

Best Practices – WAP File Quality Control

Date: September 2018

Subject: File Quality Control

Problem or Question: What forms and documentation are required for our client files?

Discussion: Weatherization Assistance Program client files require both “positive and negative documentation.” This means you have to document your performance of actions/measures (positive documentation), as well as your decisions to *not* perform certain actions/measures (negative documentation). When you do not have to perform certain actions, such as lead safe work or Historic Preservation, you must still provide documentation of what you did to determine such actions were unnecessary. On the other hand, when these actions are triggered, you must provide positive documentation that you followed protocol. The Best Practices posted on the TDHCA website include flowcharts and guidelines for various actions. Use the flowcharts to document your decision: write on them; make notes of what you did at each step of the process, and then write the client file number, sign it, date it, and place it in the client file.

Points to remember with documentation:

- Use both positive and negative documentation. Make it clear why you chose or did not choose to do a measure.
- If the form calls for a signature and date, then sign and date it.
- It is required to have pre AND post CO readings. Document the readings somehow: document on the BWR would be preferred; use printouts or take photos and label for which appliance it represents.
- A complete assessment packet in each file. Each area should be filled in or marked NA if not applicable. Document complete appliance information, **including Manual J calculations**. Note areas of concern or directives that are relevant or can be entered into the energy audit for the contractors. House maps should be clearly labeled and a copy given to the contractor/weatherization crew to guide them in their work.
- Energy audits or Priority List justifying measures installed and omitted in the unit.
- Work Orders should match the energy audit or Priority List.
- Final Inspection that uses the audit or Priority List Work Order to ensure a complete job. Each measure must be inspected and approved before signing off on it.
- Consistent prices between procurement, audit, invoices, and BWR.
- CFM reduction on final blower door readings should meet or exceed the target.

TDHCA’s WAP website contains most of the forms, documents, regulations, and best practices you will need for Quality Files. Please review the following sites frequently for new and/or revised forms and best practices. In order to ensure that your client files are complete, you **MUST** perform Quality Control reviews. Note that any file is subject to state or federal review at any time, so **ALL** of your files must contain all required forms and information.

Recommendation Summary: Subrecipients should always ensure that client files include documentation identified in the current program contract section titled “Record Keeping Requirements.” Use the attached **Client File Checklist** to perform Quality Control reviews of your Client Files. Include the form at the front of each file.

Client File Checklist:

Client File #: _____ **Reviewed by:** _____

	Application All sections, signatures and dates completed.
	Income Eligibility Documentation for each household member aged 18 and up. Includes checks, check stubs, award letters, employer statements, etc. reflecting earnings from within 12 months of the start date indicated on the Building Weatherization Report (BWR); OR Declaration of Income Statement for the previous 30 days. Notice of eligibility.
	12 month customer billing history for gas, propane, and electric, as applicable, or signed and dated consumption disclosure release form.
	Consumption Disclosure Release form for access to consumption data for use in surveys and studies.
	Priority Rating Sheet
	Notice of Denial and Appeal Rights (Department form), if applicable
	Signed and dated “Building Assessment” form and/or “Energy Audit Data Collection Form.” If central heating or cooling is being replaced, Manual J and/or Manual S
	Attic & Wall Inspection Form (local design allowed)
	Documentation of pre and post weatherization carbon monoxide readings for all combustion appliances; documentation must show that test results were acceptable at final inspection.
	Documentation of pre and post weatherization Combustion Appliance Zone (“CAZ”) readings for all combustion appliances; documentation must show that test results were acceptable at final inspection.
	Blower Door and Duct Blaster Data Sheet signed and dated at each reading and includes justification if target not reached
	Refrigerator Metering Information and Replacement Form , or Negative Documentation
	Copy of Energy Audit , Recommended Measures Report and Work Order in file, if applicable; OR Priority List documentation, Work Order in file, if applicable
	Justification for Omission of Priorities Form (local design allowed), if applicable Final Inspection , verification that all work order measures were satisfactorily completed
	Building Weatherization Report (BWR) to include certification of final inspection and client signature and date
	ASHRAE Calculator form printed out showing ASHRAE compliance at final inspection>
	For DOE units, signed and completed “Quality Control Inspector Final Inspection Form”
	Invoices: labor
	Invoices of materials purchased and/or inventory removal sheets
	Unified Weatherization Elements Notification Form (for Lead, SHPO, Mold-Like Substances)
	Signed client receipt of “Mold-Like Substance Notification and Release Form for Texas Weatherization Programs.”
	Radon Informed Consent Form (DOE Only)
	Client Education verification signed and dated by client and staff.
	For Rental Units
	If a rental unit, Landlord Agreement form (including Exhibits A and B), and Landlord Financial Participation form and Permission to Perform an Assessment and Inspections for Rental Units (Department form).
	If a Multifamily Development (5 or more units), Multifamily Project Preparation/Completion Checklist .

Reviewer Signature: _____

Date: _____