

Subject: Documentation required in Consumer Files

Purpose: To provide Authorized Providers with the minimum information on what documentation is required to be in the Customer's file.

At a minimum, the Customer files involved in the Electric Partnership Program must include the following paperwork. A majority of this paperwork is printable from the SMOC~ERS software and is available for viewing in the FORMS section of the Policy and Procedures. Please keep in mind that the appearance may be a little different. Some of the paperwork may be developed and/or initiated by the local Authorized Providers or be received from an outside source (i.e., appliance vendors, or appliance disposal / demanufacturing centers).

This listing is the minimum required. Authorized Providers may decide to include additional forms that are printable from the SMOC~ERS software that are not listed, but was developed from the site specific audit. Copies of the forms available from the SMOC~ERS software are included in the FORMS folder of the Policy and Procedure Manual for review.

All Landlord forms (i.e., Landlord Baseload Program Authorization, Landlord Baseload Program Agreement, Baseload Landlord Invoice, Proof of Landlord Contribution, Landlord Weatherization Agreement, Weatherization Landlord Invoice) are only applicable when the unit is a rental situation. However, if the unit is a rental situation, all applicable landlord forms (especially the Authorization and Agreement forms) must be signed by the Landlord and be included within the customer's file.

Baseload Audits

1. *Site Visit Authorization Form* is to be signed by the Customer. This form accomplishes three issues:

- (a) determines ownership of the property,
- (b) determines ownership of the appliances, and
- (c) gives permission to the Authorized Provider's representative to access the unit and to conduct the audit.

2. *Landlord Baseload Program Authorization* is to be signed by the Owner of the property (when different from the customer), the Customer, and the Agency (Authorized Provider's representative). This form accomplishes four issues:

- (a) determines ownership of the appliances,
- (b) gives permission to remove / replace the appliances, asks for commitment by the owner to leave new appliances in the unit of the consumer, and identifies the landlord contribution,

- (c) identifies the transfer of ownership for the appliances from the owner to the customer (if applicable), and
- (d) gives permission to the Authorized Provider's representative to access the unit and to conduct the audit.

3. *Installation Authorization Form* is to be signed by the Customer. This form lists:

- (a) the measures to be installed on the unit (either at the time of the audit or delivered at another time),
- (b) the requirements of the customer agreeing to prepare the old appliances for removal,
- (c) the customer agreeing to pay the cost for Extra Options or Second Delivery charges,
- (d) the certification that the old inefficient appliances were operational when the audit was completed, and
- (e) a commitment by the customer to not remove / replace the measures while they are still operational.

4. *Landlord Baseload Program Agreement* is to be signed by the Landlord (Owner of the property, when different from the customer), the Customer, and the Agency (Authorized Provider's representative). This form accomplishes the issue of getting permission from the owner to install the measures within the unit and identifies the required contribution amount for appliance replacements (if applicable).

5. *Action Plan* is to be signed by the Customer and the Auditor. These are the actions agreed upon between the auditor and the customer. These are not the entire Suggested Actions observed by the auditor during the visit, but are the actual actions determined by the customer (from the entire list of suggested actions) that the customer agrees to make in this partnership to slow the growth of their electrical arrearage. The Action Plan should target the high energy users identified by the auditor within the residence and must have a potential dollar savings associated with it.

6. *Refrigerator and Freezer Order Form* is to be signed by the Customer. This form details the information on the existing appliance (type, size, color, location, access width) and the replacement appliance (make, model, and size). This form also states the responsibility of the customer for the second delivery fee, if not available on the scheduled (arranged) delivery date.

7. *Refrigerator / Freezer Delivery Ticket* a copy of this form is to be received from the Appliance Vendor. **THIS IS NOT A FORM THAT IS WITHIN THE SMOC~ERS SOFTWARE.** This form should have the Customer's signature on it verifying that the appliance(s) that were ordered (make, model and size) have been delivered. This form (or a copy of the form) may not be available within a customer file, but may be located in a master appliance file. This form MUST

accompany the *Vendor Invoice for Refrigerator / Freezer*, please refer to Model Appliance Agreement.

8. *Vendor Invoice for Refrigerator / Freezer* is to be received from the Appliance Vendor. **THIS IS NOT A FORM THAT IS WITHIN THE SMOC~ERS SOFTWARE.** This form (or a copy of the form) may not be available within a customer file, but may be located in a master appliance file. This form is used to reconcile the pricing of the delivered appliance(s) and for payment to the appliance vendor. This form **MUST** be accompanied by the *Refrigerator / Freezer Delivery Ticket* and the *Proof of Refrigerator / Freezer Disposal* forms, please refer to Model Appliance Agreement.

9. *Proof of Refrigerator / Freezer Disposal* is to be received from the Appliance Vendor. **THIS IS NOT A FORM THAT IS WITHIN THE SMOC~ERS SOFTWARE.** This is also called the Certificate of Disposal (or Demanufacturing). The Appliance Vendor must include this form with the *Vendor Invoice for Refrigerator / Freezer* prior to payment, please refer to Model Appliance Agreement. This form (or a copy of the form) may not be available within a customer file, but may be located in a master appliance file. This form must include information on the appliance(s) disposed (or demanufactured). This listing may be in a batch format (with multiple appliances collected over a period of time and batched for disposal / destruction) or may be individualized (for single appliances). There is no specific form or format that the *Proof of Refrigerator / Freezer Disposal* must take, however, it must include the following information on the disposed appliances:

- (a) Manufacturer,
- (b) Model Number,
- (c) Serial Number, if available,
- (d) color,
- (e) size, and
- (f) accompanying Job Number.

This may be a form provided by the Appliance Vendor (or the Disposal Company sub-contracting with the Appliance Vendor) or may be developed by the Authorized Provider.

10. *Baseload Landlord Invoice* is to be signed by the Program Manager and the Fiscal Officer of the Authorized Provider. This form allows the Authorized Provider to track the required contribution from the Owner of the property, if different than the customer.

11. *Proof of Landlord Contribution* must be included within the Customer's file. **THIS IS NOT A FORM THAT IS WITHIN THE SMOC~ERS SOFTWARE, BUT MUST BE DOCUMENTED IN THE SMOC~ERS INVOICE SECTION.** This documentation will be a copy of the Landlord's financial contribution for their share of the appliance(s), hard-wired lighting, or lighting

measures within common areas. Refer to the Rental Policy within the EPP Policy Manual.

12. *Consumer Education Follow-up Contact Report* must be included within the Customer's file. **THIS IS NOT A FORM THAT IS WITHIN THE SMOC~ERS SOFTWARE.** This documentation provides information on what Action Steps the customer is and is not following up with and reasons for his/her behavior. The contact will reinforce the learning that occurred at the time of the audit and promote the partnership between the customer and the auditor. It will provide feedback to the Agency and OCS as to what is working and what should be changed.

Weatherization Audits

13. *Landlord Weatherization Agreement* is to be signed by the Landlord (Owner of the property, when different from the customer), the Customer, and the Agency (Authorized Provider's representative). This form accomplishes the issue of:

(a) notifying the owner that the measures listed are to be installed within the unit,

(b) identifies the required contribution amount for any replacement of the Heating, Ventilation and/or Air Conditioning (HVAC) equipment.

PLEASE NOTE: The *Landlord Weatherization Agreement* will only be available in the SMOC~ERS software when the customer is identified as being a RENTER and after the weatherization audit information has been entered. It will not be available without these two conditions.

PLEASE NOTE: The third line for which the Landlord is to initialize, does not apply to the EPP program. Since the EPP program is for electric Percentage of Income Payment Plan (PIPP) customers or those eligible for PIPP and the Weatherization component is for electrically heated or cooled homes, the customer **MUST** be listed on the utility company's bill. If the costs for the electric utility are included in the rent, then the customer is **NOT** eligible for PIPP and no EPP work may be done through the program.

14. *Weatherization Work Order* is to be signed by the Customer. This form details the weatherization measures that will be installed within the unit.

- The Weatherization Work Order Sheet is to be used in conjunction with the Work Order. The Sheet provides more detail (showing more specifics about the retrofits, heat system, and blower door readings). This form should accompany the Weatherization Work Order to provide additional information to the crews / contractors.
- The Weatherization Inspection Report may also be used. It will only show the retrofits checked by the auditor as needing to be installed.

15. *Weatherization Landlord Invoice* is to be signed by the Program Manager and the Fiscal Officer of the Authorized Provider. This form allows the Authorized Provider to track the required contribution from the Owner of the property, if different than the customer for any replacement Heating, Ventilation and/or Air Conditioning (HVAC) equipment.

16. *Proof of Landlord Contribution* must be included within the Customer's file. **THIS IS NOT A FORM THAT IS WITHIN THE SMOC~ERS SOFTWARE, BUT MUST BE DOCUMENTED IN THE SMOC~ERS INVOICE SECTION.** This documentation will be a copy of the Landlord's financial contribution for their share of the replacement of Heating, Ventilation and/or Air Conditioning (HVAC) equipment. Refer to the Rental Policy within the EPP Policy Manual.

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