inspection.
- Verify the invoicing matches any bids and costs input into the energy model; making note of any areas where there is deviation from bid/audit input.

5. SUPPORTING DOCUMENTATION FOR THE WORK PERFORMED

Permits: Where applicable, QCI verification is included for that activity.

Certified Renovator (CR) Documentation: Name of CR is legible on the documentation. Subgrantee should have ability to pull certifications, as needed, to verify CR credential.

Photo documentation: Photos should document audit and final inspection results.

6. INVOICES

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. Invoicing should contain funding source and category (H&S, Incidental Repair Measures (IRM), General Heat Waste (GHW), etc.).

Contractor Based:

- WAP measure materials, and labor costs by installed measure.
- Information related to bid/equipment detail/specifications.

Crew Based:

- Inventory Sheets.
- Installed materials/costs.
- Labor tracking documentation.

7. GRANTEE-SPECIFIC REQUIREMENTS

Grantees may have varying additional documentation requirements for the client file (e.g., pre-WAP utility bills, digital photographs, property deed, etc.).