



Preparing for a DOE Monitoring Visit



Thomas Tabor

Nebraska Energy Office

Preparing for a DOE Monitoring Visit

Process Outline

- Call from Program Officer to schedule monitoring visit
- DOE Program Officer sends official letter to State Agency Director announcing dates of monitoring and time of entrance briefing
- Prior to DOE monitoring visit, the Program Officer coordinates field monitoring of three Subgrantee agencies in your state with their technical support contractor, Simonson Management Services (SMS) and your State agency

Preparing for a DOE Monitoring Visit

- Technical support contractor monitors Subgrantee dwellings with State Field Monitors (they are there to monitor the State monitors work, not the Subgrantee)
- Prior to DOE monitoring a check list and questionnaire is sent to State agency and State agency sends a Subgrantee check list and questionnaire from DOE to be reviewed during the monitoring visit.

Preparing for a DOE Monitoring Visit

Grant Number: EE0006167

PRE-MONITORING PROGRAM MATERIALS CHECKLIST

Pre-Monitoring Program Materials:

Preparing for a DOE Monitoring Visit

PRE-MONITORING PROGRAM MATERIALS CHECKLIST

Pre-Monitoring Program Materials:

*** 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

Preparing for a DOE Monitoring Visit

*** Subgrantee Program Materials to have available:**

- ☐ Current Grantee State Plan
- ☐ Amended Award with the Grantee (most recent version)
- ☐ Grantee's 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.)]

Preparing for a DOE Monitoring Visit

- State agency has all materials on check list available for DOE visit and fills out the questionnaire and returns to DOE Program Officer prior to visit
- Subgrantee has materials available for DOE monitoring visit and fills out Subgrantee questionnaire to send to State agency to forward on to DOE Program Officer for review prior to visit
- DOE Program Officer sends State agency a finalized agenda for their monitoring visit

DOE Monitoring Visit

- DOE monitoring visit
 - Entrance briefing with State Weatherization staff, fiscal staff and agency Director.
 - Begin review of documents such as, policies and procedures, Subgrantee monitoring reports and correspondence files, etc.
 - Program Officer and State WAP Manager visit one Subgrantee agency office and review items on Subgrantee checklist and questionnaire

DOE Monitoring Visit

- DOE Program Officer continues meeting with State WAP staff individually and reviewing documents
- Exit briefing with DOE Program Officer and State WAP staff, financial staff and State Director

Post DOE Monitoring Visit

- In approximately 30 days, DOE Program Officer sends the State agency an “Onsite Monitoring Visit Report”
- The report can include findings, concerns, recommendations and commendations

Post DOE Monitoring Visit

PURPOSE OF REVIEW:

The Project Officer conducted the onsite monitoring assessment visit to fulfill compliance monitoring and oversight requirements of the DOE WAP, and to provide technical assistance as indicated during the visit. The objectives of the monitoring assessment were to:

- Assess the Grantee's adherence to the State Plan.
- Identify program strengths and areas for improvement.
- Evaluate the Grantee's monitoring and oversight of Subgrantees.
- Verify compliance with Federal and State regulations, policies and procedures.
- Identify accomplishments and success stories.
- Determine how DOE can help the Grantee to implement the WAP more successfully.

Post DOE Monitoring Visit

- State agency has 30 calendar days to respond to findings, concerns and recommendations
 - Includes action items taken to address findings, concerns and recommendations
 - Timeline of addressing findings, concerns and recommendations
 - Identify needed training if necessary to address finding, concerns, or recommendations

Post DOE Monitoring Visit

- State agency response
- DOE follow-up on State agency response
 - Approves State agency response; or
 - Further discussion on addressing findings, concerns or recommendations until resolved prior to approval of State agency response
- End of DOE Monitoring (Doesn't mean it's over!)
 - DOE will revisit previous monitoring report to see if findings, concerns and recommendations have been resolved on their next visit

Questions?

Thomas Tabor
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DOE Monitoring: Oregon's Perspective



Steve Divan

OHCS

Notification Process

- E-mail from Project Officer to schedule visit six months ahead of time.
- Two sub-grantees were selected by the Project Officer in the initial contact.
- State staff coordinated with agencies to confirm dates.
- Once dates were confirmed, DOE sent an itinerary.



Preparation for Visit

- The Monitoring Checklists
 - One for Grantee
 - 53 Questions
 - One for each of the sub-grantees
 - 22 Questions



Preparation for Visit

PRE-MONITORING PROGRAM MATERIALS CHECKLIST

Pre-Monitoring Program Materials:

* 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

* Subgrantee Program Materials to have available:

- ☐ Current Grantee State Plan
- ☐ Amended Award with the Grantee (most recent version)
- ☐ Grantee's 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.)]

Preparation for Visit

- The questionnaire requires several back up documents to be provided beyond the list.
 - Organization chart
 - File requirements
 - Final Inspection form
 - SHPO Agreement
 - Any memos or guidance that backs up answers to questions.



Preparation for Visit

- 60 days prior to the visit, sub-grantees returned questionnaires.
- 30 Days prior to the visit all questionnaires and backup documentation E-mailed to PO.
- PO reviewed and E-mailed list of questions to the state office.
- Through E-mail and conference calls all questions were clarified.



Preparation for Visit

- Choosing Projects: State monitor chooses projects based on:
 - Scope of work
 - Fuel Type
 - Funding sources utilized
 - Total funds expended
 - Geographic location of project
- Three projects were chosen for field review at each agency.



Preparation for Visit

- File Review:
 - Each file was reviewed by the agency for completeness
 - Scanned into a PDF file and forwarded to the State office for review
 - Be aware of sensitive information and redact as necessary.
 - After review, State office forwarded digital files to the PO.



The Visit

- Meet with PO at State office for entrance interview.
 - Review any documents the PO requests:
 - Policy/Procedures
 - Monitoring reports etc.
 - Discuss the process of the visit.



The Visit

- Travel to agency and conduct entrance interview with Agency.
 - Review documents
 - Outline process for inspections
 - Review files



At the Agency

- Follow your monitoring protocol.
 - Review any finding or concerns from previous monitoring's for corrective actions
 - Review staff training records & Certifications
 - Review contracts
 - Review inventory etc.
 - Review files for completeness



At The Job Site

- Follow your normal inspection process:
 - Note any discrepancies in work
 - Verify all testing is correct
 - Note any missed opportunities



At the agency

- Conduct an exit interview between State Monitor and Agency staff.
- Discuss issues identified and the correction process if necessary.



Post Visit

- DOE Staff will complete an exit interview detailing initial thoughts of visit.
- Within 30 days, the state will be provided a written report.
- The state has 30 days to respond to any concerns or findings.



Overview

- Communicate. Don't make assumptions!
- Be clear with your PO how the visit will flow.
- Start early. Allow for plenty of time to prepare.
- Provide your sub-grantees with a copy of the state questions. Review their answers.
- Don't re-invent the wheel.
- Follow your monitoring process.



Questions?

Steve Divan

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Preparing for a DOE Monitoring Visit



Bruce Hagen

ND Dept. of Commerce

Preparing for a DOE Monitoring Visit - Timeline

Notification and discussions about timing of visit took place in early 2017
– The PO picked 3 agencies to visit.

Fall of 2017 was decided on. I sent a series of possible dates we had open.

The PO sent proposed dates at the end of June – October 16th through the 20th was decided on.

The PO sent a draft itinerary for the visit on July 7th.

Itinerary for DOE Monitoring Visit		
10/15/2017 - 10/20/2017		
Sunday, October 15, 2017		
2:00 PM - 4:32 PM	Flight from Denver (DEN) to Bismarck (BIS)	
4:32 PM - 5:00 PM	Pickup rental car at Airport	
5:00 PM - 5:15 PM	Drive to Hampton Inn Bismarck	
Monday, October 16, 2017		
8:25 AM - 8:30 AM	Travel to DOE's Office	
8:30 AM - 12:00 PM	Hold Entrance Conference and perform document verification	
12:00 PM - 1:00 PM	Lunch	
1:00 PM - 5:00 PM	Flexible time in DOE's Office	
5:00 PM - 5:05 PM	Drive to Hampton Inn Bismarck	
Tuesday, October 17, 2017		
8:45 AM - 9:00 AM	Travel to CAP7's Office	
9:00 AM - 10:00 AM	Hold Entrance Conference and perform document verification	
10:00 AM - 12:00 PM	Field Monitoring of CAP7's Service Territory	
12:00 PM - 1:00 PM	Lunch	
1:00 PM - 3:30 PM	Field Monitoring of CAP7's Service Territory	
3:30 PM - 5:00 PM	Drive to Hampton Inn & Suites Jamestown	
Wednesday, October 18, 2017		
8:45 AM - 9:00 AM	Travel to CAP6's Office	
9:00 AM - 10:00 AM	Hold Entrance Conference and perform document verification	
10:00 AM - 12:00 PM	Field Monitoring of CAP6's Service Territory	
12:00 PM - 1:00 PM	Lunch	
1:00 PM - 3:30 PM	Field Monitoring of CAP6's Service Territory	
3:30 PM - 5:00 PM	Drive to Homewood Suites Fargo	
Thursday, October 19, 2017		
8:45 AM - 9:00 AM	Travel to SNDCAA's Office	
9:00 AM - 10:00 AM	Hold Entrance Conference and perform document verification	
10:00 AM - 12:00 PM	Field Monitoring of SNDCAA's Service Territory	
12:00 PM - 1:00 PM	Lunch	
1:00 PM - 4:45 PM	Field Monitoring of SNDCAA's Service Territory	
4:45 PM - 5:00 PM	Drive to Homewood Suites Fargo	
Friday, October 20, 2017		
10:00 AM - 10:30 AM	Hold Exit Conference via conference call from hotel	
10:30 AM - 4:40 PM	Eat lunch, drive to airport, return rental car, and wait for flight	
4:40 PM - 5:38 PM	Flight from Fargo (FAR) to Denver (DEN)	

Preparing for a DOE Monitoring Visit - Timeline

Received the request for materials through the Page-Notification system on August 18th, 2017. Started sending documents.

The PO and I decided to do a call to go over the monitoring checklist before the visit.

The PO sent monitoring checklists for the visit on October 6th. We did the call that morning.

In preparation for your upcoming weatherization assistance program onsite monitoring visit, this is a quick reminder to please forward the requested materials (see below) to your Weatherization Project Officer or upload into your PAGE Documents Library.

Thank you if the requested materials have already been submitted.

On-Site Visit Dates:
Planned Start Date: 10/17/2017
Planned End Date: 10/20/2017

GRANTEE MATERIALS:

- Any recently amended Grantee/Subgrantee agreements (with related procurement documentation)
- Most recent Grantee support contract/training entities or other contracted activities
- Completed Subgrantee Monitoring Reports
- Updated Monitoring Tool or Instrument
- Procedural Manuals for Program Implementation (with technical reports)
- Inventory Tracking and Records
- Materials as listed on the Onsite Monitoring Checklist, Pre-Monitoring Section

SUBGRANTEE PROGRAM MATERIALS:

- Most recent Subgrantee Award (or revised version)
- Grantee's Weatherization Policies and Procedures Manual
- Inventory Tracking Materials (if applicable)
- Copies of Subcontractor contracts
- Costs and Fixed Price Lists

Preparing for a DOE Monitoring Visit - Timeline

After the call, the monitoring checklists were sent to the chosen subgrantees. They were asked to begin filling them out prior to the monitoring visit.

The visit began on October 16th at the ND Department of Commerce.

We continued on the 17th, 18th, and 19th at three subgrantees.

The visit concluded with an exit interview conference call with the PO and our director.

Important: You must use Adobe Acrobat or Adobe Reader to fill out and save this form. Other PDF software can corrupt the form and prevent PAGE from successfully importing the data.

Grant Number:	
Subgrantee Name:	

SUBGRANTEE REVIEW

PRE-MONITORING QUESTIONS:

Subgrantee Materials to Review at Grantee Office Prior to Visit:

- ☐ Grantee/Subgrantee Contract and Amendments
- ☐ Grantee Policy and Procedures Manual
- ☐ Copies of Grantee Monitoring Reports
- ☐ Production and Expenditure Report for Subgrantee

Subgrantee Materials to Review at Subgrantee Office:

- ☐ Grantee State Plan (most recent version)
- ☐ Amended Award with the Grantee (most recent version)
- ☐ Subgrantee Organization Chart
- ☐ Grantee's Weatherization Policies and Procedures Manual
- ☐ Inventory Tracking Materials (if applicable)
- ☐ Contracts with subcontractors
- ☐ Procurement documents to verify competition
- ☐ Most recent documentation of Grantee monitoring visit
- ☐ Cost and Fixed Price Lists [Materials; Services (Audits, Inspections, etc.)]
- ☐ Subgrantee's Inventory List of Vehicles and Equipment
- ☐ Copy of current Energy Audit or Priority List
- ☐ Copies of files of the homes to be visited

Preparing for a DOE Monitoring Visit - Timeline

We received the DOE Onsite
Monitoring Report on November 8th.
No follow-up was required.



Department of Energy
Washington, DC 20585

November 8, 2017

Ms. Bonnie Malo
Community Services Director
North Dakota Department of Commerce – Division of Community Services
1600 E. Century Ave., Suite 2
Bismarck, ND 58503

SUBJECT: 2017 DOE WEATHERIZATION ONSITE MONITORING VISIT REPORT

Award: DE-BE0007940 CFDA# 81.042 - Weatherization Assistance for Low-Income Persons

Dear Ms. Malo:

From October 16th through October 20th, 2017, Shawn D. Green, U.S. Department of Energy (DOE) Project Officer, conducted an onsite monitoring assessment of the North Dakota Weatherization Assistance Program (WAP). We would like to extend our appreciation to you and your staff for your availability and cooperation provided during the visit.

The monitoring assessment included a review of programmatic, fiscal, and administrative aspects of the WAP program. The DOE Monitoring Report, which summarizes observations and recommendations made during the monitoring visit, is enclosed. Since the assessments contained within the Report are already resolved, there is no additional follow-up required.

Please contact Shawn if you have any questions or concerns about this report. He can be reached at Shawn.Green@ee.doe.gov, (720-356-1638).

We look forward to continued interaction with you and your staff in the effective implementation and operation of the Weatherization Assistance Program.

Sincerely,

Erica Burrin

Erica Burrin
Managing Team Lead
Weatherization and Intergovernmental Programs Office

cc: Bruce Hagen, ND WAP Program Manager
Andy Rittgers, DOE Contract Officer
Janice Callahan, DOE Grant Specialist

Preparing for a DOE Monitoring Visit – Requested Materials

From the Page-Notification System: Grantee

- Any recently amended Grantee/Subgrantee agreements (with related procurement documentation)
- Most recent Grantee support contract/training entities or other contracted activities
- Completed Subgrantee Monitoring Reports
- Updated Monitoring Tool or Instrument
- Procedural Manuals for Program Implementation (with technical reports)
- Inventory Tracking and Records
- Materials as listed on the Onsite Monitoring Checklist, Pre-Monitoring Section

STATE OF NORTH DAKOTA

Division of Community Services – Monitoring Instrument WEATHERIZATION ASSISTANCE PROGRAM

2016-17 SUB-GRANTEE MONITORING GUIDE

Agency Name	
Contact Person	Position
Address	Telephone Number
Persons Interviewed	
Date(s) of this Monitoring Visit	Date(s) of Last State Monitoring Visit
Problems from Previous Monitoring for Follow-up	
Comments:	

AGENCY CURRENT CONTRACT #

Where “provide copies” is printed, electronic copies are acceptable.

Preparing for a DOE Monitoring Visit – Requested Materials

From the Page-Notification System: Subgrantee

- Most recent Subgrantee Award (or revised version)
- Grantee's Weatherization Policies and Procedures Manual
- Inventory Tracking Materials (if applicable)
- Copies of Subcontractor contracts
- Costs and Fixed Price Lists

STATE OF NORTH DAKOTA WEATHERIZATION ASSISTANCE PROGRAM

DOE Policy and Procedures Manual
2016

North Dakota Department of Commerce
Division of Community Services

Bruce Hagen, Program Manager
1600 East Century Ave, Suite 2
Bismarck, North Dakota 58503
(701) 328-5300 Phone
(701) 328-2308 Fax
(701) 328-2404 TDD

May 2015

Preparing for a DOE Monitoring Visit – Checklist

Significant Questions:

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?

What is the Grantee's process for executing their Subgrantee awards?

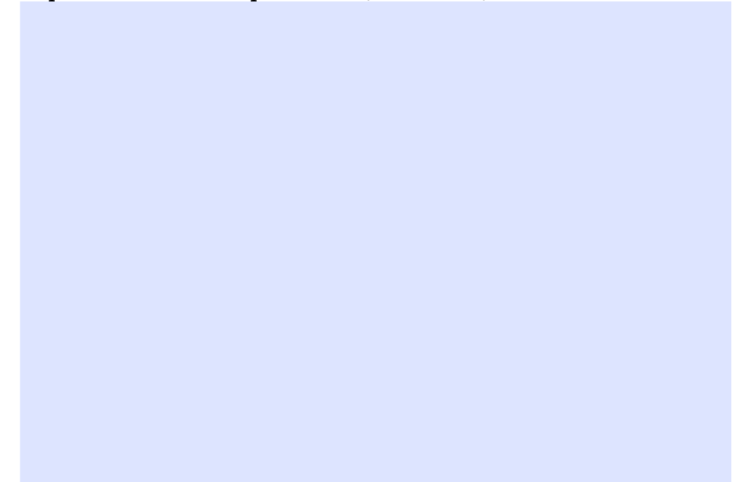
Does the Grantee provide advances to their Subgrantees? How does the Grantee reconcile the advances?

*Question 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?

- ☐ Finding
- ☐ Concern
- ☐ Recommendation
- ☐ Commendation
- ☐ Best Practice
- ☐ Satisfies Requirements
- ☐ Not reviewed at this time

Response and how was the response verified (documentation):



Preparing for a DOE Monitoring Visit – Checklist

Significant Questions:

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?

*Question 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?

- ☐ Finding
- ☐ Concern
- ☐ Recommendation
- ☐ Commendation
- ☐ Best Practice
- ☐ Satisfies Requirements
- ☐ Not reviewed at this time

Response and how was the response verified (documentation):

* - Denotes required question

Preparing for a DOE Monitoring Visit – The Visit

Day one – because of the call to go over the checklist before the visit and submitting the needed documents ahead of time, the time spent at the Dept. of Commerce was relatively short.

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Grant Number:

PRE-MONITORING PROGRAM MATERIALS CHECKLIST

Pre-Monitoring Program Materials:

* Grantee Program Materials to have available:

- ☐ Grantee and Subgrantee most recent amended agreement
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- ☐ Current Grantee State Plan
- ☐ Amended Award with the Grantee (most recent version)
- ☐ Grantee's 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.)]

Preparing for a DOE Monitoring Visit – The Visit

Days two, three, and four:

We met at the agencies and went over their checklists first.

We then went out to homes that were chosen to monitor.

The PO at this point simply shadows the State Monitors to see their process.

File and Field review were completed on all homes.



Preparing for a DOE Monitoring Visit – The Visit

Day five:

We had a conference call-exit interview with the PO and our Director. It was just a conversation about what the PO had seen, what would be in the report, and some other items that came up during the discussion.

We received the report in just a couple weeks. It was straightforward and contained no surprises.

Overall, I was pleased with the visit from DOE.



Comments from our PO on Monitoring Visits

Completing the checklist ahead of time via telephone is very beneficial. It is not required but if the Grantee and Subgrantee can complete them ahead of time it expedites the process.

We greatly appreciate the opportunity to review supporting documentation prior to the visit as well. I specifically like to do a deep dive into the client files and the audits.

I like to have an agenda so that everyone is on the same page.

We like to see a variety of housing types with differing fuel types and a variety of measures performed. If possible, I like to see projects that are in different phases of the weatherization process as well (in-progress, during inspection, etc.).

Comments from our PO on Monitoring Visits

Things that will slow down the monitoring process:

If the Program Manager (or other pertinent staff) has not at least reviewed the onsite monitoring checklist questions prior to the visit.

Lack of (or ambiguous) supporting documentation to the monitoring questions.

Lack of (or ambiguous) policies and procedures regarding the oversight and execution of the WAP.

Incomplete or disorganized client files.

Comments from our PO on Monitoring Visits

Things that will slow down the monitoring process:

Lack of pre-planning and scheduling of dwelling unit visits.

Unavailability of pertinent staff to answer questions that the Program Manager would rather defer to others (e.g., Finance questions).

This can be unintentionally generated by any of the parties involved, but a general atmosphere of defiance or antagonism toward the monitoring process. This makes me automatically assume that the defensive party is reticent and trying to hide something, which prompts me to dig in further even when it ultimately may be unnecessary. Remember, this is a monitoring and not an audit (at least that is the intent).

In Conclusion

The best thing you can do is develop a solid relationship with your PO. The more closely you work with them, the easier the monitoring visit will go. There should be no surprises when they get there, just as there should be no surprises when you go to your Subgrantees. A good relationship will help in other areas like state plan preparation, field guide submittals, etc. You may not always agree, but good communication makes for much easier working relationships.

Questions? Comments?

Thank You!

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