

**Kentucky Housing Corporation  
Weatherization Assistance Program  
Compliance Review  
Preparation Checklist**

This is a checklist of all documents that will need to be uploaded through file share. Kentucky Housing Corporation reserves the right to review and request other files and documents as necessary. **Please include this checklist with your uploaded documents and check the box to note the document has been uploaded. If the document is not applicable to your agency, write n/a next to the box.**

**Administrative File**

- Record of any filed grievances
- Title VI Self-Survey
- Letter of approval for Title VI Self-Survey from KHC
- Section 504 Plan
- Non-discrimination policy

**Employee File**

- List of Weatherization employees and titles
- Applicable trainings/certifications for all Weatherization employees
  - DNE
  - QCI
  - CAZ
  - Zonals
  - NEAT/MHEA
  - LED
  - CPR/First Aid
  - Mold
  - Lead Safe Work Practices
  - Lead Renovator
  - ASHRAE
  - Asbestos
  - Hazard Communication/Safety
  - Crew Leader
  - Retrofit Installer

**Contractor File (for each contractor on approved list)**

- Approved Contractor list (along with list of current employees for each contractor)
- WX-10 Contractor Application
- WX-11 Contractor's Work Reference
- WX-12 Non-Financial Agreement
- Hold Harmless
- Applicable trainings/certifications for all contractor employees
- Professional license (for electricians, HVAC, plumbers)
- Documentation of SAM search

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### **Financial File**

- Current Insurance policies
  - Worker's Comp
  - Employer Liability
  - Errors and Omissions or Director's and Officers' Liability
  - General liability
  - Pollution
  - Vehicle
- Chart of account codes
- Revenue & Expense reports for the months corresponding to the November 2019 draw requests (LIHEAP and DOE)
- General ledger reports for the months corresponding to the agency's November 2019 draw requests (LIHEAP and DOE)
- Payroll report for any hours invoiced on November 2019 draw request (LIHEAP and DOE)
- Timesheets related to the hours invoiced on November 2019 draw request

(Once these documents are reviewed, a sample of specific charges will be requested)

### **Program Files**

- Lead Renovator Firm Status Certificate
- Current priority list
- List of current jobs in-progress
- Weatherization Policies and Procedures

### **Client Files (4 completed, 3 deferred)**

- Completed File 1 (write client name) \_\_\_\_\_
  - WX-710 Completed Dwelling Report
  - Client Completion Report
  - WX 910 Request to Exceed/Fuel Change Request, if applicable
  - WX-800 Client Application & Prioritization (page 1 and 2)
  - Income documentation
  - WX-800b Applicant Notification
  - Notice of Appeal Rights
  - Hold Harmless agreement
  - Deed or title
  - Client education form
  - WX-15 Change Order
  - WX-14 Agency-Contractors Agreement
  - WX-16 Contractors Notice of Completion & Approval
  - WX-16A Deficiency Notice
  - WX-17 Private Contractors Invoice
  - Bid documentation (request to bid, contractor bid, bid opening form)
  - WX-Rental Agreement

- Completed File 2 (write client name) \_\_\_\_\_
  - WX-710 Completed Dwelling Report
  - Client Completion Report
  - WX 910 Request to Exceed/Fuel Change Request, if applicable
  - WX-800 Client Application & Prioritization (page 1 and 2)
  - Income documentation
  - WX-800b Applicant Notification
  - Notice of Appeal Rights
  - Hold Harmless agreement
  - Deed or title
  - Client education form
  - WX-15 Change Order
  - WX-14 Agency-Contractors Agreement
  - WX-16 Contractors Notice of Completion & Approval
  - WX-16A Deficiency Notice
  - WX-17 Private Contractors Invoice
  - Bid documentation (request to bid, contractor bid, bid opening form)
  - WX-Rental Agreement
  
- Completed File 3 (write client name) \_\_\_\_\_
  - WX-710 Completed Dwelling Report
  - Client Completion Report
  - WX 910 Request to Exceed/Fuel Change Request, if applicable
  - WX-800 Client Application & Prioritization (page 1 and 2)
  - Income documentation
  - WX-800b Applicant Notification
  - Notice of Appeal Rights
  - Hold Harmless agreement
  - Deed or title
  - Client education form
  - WX-15 Change Order
  - WX-14 Agency-Contractors Agreement
  - WX-16 Contractors Notice of Completion & Approval
  - WX-16A Deficiency Notice
  - WX-17 Private Contractors Invoice
  - Bid documentation (request to bid, contractor bid, bid opening form)
  - WX-Rental Agreement
  
- Completed File 4 (write client name) \_\_\_\_\_
  - WX-710 Completed Dwelling Report
  - Client Completion Report
  - WX 910 Request to Exceed/Fuel Change Request, if applicable
  - WX-800 Client Application & Prioritization (page 1 and 2)
  - Income documentation
  - WX-800b Applicant Notification
  - Notice of Appeal Rights
  - Hold Harmless agreement
  - Deed or title
  - Client education form
  - WX-15 Change Order
  - WX-14 Agency-Contractors Agreement

- WX-16 Contractors Notice of Completion & Approval
- WX-16A Deficiency Notice
- WX-17 Private Contractors Invoice
- Bid documentation (request to bid, contractor bid, bid opening form)
- WX-Rental Agreement
  
- Deferred File 1 (write client name) \_\_\_\_\_
  - WX-800 Client Application & Prioritization
  - WX-710
  - Letter notifying client of reason for deferral
  
- Deferred File 2 (write client name) \_\_\_\_\_
  - WX-800 Client Application & Prioritization
  - WX-710
  - Letter notifying client of reason for deferral
  
- Deferred File 3 (write client name) \_\_\_\_\_
  - WX-800 Client Application & Prioritization
  - WX-710
  - Letter notifying client of reason for deferral