



## WEATHERIZATION ASSISTANCE PROGRAM

### ON-SITE MONITORING: PROGRAMMATIC & MANAGEMENT CHECKLIST December 2015

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## PRE-MONITORING PROGRAM MATERIALS CHECKLIST

During the on-site monitoring visit, the DOE Project Officer may request to review one or more of the following program materials or requirements while at the Grantee or Subgrantee office.

### GRANTEE PROGRAM MATERIALS TO HAVE AVAILABLE:

- Grantee and Subgrantee most recent amended agreement
- Completed Subgrantee Monitoring Reports
- Monitoring Tool/Instrument
- Procedural Manuals for Program Implementation (with technical reports)
- Most recent Grantee support contract/training entities or other contracted activities
- Procurement documentation related to the agreements
- Inventory Tracking and Records
- Training Information (training logs, training schedules, etc.)

### SUBGRANTEE PROGRAM MATERIALS TO HAVE AVAILABLE:

- Current Grantee State Plan
- Amended Award with the Grantee (most recent version)
- Grantee Weatherization Policies and Procedures Manual
- Copies of files of homes to be visited
- Inventory Tracking Materials (if applicable)
- Subcontractor Contracts
- Procurement documents to verify competition
- Most recent documentation of grantee monitoring visit
- Costs and Fixed Price Lists
  - Materials
  - Services (Audits, Inspections, etc.)

# PROGRAMMATIC AND MANAGEMENT CHECKLIST

## SECTION 1: GRANTEE REVIEW

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### 1. Has the Grantee's organizational structure changed?

- Is Grantee staffing consistent with staffing identified in the State Plan?
- Are key personnel performing the duties proposed within the State Plan?
- Identify any changes to Grantee staffing.

**Source Documentation:**

*10 CFR 440.12(b)(3): State Application, budget*

*10 CFR 440.12(b)(1): State Application, responsible agency*

*2 CFR 200.308 for Changes*

**Material Review:**

*GO-PF20a, Personnel Section*

*Grantee Staffing Plan/Staffing Chart with Roles/Responsibilities*

### 2. How is the Grantee tracking and verifying employees are charging their time in proper increments and segregating time between DOE funding and other state or federal grant programs?

**Source Documentation:**

*10 CFR 440.12(b)(3): State Application, budget*

**Material Review:**

*Timesheets (specifically a timesheet charging time for two or more projects or programs)*

*Request copy of any cost allocation plan (if applicable)*

### 3. Are the Subgrantees the same as those approved in the State Plan? If not, will the Grantee submit an amendment to the State Plan to incorporate Subgrantees?

**Source Documentation:**

*10 CFR 440.14(b)(1)*

*2 CFR 200.308 Changes*

**Material Review:**

*Approved State plan – Annual File Section IV.I*

*Section 6 of Budget Justification – Contractors*

**4. How does the Grantee ensure their Subgrantees have all relevant program materials needed to effectively carry out the Weatherization Assistance Program?**

***Source Documentation:***

*10 CFR 440.14: State Plans*

*10 CFR 440.16: Minimum Program Requirements*

*10 CFR 440.24: Recordkeeping*

*10 CFR 440.23(c): Oversight, Training and Technical Assistance*

***Material Review:***

*Grantee Award*

*State Plan*

*Most recent Grantee fiscal and programmatic monitoring report from the Grantee*

*Copy of the Grantee policy and procedures manual*

**5. What is the Grantee's process for executing their Subgrantee awards? What issues, if any, have developed to cause significant delays in the process?**

***Source Documentation:***

*10 CFR 440.14: State Plan*

*10 CFR 440.24: Recordkeeping*

*10 CFR 440.23 (c): Oversight, Training and Technical Assistance*

*10 CFR 440.15: Subgrantees*

***Source Documentation:***

*Dates on Subgrantee Contracts*

**SECTION 2: FINANCIAL/ADMINISTRATIVE**

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**6. What is the Grantee policy regarding Subgrantee contractor payments, procurement of contractors and establishing fixed costs for materials or services?**

***Source Documentation:***

*2 CFR 200.305: Payment*

*2 CFR 200.317 et. seq.: Procurement Standards*

*10 CFR Part 440.16(g): Minimum Program Requirements*

***Material Review:***

*Review invoice policy and procedures*

*Review a sample of Subgrantee Submitted invoices for completeness and accuracy*

*Review procurement documents to validate fixed costs for materials and services*

**7. If the approved budget identifies leveraged funds, how is the Grantee properly accounting and reporting them?**

**Source Documentation:**

*10 CFR 440.14 (c)(6)(iv)(v) and 14(c)(6)(xiv): State Plan*

*10 CFR 440.16 (c),(e): Program requirements*

*10 CFR 440.18(14): Allowable expenditures*

*10 CFR 440.24: Recordkeeping*

*WPN 14-1, Section 3.3 Leveraged Resources*

*WPN 10-17: Buydown/Leverage Funds*

**Material Review:**

*Approved and/or Amended State Plan*

*Accounting System*

*Monthly and/or Quarterly Reports*

**8. What is the Grantee's method of tracking used to segregate multiple funding sources for Weatherization activities?**

**Source Documentation:**

*10 CFR 440.14(c)(6)(v)(vi)(x)(xiv): State Plan*

*10 CFR 440.16 (h)(2): Program requirements*

*10 CFR 440.18: Allowable Expenditures*

*10 CFR 440.24: Recordkeeping*

*2 CFR 200.300 et seq.: Standards for Financial and Program Management*

*2 CFR 200.305: Payment*

*WPN 10-17: Buydown/Leverage Funds*

**Material Review:**

*Accounting System Review*

*Generate Budget and/or Funding Spreadsheets (to demonstrate the multiple funding sources)*

**9. What tracking mechanism does the Grantee use for capped cost categories (e.g. administration, T&TA, Health & Safety, etc.) and what is the frequency for review of those costs?**

**Source Documentation:**

*10 CFR 440.12(b)(4): State Application, proposed units*

*10 CFR 440.14(c)(6)(vii): State Plan, expected average*

*10 CFR 440.14(c)(6)(x): State Application Administrative limits – Subgrantees*

*10 CFR 440.16 (h): Health and Safety limitations*

*10 CFR 440.23(e): Oversight, Training and Technical Assistance*

**Material Review:**

*Application Package, II.4 WAP Production Schedule, Budget*

*Submitted Reports*

**10. How does the Grantee confirm Subgrantees (and contractors) have Liability Insurance?**

***Source Documentation:***

*10 CFR 440.18(c)(10): Allowable Expenditures*

***Material Review:***

*File Review: Contract flow down provisions*

*Monitoring instrument*

*Copies of Liability Insurance*

**11. Describe the Grantee's process of payment to Subgrantees and Grantee's support services contractors.**

***Source Documentation:***

*2 CFR 200.305(b)(3): Payment (Reimbursement)*

*2 CFR 200.401: Application*

*10 CFR 440.16(g): Minimum Program Requirements*

***Material Review:***

*Review invoice policy and procedures*

*Review a sample of final payment vouchers for completeness and accuracy*

**12. Describe how the Grantee reviews and validates Subgrantee invoices for allowable costs.**

***Source Documentation:***

*10 CFR 440.16(g): Minimum Program Requirements*

*10 CFR 440.18(c)(d)(e): Allowable Expenditures*

*10 CFR 440.19: Labor*

*10 CFR 440.21(c): Weatherization Materials Standards and Energy Audit Procedures*

***Material Review:***

*Examine costs on invoices submitted*

*Examine client file documentation for inspections, material, labor and support costs*

**13. Does the Grantee provide advances to their Subgrantees? How does the Grantee reconcile the advances?**

***Source Documentation:***

*2 CFR 200.305(b)*

***Material Review:***

*Grantee Policy and Procedures Manual*

*Documentation on Advance reconciliation*

### **SECTION 3: POLICY ADVISORY COUNCIL (PAC)**

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- 14. Has the Grantee's PAC (as identified in the regulations) changed since approval of the State Plan? If the PAC's composition has changed, provide details on the changes and why they took place.**

***Source Documentation:***

*10 CFR 440.17: Policy Advisory Council*

*Application Instructions, Section IV.5: Policy Advisory Council*

***Material Review:***

*Most recent amendment of the approved state plan with the list of PAC members.*

*Application Instructions, Section IV.5: Policy Advisory Council*

- 15. Describe the procedure for the PAC to review and provide input on the State Plan?**

***Source Documentation:***

*10 CFR 440.17: Policy Advisory Council*

*Application Instructions, Section IV.5: Policy Advisory Council*

***Material Review:***

*Review agenda and notes/minutes take from the two most recent PAC meetings, especially the notes from the meeting prior to submission of the State Plan*

*Application Instructions, Section IV.5: Policy Advisory Council*

## **SECTION 4: ELIGIBILITY**

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### **16. Describe the Grantee process to ensure homes identified for re-weatherization by their Subgrantees are eligible and tracked by their completion date.**

***Source Documentation:***

*10 CFR 440.14: State Plan*

*10 CFR 440.15: Subgrantees*

*10 CFR 440.16(a): Minimum Program Requirements*

*10 CFR 440.18 (d)(2), (d)(15), (f)(2)(iii): Allowable Expenditures*

*10 CFR 440.22: Eligible dwelling units*

*10 CFR 440.24: Recordkeeping*

*Application Section V.1.2*

***Material Review:***

*State Plan*

*Monitoring Plan*

*Monitoring Reports*

*Client File Review/Eligibility paperwork*

*Previous weatherization work order/invoices*

*Database capabilities (tracking historical data)*

### **17. Explain how the Grantee confirms Subgrantees comply with income eligibility requirements. Identify what procedures the Subgrantees must follow.**

***Source Documentation:***

*10 CFR 440.16: Minimum Program Requirements*

*10 CFR 440.22: Eligible Dwelling Units*

*WPN 11-4: Multifamily Eligibility*

*WPN 11-9: Updated Eligible Multifamily Property Listings*

*WPN 14-3: Poverty Income Guidelines and Definition of Income*

*Application Section V.1, VI.1 and VI.2*

***Material Review:***

*Policies on income documentation and eligibility.*

*Completed monitoring files to determine if eligibility is part of Grantee oversight.*



**18. How does the Grantee ensure compliance with the priority criteria identified in the approved State Plan for serving eligible applicants? Specific examples include:**

- a. High Energy Users**
- b. High Energy Burden**
- c. Elderly**
- d. Disabled**
- e. Households with Children.**

***Source Documentation:***

*10 CFR 440.16(b): Minimum Program Requirements*

*WPN 11-4: Prioritizing Work based on Housing Type*

*WPN 11-9: Eligible Multifamily Property Listings*

*WPN 14-3: Poverty Income Guidelines and Definition of Income Application Package, V.3*

***Material Review:***

*Grantee plan for priority criteria.*

*Grantee policy on eligibility priority rating. Be sure rating system matches plan and regulations.*

**19. Has the Grantee identified any Subgrantees performing (e.g., for-profit subsidiary, utility-based programs, HUD)? Does the Grantee ensure the use of weatherization equipment and material expense is properly accounted for and the WAP program is reimbursed?**

***Source Documentation:***

*10 CFR 440.24: Recordkeeping*

*2 CFR 200.302 Financial Management*

*2 CFR 200.303: Internal controls*

*2 CFR 200.307: Program Income*

*2 CFR 200.313: Equipment*

***Material Review:***

*Budget/Accounting Systems*

*Inventory Lists*

*Subgrantee Monitoring Reports*

## SECTION 5: RENTAL

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**20. How does the Grantee confirm the process specified in the State Plan for rental units is being followed (e.g., undue enhancement, 66% rule, dwelling units will become occupied within 180 days, tenants shall benefit, no rent increases, enforcement, eviction).**

***Source Documentation:***

*10 CFR 440.14: State Plans*

*10 CFR 440.16(2)(i): Minimum Program Requirements*

*10 CFR 440.22(b)(3): Eligible Dwelling Units and Rental Unit Procedures*

***Material Review:***

*State Plan Review*

*Rental Unit Procedure Review*

*Standard Rental Agreement Forms*

**21. Does the Grantee have a standard rental agreement template (with a Landlord signature area) in use statewide? If not, are there individual Subgrantee agreements in place?**

***Source Documentation:***

*10 CFR 440.14: State Plan*

*10 CFR 440.16(h)(2)(i): Minimum program requirements*

*10 CFR 440.22(b)(3) et. seq.: Eligible dwelling units*

***Material Review:***

*Rental Agreement Review (statewide or individual Subgrantees)*

## SECTION 6: ENERGY AUDITS

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- 22. For each of the following type of structures: Single Family, Mobile Homes, Multifamily and atypical units, how does the Grantee verify the appropriate energy audit or priority list was consistently applied by the Subgrantee? Describe the monitoring process to ensure the Grantee is meeting this requirement.**

***Source Documentation:***

*10 CFR 440.14: State Plan*

*10 CFR 440.21: Energy Audits*

*10 CFR 440.24: Recordkeeping*

*WPN 13-5: Energy Audit Procedures*

***Material Review:***

*Approved audit tools, housing stock, priority lists, etc.*

*Sample Audit Report (from client files)*

*Priority List Approval Information*

*Procedures for determining whether a priority list or site-specific audit is performed*

- 23. Are the Grantee's energy audit and/or priority list approvals current? If so, what are the approval dates?**

***Source Documentation:***

*10 CFR 440.14(c)(6)(xi): State Plan*

*10 CFR 440.21(e)(7): Energy Audits*

*10 CFR 440.24: Recordkeeping*

*WPN 13-5: Energy Audit Procedures*

***Material Review:***

*State Plan Review*

*DOE Approval Letter and Conditions*

*DOE approved priority list*

- 24. Describe the Grantee's monitoring process used to validate that the Subgrantees are properly annually maintaining their energy audits.**

***Source Documentation:***

*10 CFR 440.14(c)(6)(xi): State Plan*

*10 CFR 440.21(c), (d), (e): Energy Audits*

*WPN 13-5: Weatherization Program Energy Audit Approval Procedures*

***Material Review:***

*Audit Input Update Notifications*

*Audit Libraries*

*Monitoring Tool/Checklist*

## SECTION 7: FIELD WORK

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**25. How does the Grantee communicate what is expected to be in each DOE client file, and accessible to monitors on field visits?**

**Source Documentation:**

*10 CFR 440.16(g): Minimum Program Requirements*

*WPN 12-5: Updated Weatherization Assistance Program Monitoring Guidance*

**Material Review:**

*Unit Inspection Reports*

*Final Inspection Form*

**26. How does the Grantee ensure that DOE units are inspected prior to the Subgrantee reporting them as completed units? Has the Grantee increased their monitoring to 10% of completions for those Subgrantees that use the same staff for audits and quality control inspections?**

**Source Documentation:**

*10 CFR 440.16(g): Minimum Program Requirements*

*10 CFR 440.14: State Plans/Application*

*Instructions, Section V.5.3*

**Material Review:**

*Unit Inspection Reports*

*Final Inspection Form*

**27. Is there a “final inspection form” that documents the unit has been inspected and meets SWS standards, review of the energy audit/priority list, verifies each completed measure and contains the certified QCI inspector name, signature and date the inspection was completed?**

**Source Documentation:**

*10 CFR 440.16(g): Minimum Program Requirements*

*10 CFR 440.23(e): Oversight, training, and technical assistance*

*WPN 11-3: Call-Backs Guidance*

*WPN 12-5: Updated Weatherization Assistance Program Monitoring Guidance*

**Material Review:**

*State Plan Review*

*Final Inspection Forms/Reports*

*Client Files*

**28. Describe the process the Grantee (and Subgrantees) implements if a QCI inspector finds work that needs to be re-done or corrected?**

***Source Documentation:***

*10 CFR 440.16(g): Minimum Program Requirements*

*10 CFR 440.23(e): Oversight, training, and technical assistance*

*WPN 11-3: Call-Backs/Added-On Work Guidance*

*WPN 12-5: Updated Weatherization Assistance Program Monitoring Guidance*

***Material Review:***

*Inspection Reports*

**29. Describe the Grantee's process to address the following concerns discovered during a Grantee monitoring visit:**

- a. Incomplete Work**
- b. Questioned Costs**
- c. Client complaints**
- d. Major Workmanship Issues**
- e. Minor Workmanship Issues**

***Source Documentation:***

*10 CFR 440.16(g): Minimum Program Requirements*

*10 CFR 440.23 (e): Training and Technical Assistance*

*10 CFR 440.14 (c)(6)(i): State Plan*

*WPN 11-3: Add-On/Call Back Work Guidance*

*Application Instructions for State Plan Section V.6 - "Analysis of Effectiveness"*

***Material Review:***

*Training agendas and participations lists*

*Monitoring Reports for Subgrantees or Direct Provider Reports*

*Grantee Policy and Procedures Manuals/Operations Manuals*

**30. Describe how the Grantee is managing the call-back/add-on work/rework process with the Subgrantees.**

***Source Documentation:***

*10 CFR 440.16(g): Minimum Program Requirements*

*10 CFR 440.23(e): Training and Technical Assistance*

*WPN 11-3: Add-On/Call Back Work Guidance*

***Material Review:***

*Training agendas and participations lists*

*Monitoring Report Tracking*

**31. How does the Grantee ensure the proper installation of materials and Health & Safety protocols that comply with SWS? Indicate whether the Grantee is using a specific Field Guide, Regional Field Guide, Installation Guideline, or other technical, written materials.**

***Source Documentation:***

*10 CFR 440.23: Oversight, T&TA*

*10 CFR 440.21: Weatherization materials and audit procedures*

*WPN 13-5: Monitoring*

*Appendix A*

***Material Review:***

*Obtain copy of most recent signed audit approval*

*Field Guide/Installation Standards*

*Application Package, V.5.1*

**32. Describe the Grantee's frequency and process (both major and minor updates) to update their Field Guide, Regional Field Guide, Installation Guidelines, or other material to make sure they are in compliance with SWS.**

***Source Documentation:***

*10 CFR 440.23: Oversight, T&TA*

*10 CFR 440.21: Weatherization materials and audit procedures*

*WPN 13-5: Monitoring*

*Appendix A*

***Material Review:***

*Obtain copy of most recent signed audit approval*

*Field Guide/Installation Standards/Regional Field Guides*

*Application Package, V.5.1*

## SECTION 8: HEALTH & SAFETY

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**33. Describe how the Grantee tracks, monitors, and documents their Subgrantees' implementation of the Health and Safety requirements and budget as stated in their State Plan and current guidance?**

***Source Documentation:***

*10 CFR 440.15(c)(3) (iii): Subgrantees*

*10 CFR 440.23: T&TA*

*WPN 11-6: Health & Safety Guidance*

*WPN 09-6: Lead Safe Weatherization*

***Material Review:***

*Training Plan review and certificate reviews*

*Client file review of LSW photo documentation*

*Application Package, V.7: Health and Safety Plan*

*Monitoring tools/instrument used by the Grantee*

**34. How does the Grantee ensure that workers are following the latest Health and Safety requirements? Provide examples (e.g. trainings, field guides, documenting safe work practices, etc.).**

***Source Documentation:***

*10 CFR 440.16 (h): Minimum Program Requirements*

*10CFR 440.16(h): Minimum Program Requirements*

*10 CFR 440.18: Allowable Expenditures*

*10 CFR 440.21: WX materials and audit procedures*

*10 CFR 440.15(a)(3)(iii): Subgrantees*

*10 CFR 440.23: Oversight, T&TA*

*WPN 11-6: Health & Safety Guidance*

*WPN 09-6: Lead Safe Weatherization*

***Material Review:***

*Application Package, III.3: Health & Safety Plan*

*Onsite Unit reviews*

*Client File Review*

*Photographs of LSW*

**35. How does the Grantee verify workers have the required Health and Safety training, including OSHA requirements, Lead Safe Weatherization (LSW), Certified Renovator, etc.?**

***Source Documentation:***

*10 CFR 440.15(a)(3)(iii): Subgrantees*

*10 CFR 440.23: Oversight, T&TA*

*WPN 11-6: Health & Safety Guidance*

*WPN 09-6: Lead Safe Weatherization*

***Material Review:***

*Certifications*

*Training Agendas/Participation Lists*

**SECTION 9: EQUIPMENT/INVENTORY/MATERIALS**

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**36. How is the Grantee verifying that vehicles, equipment, and tools purchased for the Grantee's use are used in an appropriate manner to ensure cost-effective delivery of services?**

***Source Documentation:***

*10 CFR 440.14: State Plan*

*10 CFR 440.16: Minimum program requirements*

*10 CFR 440.18: Allowable expenditures*

*10 CFR 440.23(d): Oversight, T&TA*

*10 CFR 440.24: Recordkeeping*

*2 CFR 200.313: Equipment*

*WPN 12-5: Updated Weatherization Assistance Program Monitoring Guidance*

*WPN 13-7: Vehicle and Equipment Purchases*

***Material Review:***

*Physical Inventory Review*

*Inventory List/System*

*Procurement procedures/requests*

*Monitoring tool*



**37. How does the Grantee verify that Subgrantee vehicles, equipment, and tools are used in an appropriate manner to ensure cost-effective delivery of services?**

***Source Documentation:***

*10 CFR 440.14: State Plan*

*10 CFR 440.16: Minimum program requirements*

*10 CFR 440.18(c)(3-6 and 8): Allowable expenditures*

*10 CFR 440.23(d): Oversight, T&TA*

*10 CFR 440.24: Recordkeeping*

*2 CFR 200.313: Equipment*

*WPN 12-5: Updated Weatherization Assistance Program Monitoring Guidance*

*WPN 13-7: Vehicle and Equipment Purchases*

***Material Review:***

*Physical Inventory Review*

*Inventory List/System*

*Procurement procedures/requests*

*Monitoring tool*

**38. How does the Grantee monitor inventory and warehouses of Subgrantees?**

**Property records must include:**

- a) Description**
- b) Serial Number**
- c) Source**
- d) Title**
- e) Acquisition Date**
- f) Percent of Federal Participation**
- g) Location**
- h) Use**
- i) Condition**
- j) Ultimate Disposition**

***Source Documentation:***

*10 CFR 440.12((b)6): State Application*

*10 CFR 400.24 Recordkeeping*

*2 CFR 200.311: Real Property*

*WPN 12-5: Updated Weatherization Assistance Program Monitoring Guidance*

***Material Review:***

*Monitoring tool*

*Inventory reports and schedule for reviews*

*Subgrantee Monitoring Reports*

## SECTION 10: GRANTEE MONITORING

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### **39. Describe the Grantee process to document work quality. Include patterns detected at a single agency or at multiple agencies.**

**Source Documentation:**

*10 CFR 440.23: Oversight, T&TA*

*10 CFR 440.21: WX materials and audit procedures*

*Appendix A*

*WPN 11-3: Use of WAP funds for Add-on/Call back work*

*WPN 12-5: Monitoring*

*WPN 14-4: Quality Work Plan*

**Material Review:**

*Inspection Reports*

### **40. Describe the Grantee frequency and process to update their monitoring tool. Does the monitoring tool review Subgrantee compliance with:**

- a) Subgrantee contracts.**
- b) Grantee financial/operations manual.**
- c) Applicable Federal regulations.**
- d) Current Program Guidance documents.**

**Source Documentation:**

*10 CFR 440.23(b)(d): Oversight, T&TA*

*2 CFR 200.302: Financial management*

*2 CFR 200.305: Payment*

*2 CFR 200.307: Program Income*

*2 CFR 200.503: Relation to other audit requirements*

*2 CFR 200.213: Suspension and debarment*

*2 CFR 200.317 et seq.: Procurements by states*

*2 CFR 200.237: Subgrants*

*2 CFR 200 Subpart E - Cost Principles*

*WPN 12-5: Updated Weatherization Assistance Program Monitoring Guidance*

**Material Review:**

*Grantee monitoring tools or structured process. Be sure all aspects of the program are covered such as financial/operations manual, federal regulations, and program guidance.*

**41. Describe how the Grantee verifies that monitoring process in the State Plan is implemented, including programmatic, financial and technical monitoring.**

***Source Documentation:***

*10 CFR 440.12(b)(6): State Application, monitoring plan*

*10 CFR 440.23: Oversight, T&TA*

*10 CFR 440.16(g): Minimum Program Req, final inspection*

*2 CFR 200.328: Monitoring and Reporting Program Performance*

*WPN 12-5: Updated Weatherization Assistance Program Monitoring Guidance*

***Material Review:***

*Review Grantee Monitoring Reports*

*State Plan for monitoring schedule*

*Grantee monitoring completions at time of visit*

*Verify by sampling monitoring reports and documents*

*Verify by reviewing Grantee monitoring schedule*

**42. What process (including sanctions) does the Grantee use to address deficiencies identified during Subgrantee monitoring and is it consistent with the Grantee's State Plan?**

***Source Documentation:***

*10 CFR 440.15 (a)(3)(i)(ii): Subgrantees*

*10 CFR 440.23(d): Oversight, T&TA*

*2 CFR 200.328: Monitoring and reporting performance*

*WPN 12-5: Updated Weatherization Assistance Program Monitoring Guidance*

***Material Review:***

*Grantee monitoring policy*

*Monitoring reports and corrective action items identified, ensure that there is a process in place to track the status of deficiencies and corrective actions*

**43. Are any Subgrantees are considered at-risk, on probation, or pose potential problems? If so, summarize the issues and actions to resolve them.**

***Source Documentation:***

*10 CFR 440.15 (a)(3)(c)(d)(e): Subgrantees*

*10 CFR 440.23: Oversight, T&TA*

*WPN 12-5: Updated Weatherization Assistance Program Monitoring Guidance*

***Material Review:***

*Recent monitoring reports for Subgrantee*

*Financial audit/materials and findings identified*

*Correction plans and documentation of concerns raised*

**44. Describe the Grantee process for Historic Preservation compliance. Is there a signed agreement with its SHPO office and is it current?**

***Source Documentation:***

*Section 106 of 16 U.S.C. 470 the National Historic Preservation Act (NHPA)*

*36 CFR Part 800: Protection of Historic Properties*

*WPN 10-12: Historic Preservation Implementation*

***Material Review:***

*SHPO Agreement*

*Policy Documents Grantee has transferred to Subgrantee with regard to SHPO*

**45. How does the Grantee ensure Subgrantee personnel (e.g. Auditor, Quality Control Inspectors) are qualified to perform audits and meet program requirements (e.g. certification or number of required training hours)?**

***Source Documentation:***

*10 CFR 440.14: State Plan*

*10 CFR 440.15(a) (2) (3) (ii, iii): Subgrantee experience/qualifications*

*10 CFR 440.23(e): Oversight, Training & Technical Assistance?*

*WPN 15-4: Quality Work Plan Requirement*

***Material Review:***

*State Plan Review*

*T&TA Review*

*Review Energy Auditor Qualifications, recent training, certifications, etc.*

*Determine if the State Plan matches implementation*

**46. Describe how the Grantee verifies that all Weatherization contractors are not on the debarred list (excluding the party list system). Include a description how Subgrantees ensure their contractors are not on the “exclusion list”.**

***Source Documentation:***

*2 CFR 200.213 Suspension and debarment*

***Material Review:***

*Grantee Monitoring Tool*

*Policies/Procedures Manual*

*EPLS site review and contractor list*

## **SECTION 11: TRAINING & TECHNICAL ASSISTANCE (T&TA)**

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**47. What methodology does the Grantee use to determine the T&TA needs of its Subgrantees? How do they provide training on the items below?**

- a) Technical Training?**
- b) Program Management Training?**
- c) Procurement Training (Contracts, including subcontractors)?**
- d) Inventory Management Training?**
- e) Health and Safety?**

***Source Documentation:***

*10 CFR 440.12(b)(7): State Application, Use of training funds*

*10 CFR 440.23(e): Oversight, T&TA*

*WPN 12-5: Updated Weatherization Assistance Program Monitoring Guidance*

***Material Review:***

*Inspection Reports*

*Failure Reports*

*Past Training Agendas*

*Application Package, V.8.4: T&TA*

*Staff Experience/Review of Training Records and certifications*

**48. Verify that the Grantee tracks training completions and any certifications or certification renewals, received by Subgrantee or contractor staff?**

***Source Documentation:***

*10 CFR 440.12(b) (7): State Application*

*10 CFR 440.15(a)(3) (iii): Subgrantees*

*10 CFR 440.23(e): T&TA*

*10 CFR 440.24: Recordkeeping*

*Application Instructions: Section V.8.4, T&TA*

***Material Review:***

*Staff Certifications*

*Training Agendas and participant lists*

*Application Package, II.7: T&TA Plan*

**49. Is the Grantee on track with implementation of their T&TA plan? Does the plan need to be updated? Confirm the T&TA activities (for both Grantee and Subgrantee staff) described in the State Plan will occur (or have occurred)?**

***Source Documentation:***

*10 CFR 440.12(b)(7): State Application*

*10 CFR 440.23: Oversight, T&TA*

***Material Review:***

*Application Package, Section V.8.4: T&TA*

*Training Schedule*

*Training Agendas/Participation Lists*

**50. What recent national or regional meetings has the Grantee attended? Are there any barriers hampering the Grantee's attendance at DOE national or regional training conferences and workshops? If yes, please list below.**

***Source Documentation:***

*10 CFR 440.23: Oversight, T&TA*

***Material Review:***

*Internal memos on travel restrictions*

*State Policy on travel*

## **SECTION 12: FEEDBACK AND REPORTING**

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**51. How often does the Grantee have regular communications with its Subgrantees? Describe the different methods by function (e.g. technical, annual conferences, monthly conference calls, etc.).**

***Source Documentation:***

*10 CFR 440.15: Subgrantees*

*Application Instructions, Section V.8.4, T&TA*

***Material Review:***

*Meeting Schedule/Calendar*

*Meeting Notes*

**52. Describe the Grantee's information system used to collect and report Subgrantee production and expenditures. How does the Grantee verify and track completed units? Does the Grantee also use the system as a management tool?**

***Source Documentation:***

*10 CFR 440.12: State Application*

*10 CFR 440.14: State Plan*

*10 CFR 440.16: Program requirement*

*10 CFR 440.24: Recordkeeping*

*WPN 12-5: Updated Weatherization Assistance Program Monitoring Guidance*

***Material Review:***

*Information or Database System*

*(Generate report example or review existing report)*

**53. Is the Grantee reporting on time and accurately (e.g. changing quarterly performance reports)? If not, specify the causes for non-compliance. What controls or corrective actions does the Grantee use to assure it reports to DOE on time?**

***Source Documentation:***

*10 CFR 440.16: Minimum program requirements*

*10 CFR 440.24: Recordkeeping*

*Application Materials Section VI.4, Weatherization Assistance Plan*

***Material Review:***

*Database System Review (Generate report example or review existing report)*