**14000 Field Monitoring Procedures**

This section is designed to provide guidelines for GOEO Weatherization staff and subgrantee agencies regarding the monitoring and evaluation of local Weatherization Assistance Program subgrantees. Monitoring takes place while the program is in operation and provides oversight for the services being

delivered at the local level. Monitoring activities ensure that accountability exists for program resources and provides information that can be used to improve the program’s operation and services.

**14100 Goals of Monitoring**

The West Virginia Weatherization Assistance Program goals for monitoring activities include:

1. Analyzing whether best possible program services are being delivered to the low-income population.
2. Determining program compliance and accountability.
3. Analyzing program performance.
4. Analyzing quality and effectiveness of the work on completed dwellings.
5. Being an advocate for program improvement.
6. Identifying problems, deficiencies, and areas that need improvement.
7. Assisting agencies in their program operations and compliance with DOE and State regulations.
8. Advising agencies on how to correct any weaknesses and deficiencies.
9. Assessing the need for training and technical assistance to improve local agency service delivery, cost-effectiveness, and accountability.
10. Determining ways that monitoring activities can be improved.

**14200 Guiding Principles of Monitoring Activities**

1. Monitoring is intended to be a constructive process and will be conducted in a professional manner with consistency, fairness, respect, and timeliness.
2. The GOEO Weatherization staff is committed to fostering positive, open, and constructive working relationships. Monitoring serves as a two-way educational experience that promotes interaction, feedback, and improvements to both the State and local components of the West Virginia Weatherization network.
3. The GOEO Weatherization staff believes State and local weatherization staff share the same goals of optimizing program funds and resources to best serve the low-income population, striving for program improvement, and providing the most cost-effective and best quality program services possible.
4. The GOEO Weatherization staff will foster improvement when monitoring by providing technical assistance; reinforcing strengths; and sharing successes, innovations, good practices, and experiences encountered at other agencies.
5. Monitoring reports shall be consistent with, and based on, adopted program policies, procedures, and standards.

To achieve the defined goals based on the principles above, GOEO Weatherization staff will perform periodic monitoring reviews of the fiscal, programmatic, and field functions of local weatherization agencies.

**14300 Desktop Reviews**

1. The GOEO Fiscal Monitor will review and track annual subgrantee agency audits for timeliness, audit findings, and resolution of findings.
2. Weatherization staff will review agency Monthly Progress Reports and track agency production and expenditures on a monthly basis on the Statistical Production and Expenditures Tracking spreadsheet. In addition to being used and maintained by GOEO, this electronic file is required to be maintained monthly by each agency and used as a management tool to analyze production and expenditures. The file is used to track production and expenditures and helps determine the correct funding request amounts. The evaluation sections will analyze key program compliance criteria, including:
	1. Average costs per completion for each classification of completed dwelling unit,
	2. Percentage of production goals achieved,
	3. Percentage of grant and each line item expended, and
	4. Health and safety expenditures.
3. Weatherization staff will also review Job Summary Pages and the statewide database comprised of information from the Summary Pages. The summary sheets and database also serve as monitoring tools to detect trends in agency field work, such as field priorities, diagnostic tests, and measures installed. Some jobs may be tagged for field monitoring visits if there are unanswered questions resulting from reviewing the summary pages.

**14400 Monitor Visits to Subgrantee Agencies**

**14410 Weatherization Fiscal Monitoring**

Weatherization Fiscal Monitoring will typically occur during the GOEO / CSBG agency monitoring. The fiscal monitoring will be conducted by the GOEO Fiscal Monitor. During the visit, the fiscal monitor will review all of the fiscal operations of all GOEO programs being administered by the local agencies. Activities of the fiscal monitoring at local agencies will include:

1. Review financial records.
2. Review purchasing and bidding practices.
3. Review payroll and documentation.
4. Review travel records.
5. Review vendor payments.
6. Review last fiscal audit (usually performed at GOEO, not during agency visit).

**14420 Program Management Monitoring**

Program Management Monitoring will typically occur once per year per local agency. Program Management Monitoring will be conducted by GOEO Weatherization Assistance Program Specialists and will be specific to the Weatherization Assistance Program. The Program Management Monitoring Form will be the basic guide used to perform this evaluation. Functions of the Program Management Monitoring will include:

1. Review client files.
2. Review production, expenditures, and related compliance issues.
3. Review material, tool, equipment, equipment maintenance records, and vehicle property records and inventory.
4. Review client flow charts and scheduling practices.
5. Review crew safety policies, meeting and personnel files, and practices.
6. Review insurance policies.
7. Inspect warehouse and vehicles.
8. Program Management Monitoring will also include some fiscal issues, including tracking of utility, ECIP, and other supplemental program funds, reporting, and other specific Weatherization issues.

**14430 Field Monitoring**

Field Monitoring will typically occur twice per year – more frequently, if needed – per local agency. Agencies demonstrating high quality field work may only be monitored once each year. Field monitoring will be conducted by GOEO Weatherization Program Specialists. Individual job inspections will be performed and documented on the Field Inspection Report. Jobs will be inspected for overall effectiveness, workmanship, appearance, and compliance with installation standards. An overall assessment of agency field practices will be performed using the Agency Field Assessment Overview. This tool will rank agency field practices in eleven different field evaluation criteria, and identify major strengths, major field findings, and trends for concern.

1. Major strengths are areas where the agency field staff performs at a high level, including overall high effectiveness and workmanship, strengths in certain measures, crew organization and utilization, and teamwork.
2. Trends for concern are recurring issues that may be of secondary concern, such as repeated file omissions (for example, no date on form), procedural items that can be quickly or easily corrected, or a finding in work quality that is easily correctable and does not significantly impact on the overall results of work performed to achieve energy efficiency for the client (for example, failure to wrap the first three feet of water pipe from the water heater).
3. Major field findings are issues that are of significant concern and/or are contract violations, such as major health and safety problems, potential liability from poor workmanship, consistent omission of required measures, or consistently failing to follow program rules, standards, or specifications.

**14500 Monitoring Procedures**

1. Monitoring visits will be scheduled with the agency in advance of the visit. Fiscal Monitoring visits may be part of an overall GOEO and CSBG Team Monitoring and will be arranged by GOEO Management. Other fiscal monitoring visits may be targeted only for Weatherization and will be arranged and scheduled by the GOEO Fiscal Monitor and/or Weatherization staff. Typically, Program Management Monitoring and Field Monitoring will be scheduled by GOEO Weatherization staff. The Weatherization Director will send a memorandum to the agencies which includes the monitoring schedule. Subgrantee agency management will be given ample time to inform the Director if there are overriding conflicts with the scheduled dates for monitoring. If there are conflicts, new monitoring dates will be scheduled.
2. Upon arrival at the agency, the Monitor(s) will meet with appropriate agency personnel to explain the purpose of the visit, the records and information needed, and the planned timeframe of the visit. An exit conference will be tentatively scheduled with the Executive Director and Weatherization Coordinator. The Weatherization Coordinator must be available at all times during a monitoring visit.
3. At the conclusion of the monitoring visit, an exit conference will be conducted with the Executive Director and Weatherization Coordinator to review the monitoring results. The Monitor(s) will provide the agency with a draft outline of concerns and findings observed during the visit.
4. 4. Every effort will be made to complete and mail a final monitoring report to the Executive Director and Weatherization Coordinator within fourteen days of the monitoring visit. The agency will be given thirty days to respond to the recommendations and/or findings noted in the report. The West Virginia GOEO will review the response and determine if the actions described are appropriate and sufficient. West Virginia GOEO may schedule a follow-up visit(s) to verify agency actions or to further analyze unresolved matters.

**14600 Local Agency Monitoring Responsibilities**

Local agencies are required to inspect 100 percent of all completed units to determine compliance with Weatherization Standards, to ensure proper documentation of client information, job measures and costs, and other appropriate information. Inspections must be performed by certified Post-Work Inspectors who, except in rare cases, did not perform the actual work on the job. The thoroughness and effectiveness of agency inspections will be assessed during the GOEO Field Monitoring visits.

**14700 Agency Response to Monitoring Visits**

1. The GOEO Weatherization Director will review the monitoring report and send to the agency Executive Director and the Weatherization Coordinator with a cover letter.
2. The cover letter will request that the local agency send a response to the monitoring findings outlined in the report within 30 days of receipt of the report, and any other specific instructions as noted in the cover letter.
3. The agency will respond to the findings of the report, including any areas of disagreement or uncertainty.
4. The response will provide specific steps taken or planned to correct the finding or to follow up on recommendations made by the GOEO WAP monitor(s).
5. The monitor who wrote the report will review the response to ensure all issues were properly addressed, and either accept the response or note issues that need further information or clarification.
6. The GOEO Weatherization Director will notify the appropriate agency personnel to assess them of the resolution of their monitoring response and any further issues that need attention.

**14800 Job Rework Guidelines**

Any jobs that were deemed as callbacks during a monitoring visit shall be corrected as per the instructions from the Field Inspection Reports. The agency must maintain documentation of the additional measures performed. Any additional costs will be reported on the subsequent Monthly Progress Report as an “Add-on” cost on page two of the report. A revised Summary Page for the job must also be submitted.

**14900 Agency Discipline Policy**

1. An agency can be placed on At-Risk status for serious management and/or repeated sub-standard field performance, including but not limited to:
	1. Program goals are not being met.
	2. Program resources cannot be accounted for.
	3. Serious evidence of the following:
		1. Misuse of funds.
		2. Fraud.
		3. Theft.
		4. Noncompliance with program policies and procedures.
		5. Agency files and records incomplete or severely disorganized.
		6. Repeated major field findings with no or minimal improvement from previous monitoring visit.
		7. Significant number of “Unacceptable” rankings in Agency Field Assessment Overview.
		8. The agency’s failure to respond to West Virginia GOEO requests and deadlines.
2. When placing an agency on At-Risk status, West Virginia GOEO will specify improvements that must be made by the agency. The agency will be instructed to submit a plan that identifies the steps and timelines to be taken to make the required improvements. When appropriate, related training and technical assistance will be provided. West Virginia GOEO will consider suspension or termination of the agency’s Weatherization contract unless the specified improvements are made and performance standards are met as outlined in the GOEO Weatherization contract, Finance and Administration Standards, and Field Standards. These corrections must be accomplished by the agency at risk in a specified period of time, as set by the GOEO Monitoring Assessment Team.

**141000 Agency Appeals**

After the agency response is reviewed and the GOEO Weatherization Director sends the monitoring resolution to the agency, the subgrantee agency may appeal the findings of the monitoring report to the Weatherization Program Director. This appeal should be sent in writing within 14 working days of receipt of the monitoring resolution.