

12100 WX Client File Documentation Checklist

The Client Weatherization file must be retained for a period of eight (8) years past the end of the DPHHS Master Contract. A signed copy of this checklist must be included in each Client File:

Client files must include the following documentation (the documentation can be combined):

- Priority number or reason for deviating from the priority list and LIHEAP Case ID, if there is a deviation from the Department-supplied priority list, please provide:
 - a. Reason for deviation.
 - b. Calculated priority number using formula found in Wx Policy and Procedure Manual Section 1100. Priority is based upon elderly, household members with a disability, children under age eighteen (18), energy burden, and energy usage. Households with an emergency can be moved to the top of the priority list.
- Central Database System (CDS) Energy Audit Number.
- A completed Standardized Audit Form EAP-035 must be in the client file and uploaded into CDS Energy Audit when data has been entered into CEA, before requesting any pre-approval and/or before weatherization work begins.
- Job Order Worksheet (or an acceptable substitute) and an itemized financial records worksheet showing work completed and the cost of each weatherization measure, including a total for all measures completed.
- Documented use of the Blower Door including pre-weatherization, production and final inspection test results including Zone Pressure Diagnostics and Duct system test (when applicable); dates performed; and worker sign off.
- Documentation of WC CAZ and spillage results obtained after each workday in which significant air or duct sealing has occurred (where open combustion equipment is present). The "End of Day WC CAZ Test Documentation" form (or equivalent) can be used.
- In homes with primary or secondary solid fuel burning appliances (wood stoves, coal stoves, pellet stoves and open-hearth fireplaces), documentation of pre- and post-weatherization worst case combustion appliance zone (WC CAZ) depressurization testing must be retained. All solid fuel appliances require placement of a CO alarm in the solid fuel CAZ and visual inspections verifying NFPA 211 compliant installations. WC CAZ pressure readings at or below -7 Pascals in a solid fuel CAZ will require the issuance of a Dangerous Conditions form (EAP-023) in addition to occupant education regarding the danger signs of back drafting equipment and how to reduce or eliminate safety concerns. Additional steps taken to address WC CAZ readings at or below -7 Pascals should also be retained in the client file (see section 8400).
- A copy of any issued Dangerous Conditions forms (EAP-023) needs to be in the client file and uploaded to CDS Energy Audit.
- Documentation of reasons for the installation of Health and Safety measures performed on the dwelling as part of the weatherization process.

- Documentation of procurement for any non-contracted services.
- Copy of the "Weatherization Assistance Program(s) Access Agreement" (DPHHS-EAP-013) must be in the client file and uploaded in CDS Energy Audit.
- Any applicable notices relative to hazardous conditions, health and safety related deferrals, or owner/occupant refusal of SIR qualified measures (EAP-020/EAP-023/Mold form). Client Signatures must be on all notices.
- Documentation of compliance with Lead Safety for Renovation Repair and Painting (LSRRP) protocols as outlined in the Lead Safety for Renovation, Repair and Painting training course and Student Manual. Please include copies of the following:
 - a. Test kit results report provided to the client and landlord
 - b. A complete and signed occupant/landlord confirmation of receipt of the "Renovate Right-Important Lead Hazard Information for Families, Child Care Providers and Schools" pamphlet
 - c. Pre-renovation education records
 - d. On the job records
 - e. Post renovation report

Please note that in addition to containment photos in the client file, the CDS Energy Audit must contain a sampling of photographic documentation (as described in Section 4500 of the Wx Policy and Procedure Manual) of lead safe weatherization procedures for all dwellings where the agency performs any LSRRP work, including window and/or door replacement or repair (If applicable).

- Completed Heating Worksheet (DPHHS-EAP-008) with Contractor/Agency HVAC Technician signature must be in the client's file and uploaded in CDS Energy Audit before requesting pre-approvals and/or before weatherization work begins.
- DOE completions require a completed Onsite Final Inspection Form with client and QCI-certified final inspector's signatures. If the home is reviewed as part of a monitoring visit, two QCI-signed final inspection forms should be included in the client file; one from the original final inspection and one from the Monitor's inspection.
- Non-DOE funded completions require a completed Onsite Final Inspection form with client and final inspector's signatures.
- A completed Onsite Final Inspection Form must be in the client file and uploaded in CDS Energy Audit.
- Documentation of asbestos sampling results (if any) and relevant worker certifications (if applicable).
- If LIEHAP CRF emergency assistance is provided during weatherization, documentation of the conditions of the emergency and compliance with the 18/48 hour rules (as applicable must be recorded on a LIHEAP Emergency Assistance Request Form (DPHHS-EAP-250).
- In accordance with the MCA Title 70, Chapter 24 Montana Landlord Tenant laws, the LIEAP recipient (tenant/renter) should give the landlord written notice informing the landlord of the furnace problem and give the landlord "reasonable" time to fix the problem. This must be documented in the client file.

- Red Tags or the NorthWestern Energy Natural Gas Space/Water Heat Replacement Worksheet (as appropriate) must be added to the client file and uploaded in CDS Energy Audit.
- Documentation of clients being asked about pre-existing or potential health concerns, at the time of the initial audit, must be recorded in Appendix B (or equivalent).
- Documentation of Historic Preservation processes, when relevant and as described in Chapter 18 of the Montana Weatherization Policy and Procedure manual.
- Energy Education Survey with the client's signature and a copy of the Energy Education Summary report with the client and local agency representative signatures. If energy education is not conducted, an explanation must be included.
- If replacing doors during weatherization, a photo of the original door(s) must show why the door should be replaced. The photo(s) must be in the client file and uploaded into CDS Energy Audit before requesting pre-approvals and/or before weatherization work begins.
- If skirting is needed, a photo of the underside of the mobile home must be added to the client file and uploaded into CDS Energy Audit to show why the skirting is needed.
- Photos of all four sides of the exterior of the home must be added to the client file and uploaded into CDS Energy Audit.
- RedCalc worksheet must be added to the client file and uploaded into CDS Energy Audit.
- Copies of all client correspondence including complaints, documented resolution, call backs, client requests, etc.
- Weatherization Readiness Funds "Data Tracking Sheet" must be uploaded in CDS Energy Audit and maintained in the client file.

Employee Responsible for File Content Review: _____

Signature: _____ Date: _____