

Client File Summary Form

Agency _____ Job No. _____

Client _____ Phone Number _____

Client Address _____

Application Date _____ Application Verification Date (if applicable) _____

Income Reverification Date (if applicable) _____

Auditor (print name) _____ Date of Audit _____

Auditor (signature) _____

ECM Start Date _____ ECM Finish Date _____

Work Order Change Date(s) _____

Final Inspection Auditor (print name) _____ Date of Final Inspection _____

Final Inspection Auditor (signature) _____

Funding Source Breakout				
Fund	Material \$	Labor \$	Total \$	Material Incidental Repairs \$
DOE – Wx				
Utilicare				
LIHEAP				
EC Administered Utility Grants:				
Landlord				
Local Utility				
Other				
Change Order(s)				
Grand Total				

**Client File Summary Form
Instructions**

I. Client File Summary Form

The Client File Summary Form serves as a summary information sheet and must be kept in all client files. All information requested on the sheet must be filled in, and the sheet must be properly signed and dated as indicated in the various signature lines.

1. Client information must include:

- a) Job number
- b) Client name
- c) Address
- d) Telephone number (if available).

2. Dates required to be documented.

- a) Application date (must be the original date the client signs the form).
- b) Application verification/certification date (if applicable). This date should be the date that the agency has verified that all application documentation has been received, fully completed, and reviewed for accuracy.
- c) Date of Audit
- d) Date energy conservation measures (ECMs) started. This date should be one of the following:
 - Energy conservation measures (ECMs) have actually commenced,
 - Specialty items have been ordered that cannot be returned to the vendor, or
 - Home has been awarded to a contractor.
- e) Date ECMs finished. This date should be either of the following:
 - Date when all measures have been installed or
 - Contractor(s) submits invoice with finish date
- f) Work Order Change Date (s) (if applicable). Date the auditor or crew supervisor and the contractor (if applicable) sign the work-order change notice (s).
- g) Date of Final Inspection. This date should be the date that all weatherization materials have been installed according to the work plan, or as documented in a change order request, and the subgrantee, or its authorized representative, has conducted a final inspection and certified that the work has been completed in a professional manner and in accord with WAP work standards, and in accordance with the priority determined in 10CFR 440.

3. Funding Source Breakout

Provide the actual costs of material, material for incidental repairs, labor and the total cost for the home. Spaces have been provided that allows the agency to indicate other funding sources used in completing the work on the home. If an agency uses another funding source, the agency should write the name of the fund source and dollar amounts into the blank spaces provided. For crew labor agencies, document the method to assign labor to job.

AGENCY NUMBERS AND COUNTIES SERVED**CSI (01)**

Andrew – 002
 Atchison – 003
 Buchanan – 011
 Clinton – 025
 Dekalb – 032
 Gentry – 038
 Holt – 044
 Nodaway – 074
 Worth – 113

DAEOC (02)

Dunklin – 035
 Mississippi – 067
 New Madrid – 072
 Pemiscot – 078
 Scott – 100
 Stoddard – 103

EMAA (03)

Bollinger – 009
 Cape Girardeau – 016
 Iron – 047
 Madison – 062
 Perry – 079
 St. Francois – 094
 Ste. Genevieve – 095
 Washington – 110

ESC (05)

Barton – 006
 Jasper – 049
 McDonald – 060
 Newton – 073

GHCAA (06)

Caldwell – 013
 Daviess – 031
 Grundy – 040
 Harrison – 041
 Linn – 058
 Livingston – 059
 Mercer – 065
 Putnam – 086
 Sullivan – 105

CMCA (07)

Audrain – 004
 Boone – 010
 Callaway – 014
 Cole – 026
 Cooper – 027
 Howard – 045
 Moniteau – 068
 Osage – 076

ULMSL (08)

St. Louis City – 115

JFCAC (09)

Franklin – 036
 Jefferson – 050

KCHCDD (10)

Clay – 024
 Jackson – 048
 Platte – 083

CAASTLC (11)

St. Louis County – 096

MOCA (12)

Camden – 015
 Crawford – 028
 Gasconade – 037
 Laclede – 053
 Maries – 063
 Miller – 066
 Phelps – 081
 Pulaski – 085

MVCAA (13)

Carroll – 017
 Chariton – 021
 Johnson – 051
 Lafayette – 054
 Pettis – 080
 Ray – 089
 Saline – 097

NECAC (14)

Lewis – 056
 Lincoln – 057
 Macon – 061
 Marion – 064
 Monroe – 069
 Montgomery – 070
 Pike – 082
 Ralls – 087
 Randolph – 088
 St. Charles – 092
 Shelby – 102
 Warren – 109

NMCAA (15)

Adair – 001
 Clark – 023
 Knox – 052
 Schuyler – 098
 Scotland – 099

OAI (16)

Douglas – 034
 Howell – 046
 Oregon – 075
 Ozark – 077
 Texas – 107
 Wright – 114

OACAC (17)

Barry – 005
 Christian – 022
 Dade – 029
 Dallas – 030
 Greene – 039
 Lawrence – 055
 Polk – 084
 Stone – 104
 Taney – 106
 Webster – 112

SCMCAA (18)

Butler – 012
 Carter – 018
 Dent – 033
 Reynolds – 090
 Ripley – 091
 Shannon – 101
 Wayne – 111

WCMCAA (19)

Bates – 007
 Benton – 008
 Cass – 019
 Cedar – 020
 Henry – 042
 Hickory – 043
 Morgan – 071
 St. Clair – 093
 Vernon – 108

**ENERGIZE MISSOURI HOUSING INITIATIVE
AGENCY NUMBERS AND COUNTIES SERVED**

DAEOC

Dunklin – 035
Mississippi – 067
New Madrid – 072
Pemiscot – 078
Scott – 100
Stoddard – 103

ESC

Barton – 006
Jasper – 049
McDonald – 060
Newton – 073

GHCAA

Livingston – 059

CMCA

Audrain – 004
Boone – 010
Callaway – 014
Cole – 026
Cooper – 027
Howard – 045
Moniteau – 068
Osage – 076

ULMSL

St. Louis City – 115
St. Louis County – 096

CAASTLC

St. Louis County – 096

MOCA

Camden – 015
Crawford – 028
Gasconade – 037
Laclede – 053
Maries – 063
Miller – 066
Phelps – 081
Pulaski – 085

MVCAA

Carroll – 017
Chariton – 021
Johnson – 051
Lafayette – 054
Pettis – 080
Ray – 089
Saline – 097

NECAC

Montgomery – 070
Pike – 082
Ralls – 087
Warren – 109

OAI

Douglas – 034
Howell – 046
Oregon – 075
Ozark – 077
Texas – 107
Wright – 114

OACAC

Barry – 005
Christian – 022
Dade – 029
Dallas – 030
Greene – 039
Lawrence – 055
Polk – 084
Stone – 104
Taney – 106
Webster – 112

WCMCAA

Bates – 007
Benton – 008
Cass – 019
Cedar – 020
Henry – 042
Hickory – 043
Morgan – 071
St. Clair – 093
Vernon – 108

CITY OF INDEPENDENCE

Jackson – 048

CITY OF O'FALLON

St. Charles – 092

CITY OF ST. CHARLES

St. Charles – 092

CAP ST. JOE

Buchanan – 011

HMNDNC

Butler – 012
Dunklin – 035
Mississippi – 067
New Madrid – 072
Pemiscot – 078
Scott – 100
Stoddard – 103

MARC

Jackson – 048

**PY _____ , _____ QUARTER
OTHER FUND SOURCES REPORT**

The Other Fund Sources Report will be submitted to this office after each quarter of the program year. This report is not cumulative; only document the other fund sources for the above referenced quarter.

AGENCY NAME

Other Fund Sources		
Fund Source	Total \$	# Homes
* Other Federal Programs		
Please list _____		

Utility Companies		
Please list _____		

Private Sources (Agency, City, etc.)		
Please list _____		

Landlord Owner Contributions (if the landlord is exempt due to poverty level, please put exempt next to the client name and job number)		
Please list _____		
job #, client name _____		

Grand Total	\$0	

*These funds are considered partnership funds, not leveraged as defined in the Subgrantee Selection Section, leveraging activities. Such as CSBG, CDBG, etc. Anything with a CFDA number should go in this section.

Minority Women Business Enterprise Reporting

Name: _____ **Date:** _____ **Quarter:** _____

The MBE/WBE Report will be submitted to DNR/EC after each quarter of the program year. The report must be completed by all agencies. This report is not a cumulative report; only report the MBE/WBE for the above reference quarter.

BIDS

Names of **Woman Business Enterprises** solicited for bids during this quarter.

Names of **Minority Business Enterprises** solicited for bids during this quarter.

PURCHASES (Commodities & Services)

Name/City of WBE Contractor or Vendor:

Dollar Value of Purchases During this Quarter:

\$ _____

\$ _____

\$ _____

Name/City of MBE Contractor or Vendor:

Dollar Value of Purchases During this Quarter:

\$ _____

\$ _____

\$ _____

(Definitions on following page.)

Minority/Woman Business Enterprise Reporting Instructions

Name: Insert the name of the organization submitting this report.

Date: Insert the date this form is completed.

Quarter: Insert the numeral 1, 2, 3 or 4 that corresponds to the program year quarter (Quarter 1: July 1- Sept. 30; Quarter 2: Oct. 1 - Dec. 31; Quarter 3: Jan. 1 - March 31; Quarter 4: April 1 - June 30).

Names of WBE's Solicited for Bids: Provide names and phone numbers of any Woman Business Enterprises contacted for bids.

Names of MBE's Solicited for Bids: Provide names and phone numbers of all Minority Business Enterprises contacted for bids.

Names of WBE's Contractor/Vendor: Provide names of Woman Business Enterprises awarded bids/contracts.

Names of MBE's Contractor/Vendor: Provide names of Minority Business Enterprises awarded bids/contracts.

Dollar Value of Purchases with WBE's During This Quarter: Provide the total amount of funds actually spent with Woman Business Enterprises.

Dollar Value of Purchases with MBE's During This Quarter: Provide the total amount of funds actually spent with Minority Business Enterprises.

Training and Technical Assistance Subgrantee Quarterly Report

Attachment 4-7 (03/01/2011)

This form will be used to record activities related to expenditure of Training and Technical Assistance (T&TA) funds. The dollar amounts should match claimed expenditures on the monthly reports and the agency's general ledger. Please fully document if any expenses associated with a T&TA activity fell outside the quarterly reporting period from which the activity occurred. For example, a registration fee for a training session may have been paid in the 1st quarter, but the actual training attendance did not occur until the 2nd quarter. The registration expense should be documented in the 1st quarter report, with a note explaining that the actual training did not occur until the 2nd reporting period. Likewise, the training attended in the 2nd reporting period should be documented in the 2nd quarter report, with a note explaining that the registration fee for the training was paid in the 1st quarter. Also, any T&TA expense that was paid for in advance, and the event was canceled or the participant did not attend, must also be noted on the report. If a refund was given, that refund must be documented in the reporting period in which the refund was added to the agency's general ledger and documented on the monthly report.

Agency: _____	<input type="checkbox"/> 1 st Quarter – July through September	<input type="checkbox"/> 3 rd Quarter – January through March
	<input type="checkbox"/> 2 nd Quarter – October through December	<input type="checkbox"/> 4 th Quarter – April through June

Briefly describe your T&TA activities during the reporting period. Include dates, location, content, staff attendees, and dollar amount for each category. Attach additional sheets or documentation if necessary.

Meetings and Conferences:				
<u>Name of Meeting or Conference</u>	<u>Date:</u>	<u>Location</u>	<u>Staff Attended</u>	<u>Associated Expenses</u>
_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	\$ _____
TOTAL \$				_____

Training:				
<u>Name of Training</u>	<u>Date:</u>	<u>Location</u>	<u>Staff Attended</u>	<u>Associated Expenses</u>
_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	\$ _____
TOTAL \$				_____

Other:				
<u>Name of Event</u>	<u>Date:</u>	<u>Location</u>	<u>Staff Attended</u>	<u>Associated Expenses</u>
_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	\$ _____
TOTAL \$				_____

Grand Total of T&TA Expenses: \$ _____

Attachment 4-8

03/01/2011



Department of Energy

Washington, DC 20585

WEATHERIZATION PROGRAM NOTICE 11-03

EFFECTIVE DATE: December 15, 2010

SUBJECT: POLICY REGARDING THE USE OF DOE PROGRAM FUNDS TO PAY FOR CALL-BACK/ADD-ON WORK AFTER REPORTED TO DOE AS A COMPLETED UNIT

PURPOSE: To clarify if and when Grantees and subgrantees may charge the Department of Energy (DOE) Low-Income Weatherization Assistance Program (WAP) for call-backs once a dwelling unit has been final inspected and reported to DOE as a completed dwelling unit.

SCOPE: The provisions of this guidance apply to Grantees or other entities named in the Notification of Grant Award as the recipient of financial assistance under the Department of Energy Weatherization Assistance Program. This guidance applies to all sources of funds in use – American Recovery and Reinvestment Act of 2009 (Recovery Act) and regular appropriated DOE Weatherization funds in 2009, 2010 and beyond.

LEGAL AUTHORITY: Title IV, Energy Conservation and Production Act, as amended, authorizes the Department of Energy (DOE) to administer the Weatherization Assistance Program. All grant awards made under this Program shall comply with applicable law including regulations contained in 10 CFR Part 440, the Energy Policy Act of 2005, the Energy Independence and Security Act of 2007, and the American Recovery and Reinvestment Act of 2009 (Recovery Act).

BACKGROUND: Recent monitoring and auditing of the Program has uncovered numerous instances where DOE WAP funds are being used to perform additional weatherization work after the dwelling unit has been final inspected and reported to DOE as a completed unit. Whether you refer to this additional weatherization work as “call-backs,” “re-works,” “add-ons,” “missed opportunities”, or some other term of art, this type of work should not occur using DOE funds. Under a recent interpretation of WAP regulations by the DOE Office of General Counsel, paying for additional work on homes that have already been reported to DOE is not a permissible use of DOE WAP funds.

GUIDANCE: As a general rule, Grantees and subgrantees may not charge the WAP for additional work on homes that have already been reported to DOE as completed, weatherized units. Once a home is reported to DOE as complete, the required final inspection indicates that all applicable work performed was done so in a workmanlike manner, including all work that may have been contracted out such as furnace work, etc. Performing activities such as routine maintenance, repairs, or warranty-type work is not permitted using DOE funds for work beyond those costs already invoiced. Grantees and subgrantees may use other funds that are not included as a part of their DOE WAP budget plans to pay for the costs associated with these activities.

The only method to address “call-backs” where DOE funds must be used to pay for the additional work is to have these previously completed units taken out of the DOE reporting system and subtract the associated costs from the DOE funds category.

The Project Officer must be notified in writing of the number of units, total costs, and reporting period (monthly and/or quarterly) for any units that are to be backed out of the PAGE system. The Project Officer will then reject the report so that the revised reporting adjustments can be made. Further, Grantees must coordinate with their financial office to ensure the appropriate accounting methods follow Federal cash management procedures.

After making any necessary repairs, the subgrantee must re-inspect the unit and report the completion to the grantee who will then report the unit to DOE, including all final costs for the unit in the month the completed work takes place. In considering this option, it should be noted that this process is time-consuming and should be utilized only on a limited case-by-case basis. Any proposed exception to this guidance must be provided by the subgrantee to the Grantee and submitted to DOE for approval.

Subgrantees that primarily use contractors are likely not to have this issue. The contracts for HVAC or other work using DOE funds must ensure that adequate guarantees of workmanship, implied or otherwise, are part of the bid process. These costs are generally built into the contract including the equipment, workmanship, and the length of time covered by any implied warranty required in the bid specifications.

This program notice affects all units weatherized after January 10, 2011 with any-year’s appropriated funds as well as Recovery Act funds. This date should ensure that Grantees will have time to amend any procedures or plans currently in place with their subgrantees to implement this change.

Note: Under no circumstances can any of the activities described above be covered under the reweatherization provisions of 10 CFR 440.18(e)(2)(iii) of the program regulations.

CONCLUSION: DOE intends to revisit this issue during the updating of the program regulations scheduled to begin early next year. At that time, DOE will request comments on how best to address any proposed changes to the regulations, including this matter. If there are additional questions or concerns about this guidance document, Grantees should contact their PMC Project Officer. DOE appreciates your cooperation and patience as we work together to achieve the Administration's goal of creating jobs and increasing the number of people who benefit from DOE-funded weatherization projects.



LeAnn M. Oliver
Program Manager
Office of Weatherization and Intergovernmental Program
Energy Efficiency and Renewable Energy

ARRA QUARTERLY PROGRESS REPORT (March 2011)
Missouri Department of Natural Resources
Energize Missouri Weatherization Progress Report
Congressional District & Equipment/Vehicle Purchase Information/Payments

Subgrant Recipient _____
 Reporting Contact _____

Phone _____
 Email _____

Subgrant # _____

Reporting Period 1st Quarter FY11 (July -Sept) 3rd Quarter FY11 (Jan-Mar)
 2nd Quarter FY11 (Oct - Dec) 4th Quarter FY11 (Apr-June)

CONGRESSIONAL DISTRICT INFORMATION (Cumulative)

CONGRESSIONAL DISTRICTS COVERED BY SUBGRANTEE _____

AMOUNT PAID TO SUBGRANTEE IN EACH CONGRESSIONAL DISTRICT _____

The dollars being reported must be cumulative. For example, the dollars that were reported for the 1st quarter must be included with the 2nd quarter dollars being reported. **Based on homes served in each congressional district and/or payments made to agency to cover agency expenses for ARRA funding. For agencies who haven't completed homes during the reporting timeframe, please put expenditures in your congressional district that your agency is located in. **Please ensure that the total of expenditures for congressional districts equals the total amount paid to your agency by the last day of the quarter.** For example, if you have received an advance reimbursement and have completed 4 homes in Congressional District 4, but your agency is located in Congressional District 6, Congressional District 4 would equal the amount reimbursed to your agency from DNR/DE as reported on the homes complete summary. Congressional District 6 would equal the remainder of the reimbursements to your agency.

ALL VEHICLE PURCHASES AND EQUIPMENT PURCHASES OVER \$5,000 (For quarter being reported)

	# OF UNITS	TOTAL \$
VEHICLES PURCHASED		\$ -
EQUIPMENT PURCHASED OVER \$5000		\$ -

(THE \$5000 IS PER UNIT)

DID YOUR AGENCY HAVE ANY SINGLE PAYMENT(S) TO ANY VENDOR(S) OR CONTRACTOR(S) OVER \$25,000 DURING THIS REPORTING PERIOD?
 _____ YES _____ NO

Please forward a copy of your Check Register (run from the first day of the reporting period through the last day of the reporting period) showing date paid, check number, payee and check amount.

ARRA QUARTERLY PROGRESS REPORT (March 2011)
Missouri Department of Natural Resources
Energize Missouri Weatherization Progress Report
Training Information

QUARTERLY (NOT CUMULATIVE)

Subgrant Recipient _____
 Reporting Contact _____

Phone _____
 Email _____

Subgrant # _____

Reporting Period 1st Quarter FY11 (July -Sept) 3rd Quarter FY11 (Jan-Mar)
 2nd Quarter FY11 (Oct - Dec) 4th Quarter FY11 (Apr-June)

TRAINING (BY POSITION TYPE)
 HOURS TRAINED AT SUBGRANTEE LEVEL (for quarter being reported)

	# STAFF	HOURS TRAINED	TOTAL HOURS TRAINED
ENERGY AUDITOR			0
INSTALLER			0
CREW CHIEF			0
CREW MEMBER			0
CONTRACTOR			0
HVAC			0
TECHNICAL MONITOR			0
PROGRAM MANAGER			0
TRAINER			0
PROGRAMMATIC			0
FINAL INSPECTOR			0
PROCUREMENT/FISCAL			0
OTHER			0
TOTALS			0

