

C.1 CLIENT FILES AND REQUIRED FORMS

This chapter suggests a model filing system for your HWAP client files and discusses the required forms. A well organized filing system is an essential part of your weatherization operation. The system should be designed to allow you to quickly store and retrieve information.

For every client who applies for weatherization services, and for each unit weatherized, HWAP providers are required to accumulate certain documentation. That information is maintained in the client files.

1. REQUIREMENTS

A. For every single family dwelling weatherized, providers are required to maintain a separate and complete client file. Every client file for a single family unit must contain, at a minimum, the following documents with complete and accurate information:

-One Energy Assistance Programs Application.

-Income verification as defined in Section C2. Application Process and Prioritization, Volume II, for the Energy Assistance Programs Application. Income verification or a HEAP joint application is not necessary if HEAP-eligible.

-Documentation of the energy audit procedure (i.e., DCF or Priority List) used to determine the priority of the weatherization measures installed.

-Documentation of the work order and estimate used to determine the estimated amount and cost of weatherization materials to be installed, documentation of the actual cost and amount of weatherization materials installed, and documentation of actual labor hours and labor costs to install the weatherization materials. This documentation shall consist of:

- A Data Collection Form or another ODOD/OEE approved work order/ estimate form.
- A Building Weatherization Report (BWR) CDD-335S (Section B. Reports, Volume II).
- A revised BWR (CDD-335R) if revisions were made to the original BWR (Section B. Reports, Volume II).
- A copy of the invoice(s), purchase order(s) or "bill(s) of service" for any work contracted to a third

party and for material(s) purchased specifically for the unit.

- A copy of the material requisition(s) or other form(s) which document the types, amounts, and costs of materials taken from grantee inventory for use on the unit. Requisitions must be dated and indicate personnel issuing and receiving materials (Section G, Inventory and Property Management, Volume II).

- Homeowner/authorized agent certification (EIA-29D) or another ODOD approved form.

- Landlord/Tenant/Agency Agreement for rentals (Section C.4. Renters and Owner/Authorized Agents, Volume II).

- An Energy Savers Partnership Plan for every client who received consumer education services (Section C3. Consumer Education, Volume II).

- A Certificate of Insulation (Appendix A, Minimum Weatherization Program Standards).

- A copy of the NEAT Audit (if applicable) or other approved Audit.

B. Client files for units in multi-family buildings must contain the following complete and accurate documentation in one file folder per building.

- One Energy Assistance Programs Application for each occupied unit.

- Income verification as defined in Section C3-C2. Application Process and Prioritization, Volume II.

- Documentation of the energy audit procedure used to determine the priority of the weatherization measures installed.

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- Documentation of the work order and estimate used to determine the estimated amount and cost of weatherization materials to be installed, documentation of the actual amount and cost of weatherization materials installed, and documentation of actual labor hours and labor costs to install the weatherization materials. This documentation shall consist of:

- A Data Collection Form or another ODOD/OEE approved work order/ estimate form.

- A Building Weatherization Report (BWR) CDD-335M for each building and a multi-family attachment CDD-335A for each unit in the building (Section B. Reports, Volume II).

- A revised BWR (CDD-335R) if revisions were made to the original BWR (Section B. Reports, Volume II).

- A copy of the invoice(s), purchase order(s) or "bill(s) of service" for any work contracted to a third party and for material(s) purchased specifically for the unit.

- A copy of the material requisition(s) or other form(s) which document the types, amounts, and costs of materials taken from grantee inventory for use on the unit. Requisitions must be dated and indicate personnel issuing and receiving materials (Section G, Inventory and Property Management, Volume II).

- Homeowner/authorized agent certification (EIA-29D) or another ODOD approved form.

- Landlord/Tenant/Agency Agreement for rentals (Section C.4. Renters Owner/Authorized Agents, Volume II).

- An Energy Savers Partnership Plan for every client who received consumer education services (C.3. Consumer Education, Volume II).

- Documentation for landlord/owner "investment", if applicable.

- A certificate of Insulation (See Appendix A of the MWPS).

For every applicant found to be ineligible for HWAP, providers must maintain a separate file which contains the following documentation:

- One Energy Assistance Programs Application.
- Documentation of ineligibility.
- A copy of the denial of assistance letter which contains an explanation of the appeals procedures.

2. MAINTAINING A FILE SYSTEM

As mentioned above, a filing system should be designed to allow you to quickly store and retrieve information. There are no filing system requirements. However, HWAP providers are required to keep HWAP program files for three program years after the grant has been closed out. Usually this will be 3 years from the date that all final reports are submitted. However, if there is an unresolved audit at that point, records must be maintained until all audit questions are resolved. At that time providers may dispose of the files as they deem necessary. Client files must be maintained indefinitely (see below).

The filing system design is up to each HWAP provider, but there are some basic elements of a filing system that providers might want to incorporate. For example:

1. Keep a perpetual list of clients served by the HWAP. One of the simpler methods is to maintain an alphabetical rolodex type file so that clients can be added easily. If a computer is available a list of clients served can be maintained as a data base.

2. Since the regulations do not allow a unit to be weatherized more than once (except in specific circumstances), it is also useful to maintain a list of weatherized units by address. Again, a rolodex type system works well. A computer data base that includes addresses and the capability to search for a specific address is ideal. Separate files by program year.

3. Divide the client files into four sections based on status. For example, Ineligible, Approved, In-Progress, and Completed files.

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By dividing the client files into sections you will be able to easily distinguish at what point clients are in the HWAP process.

-Ineligible: Clients who have applied for the HWAP that were determined ineligible.

-Approved: Clients who have applied and have been determined eligible for the HWAP but have had no materials installed in their homes.

-In-Progress Units: Units where materials have been installed but the work is not yet completed.

-Completed Units: Units where the weatherization work is completed and a final inspection has been performed.

4. Color code approved client files to indicate rental, elderly, and handicapped to make it easier to distinguish what categories the client falls under. For example:

Elderly - red
Handicapped - blue
Rental - green