



U.S. DEPARTMENT OF
ENERGY

Energy Efficiency &
Renewable Energy



Weatherization Assistance Program

Ensuring Program Integrity



Gwen Howe (IA)
Bruce Hagen (ND)

NASCSP Weatherization
Orientation

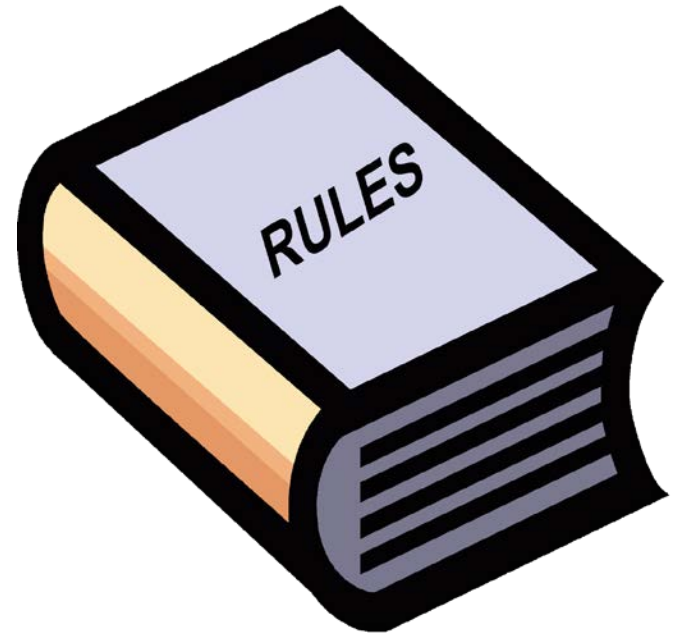
March 2017

Responsibility

Grantees are responsible for following all the rules and guidance of the program.

- 10 CFR 440
- Appendix A
- 2 CFR 200
- Grant Guidance
- Application Instructions
- Weatherization Program Notices

All these rules go into building the State Plan



Budget

Each of these address budget requirements:

- 10 CFR 440.12 State Application
- 10 CFR 440.14 State Plans
- 10 CFR 440.16 Minimum Program Requirements
- 10 CFR 440.18 Allowable Expenditures
- 10 CFR 440.19 Labor
- 10 CFR 440.20 Low Cost/No Cost
- 10 CFR 440.23 Oversight, training, and technical assistance
- 2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards



V.1 Eligibility:

- 10 CFR 440.22 Eligible Dwelling Units
 - Covers income, rentals and multifamily, shelters
- 10 CFR 440.11 Native Americans
 - included in State allocation or direct grant

V.2 Selection of Areas to Be Served:

- CFR 440.15 Sub-grantees
 - CAA or other entity
 - Selection process
 - Termination procedures
- CFR 440.30 Administrative Review
 - Replacing a sub-grantee
- CFR 440.14 (a) Public Hearing
 - Must be done when replacing a sub-grantee

V.3 Priorities for Service Delivery:

- **CFR 440.16 (b) Minimum Program Requirements – Priority given to:**
 - (1) Elderly persons;
 - (2) Persons with disabilities;
 - (3) Families with children;
 - (4) High residential energy users; and
 - (5) Households with a high energy burden.
- **CFR 440.3 Definitions –**
 - Describes the priority categories

V.4 Climatic Conditions:

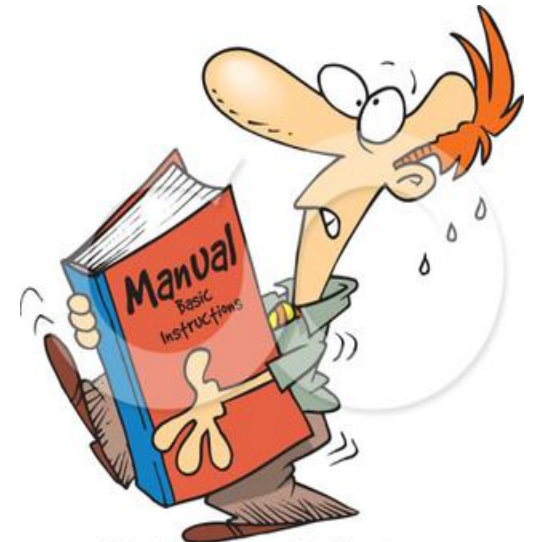
- CFR 440.14 (c) (2) State Plans
 - Describe climatic conditions within the State

Websites available to research climate conditions in various areas of states

- We use BizEE Degree Days www.degree-days.net
- Spreadsheet of each sub-grantee with running averages of previous 10 – 15 years degree days
- Update annually to keep average current

V.5 Type of Weatherization Work to Be Done:

- CFR 440.14 (c) (3) State Plans - Type of Weatherization Work to Be Done
- V.5.1 Technical Guides and Materials
- CFR 440.21 Weatherization materials standards and energy audit procedures – Material standards, Appendix A, adding new materials
- WPN 15-4 Quality Work Plan – Section 1 -Definition of Work Quality Guidelines and Standards



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V.5.2 Energy Audit Procedures:

- CFR 440.21 Weatherization materials standards and energy audit procedures –
 - Assign priorities by cost-effectiveness,
 - Priority lists
 - GHW materials
 - Re-approval every 5 years
- WPN 16-8 Revised Energy Audit Procedures – approval criteria

V.5.3 Final Inspection:

- CFR 440.16 (g) Minimum Program Requirements – Final Inspection
- WPN 15-4 Quality Work Plan – Section 3 -Inspection and Monitoring of Work Using Guidelines and Standards

V.6 Analysis of Effectiveness:

- CFR 440.14 (6) (i) State Plans - An analysis of the existence and effectiveness of any weatherization project being carried out by a sub-grantee;

Iowa Weatherization in conjunction with our utilities conducts and publishes an annual evaluation of the program.

V.7 Health and Safety:

- CFR 440.16 (h) Minimum Program Requirements – Health and Safety Expenditures
- CFR 440.21 (f) (5) Weatherization materials standards and energy audit procedures – Energy audit to identify Health and Safety hazards
- WPN 11-6 Weatherization Health and Safety Guidance

V.8 Program Management

V.8.1 Overview and Organization:

- CFR 440.12 (1) State Application –
 - The name and address of the State agency or office responsible for administering the program
 - Describe not only your program, but other programs within your division like LIHEAP, CSBG, etc.

V.8.2 Administrative Expenditure Limits:

- CFR 440.18 (d) (13) and (e) – Allowable Expenditures
 - Allowable amounts that can be used for Administrative Expenditures
 - Indicate whether you will use the option to provide additional admin to sub-grantees with less than \$350,000.

V.8.3 Monitoring Activities:

- CFR 440.12 (6) State Application – Monitoring Plan
 - List type of monitoring (fiscal, administrative, programmatic or QCI)
 - Give tentative schedule for each type of monitoring
 - Include number of grantee monitors by type
 - Include desk monitoring and in-house monthly review of expenditures, etc.
- WPN 16-4 Updated Weatherization Assistance Program Monitoring Guidance
- WPN 15-4 Quality Work Plan
 - Section 3 - Inspection and Monitoring of Work Using Guidelines and Standards

V.8.4 Training and Technical Assistance:

- WPN 15-4 Quality Work Plan
 - Section 4: Training to Implement and Maintain Guidelines and Standards
 - Identify any proposed Tier 1 training
 - Include any proposed Tier 2 training
 - How do you identify needed T&TA
- CFR 440.12 (7) State Application – Training and Technical Assistance Plan
- CFR 440.23 Oversight, training, and technical assistance.

V.9 Energy Crisis and Disaster Response Plan:

- WPN 12-7 Revised Guidance on Weatherization Disaster Planning and Relief
 - What triggers the Disaster Plan
 - Who is eligible
 - Other sources of funds
 - Services available

IV.1 Sub-grantees:

- CFR 440.14 State plans
 - Public hearings
 - Areas to be served
 - Sub-grantee analysis
- CFR 440.15 Sub-grantees
- 42 USC 6864 (b)(4)

IV.2 Production Schedule:

- CFR 440.14 (c)(1) and (c)(6)(vii) State Plans
 - Production schedule
 - Average Cost Per Unit

IV.3 Energy Savings:

- CFR 440.14 (c)(4) State Plans
 - Estimate of amount of energy saved
 - Can use established formula or a different one

IV.4 DOE-Funded Leveraging Activities:

- CFR 440.14 (c)(6)(xiv) State Plans
 - Leveraging

IV.5 Policy Advisory Council:

- CFR 440.17 Policy Advisory Council
 - Representatives and use of an existing council
 - Explain PAC make-up

IV.6 Hearings and Transcripts:

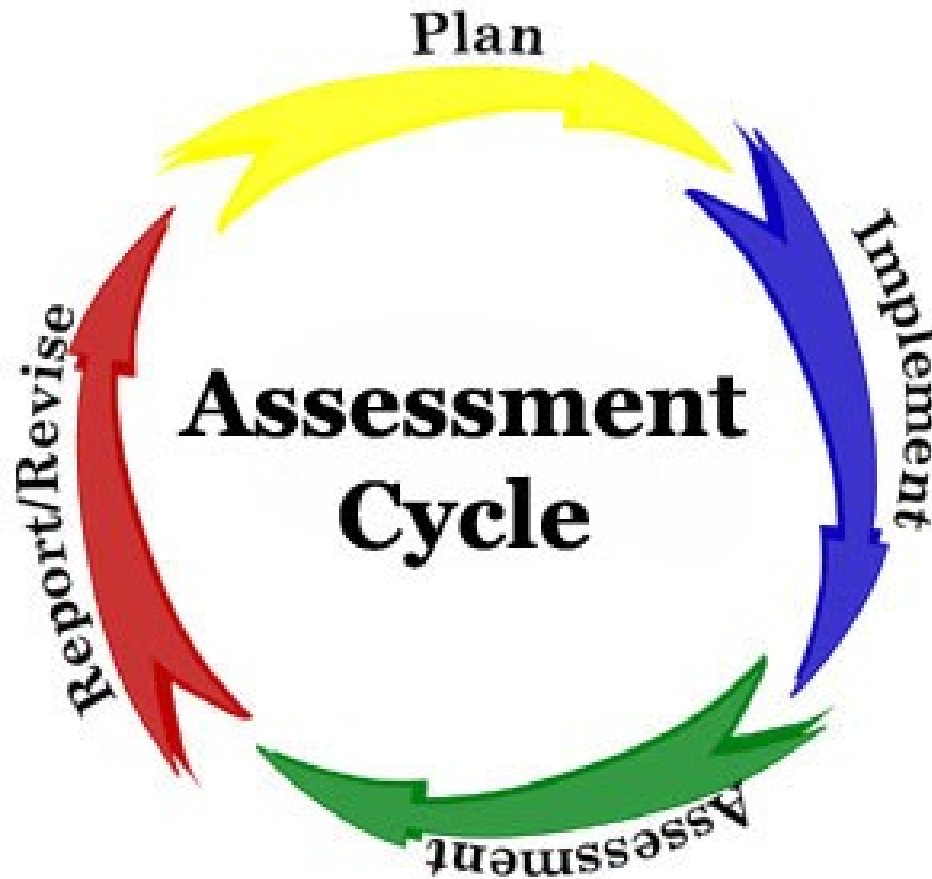
- CFR 440.14 (a) State Plans
 - Public hearing requirements
 - Include copy of Public Notice and transcript

IV.7 Miscellaneous:

- Application instructions - Recipient Business Officer and Recipient Principal Investigator

State Plan

The state plan is a never ending cycle



Accountability

You have your plan completed and approved by DOE. **Now What?**



Did you know?

DOE actually wants you to follow through with everything you put in your plan.

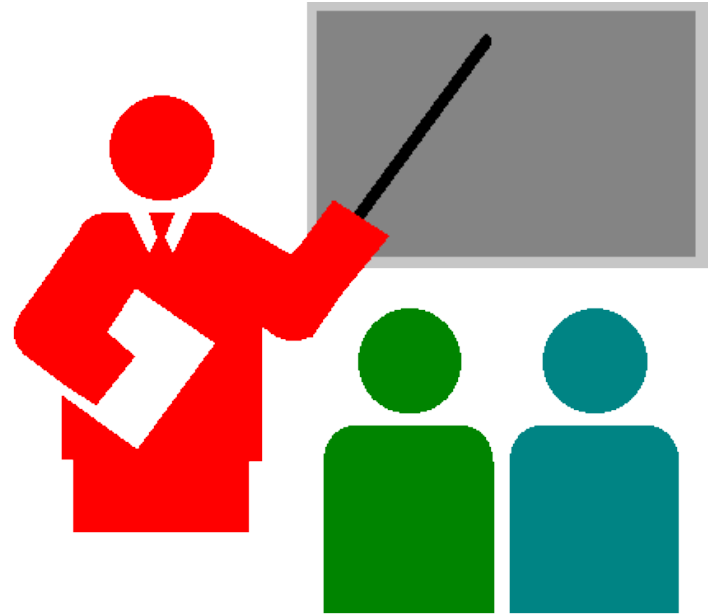
WHAT?!?!?!?



Accountability

Providing T&TA

- On going training
- Preparation for monitoring
- Rules, policies and standards
 - Both administrative and technical



Monitoring

- Documents you need to be very familiar with when monitoring:
 - Regulations
 - State plan and budget
 - Policies and Procedures
 - SWS and field guide
 - Contracts

Accountability

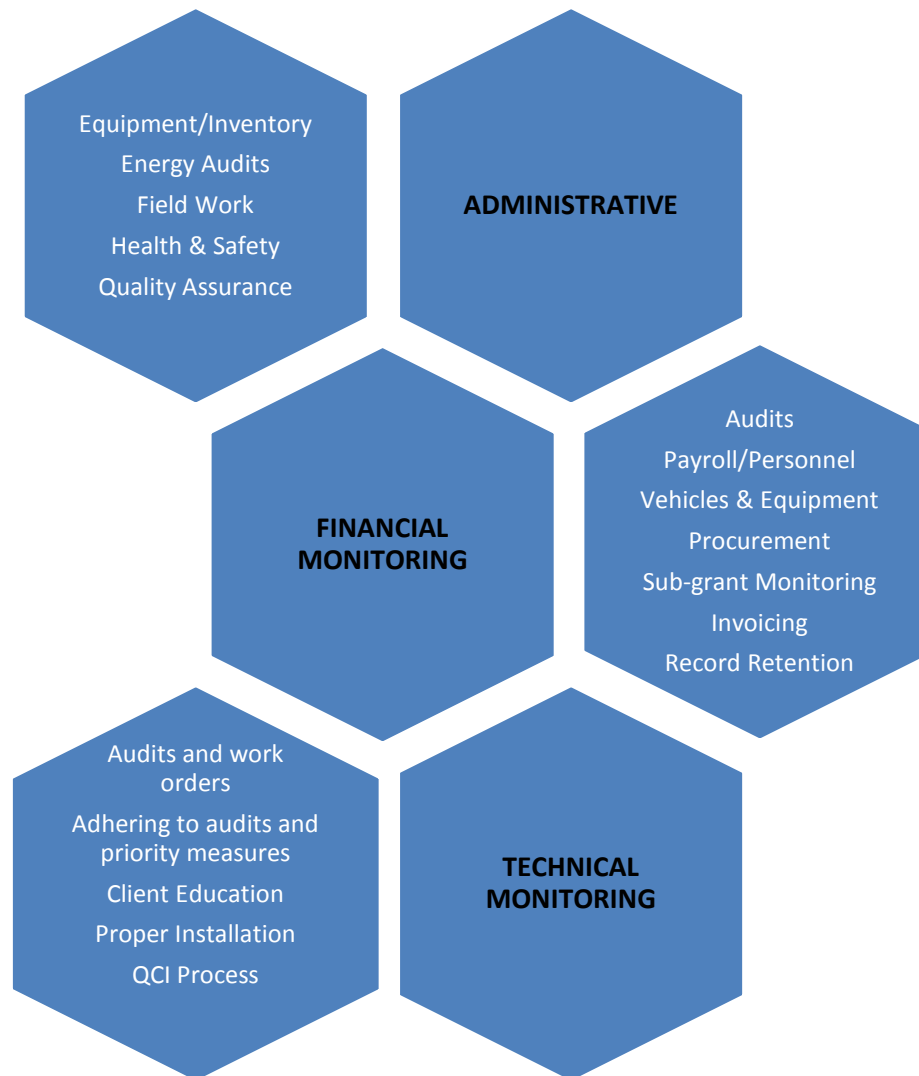
Grantees must hold sub-grantees to same standards

- **Contract language**
- **Standards/Field Guides**
- **Written policies & procedures**
- **Program notices/updates**

Sub-grantees must, in turn, hold contractors to these standards

- **They need to know what is expected of them**
- **They need to be provided with enough information to accomplish this – scope of work, RFP, work orders, SWS and Field Guides, etc.**
- **You may need to provide training.**
- **Explain the final inspection process – they should know they will be held accountable.**

Monitoring



Monitoring - Administrative

Make sure to have copies of previous monitoring to check on problems from previous monitoring

SECTION I GENERAL ORGANIZATION

Job Descriptions – all personnel

SECTION II CLIENT APPLICATION PROCESS

Outreach and Client Intake

Obtaining applications

Approving applicants

Waiting list

Application Review Checklist

Monitoring - Administrative

SECTION III. WEATHERIZATION PROCESS

- Computerized Energy Audit
- Production Monitoring
- Private Contracting Patterns
- Rental Property

SECTION IV. PROCUREMENT & INVENTORY PROCEDURES

- Materials Procurement & Services
- Inventory Storage
- Property Management

Monitoring - Administrative

SECTION V. HEALTH AND SAFETY

Crew Safety

Hazardous Materials

Client Safety

SECTION VI. TRAINING & TECHNICAL ASSISTANCE

SECTION VII. PERSONNEL

Monitoring - Administrative

File Review

File Review

Eligibility Determination Present	<input type="checkbox"/> Yes <input type="checkbox"/> No
Proof of Ownership or Signed Rental Agreement	<input type="checkbox"/> Yes <input type="checkbox"/> No
Unit Assessed Using	<input type="checkbox"/> Energy Audit
Work Agreement/Notice to Proceed	<input type="checkbox"/> Yes <input type="checkbox"/> No
Invoices/Purchase Orders for All Materials Installed	<input type="checkbox"/> Yes <input type="checkbox"/> No
Lead-Paint Notification Documentation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A post-1978 or verified as "lead free"
Certified Renovator and Test Kit Documentation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A post-1978 or verified as "lead free"
Lead Safe Weatherization Documentation (including pictures)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A post-1978 or verified as "lead free"
Mold/Moisture and Hazard Assessment and Notification	<input type="checkbox"/> Yes <input type="checkbox"/> No
State Historic Preservation Documentation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Combustion Appliance Testing	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A Notes <input type="text"/>
Heating System/DHW Bid Sheets, Heat Loss Calculations, Vendor's Bids, and any other Documentation necessary for Repairs and Replacements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Monitoring - Administrative

File Review

Blower Door Results (@CFM 50)	Pre Number _____	Post Number _____	Cost Effective Guidelines <input type="checkbox"/> Yes <input type="checkbox"/> No
Zonal Pressure Testing	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A Notes _____		
Room to Room Pressure Testing	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A Notes _____		
Pressure Pan Testing	Pre _____	Post _____	<input type="checkbox"/> N/A
Duct Leakage Testing (duct blaster)	Pre _____	Post _____	<input type="checkbox"/> N/A
Worst Case Draft Test	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A Notes _____		
Reworks were Required on Unit	<input type="checkbox"/> Yes <input type="checkbox"/> No What _____		
Follow-up Documented	<input type="checkbox"/> Yes <input type="checkbox"/> No		
On-Site Work Assessment Form Signed and Dated by Final Inspector and Client Satisfaction Section Signed and Dated	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Inspected By	<input type="checkbox"/> Crew Foreman <input type="checkbox"/> Auditor <input type="checkbox"/> Coordinator <input type="checkbox"/> Other		
ND Monitoring Sheet Filled Out	<input type="checkbox"/> Yes, documentation is complete and in order <input type="checkbox"/> No		
ASHRAE required? <input type="checkbox"/> Yes <input type="checkbox"/> No	Ventilation added? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Correct AFUE used in Energy Audit?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

File Review

ND DESK REVIEW SHEET

ND DIVISION OF COMMUNITY SERVICES/DCS
SFN 59909 (5/11)

Name	Mobile/Traditional	Agency	Date
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[illegible]

Comments

Monitoring - Administrative

Contractor Review

- Licensing
 - HVAC
 - Plumbing
 - Electrical
- Contracts
- Insurance
 - Liability
 - Worker's Comp
 - Auto
- SAMS review
- Lead Firm/Renovator

Monitoring - Financial

CAA FINANCIAL MANAGEMENT MONITORING	
Grantee	Date of Monitoring
Programs Monitored	Completed By
General Approvals	
Authorizes Purchases and/or Purchase Order	
Approves Invoices for Payments	
Opens Incoming Mail	
Signs Checks	
Approves Cash Requests	
Approves the Financial Status Reports	
Approves the Budgets and Budget Amendments	
Approves Pay Increases	
Approves Travel	
Performs Monthly Bank Statement Reconciliation	
Deposits funds	
Approves Employee Timesheets	
Performs General Journal Entries	

Approvals

Monitoring - Financial

Accounting System: Determine that internal controls related to the accounting system are sufficient to maintain required data and have limited accessibility.

	Yes	No	Comments
Type of Accounting System is utilized by the agency			
Who has access to the Accounting System?			
Does the accounting system adequately identify <u>revenues</u> and expenditures for each specific grant? Does it provide effective control and accountability for all funds, property and assets?			
Is the accounting system able to provide a record of <u>non-federal</u> or any in-kind contributions?			
Does the financial management system maintain <u>records</u> which identify the source and application of funds <u>for</u> federally sponsored activities?			
Does the financial management system provide for <u>the</u> comparison of outlays with the budget amounts for each grant?			
Does financial management contain written procedures to minimize the time elapsing between the transfer of funds to the recipient and payments for <u>program</u> purposes?			
Does financial management contain written procedures to determine whether the costs are reasonable, allowable, and allocable in accordance with the provisions of the applicable Federal cost principles and the terms and conditions of the awards?			

Accounting System

Monitoring - Financial

Subrecipient Risk Assessment, Audit & General Operations: Review auditor's report for any findings and questioned costs. Also review board minutes as each entity must maintain a tripartite board, have a set of bylaws, and govern the community action organization in following all rules, regulations and procedures for both fiscal and programmatic policies.

	Yes	No	Comments
Does the agency follow the Audit Requirements of OMB Uniform Guidance, Subpart F (A-133) in a timely manner? Is there a current up-to-date Audit that has been conducted?			
Does the agency have any significant findings or issues of noncompliance in their Audit in the last 3 years?			
Does the agency have a corrective action process in place if any findings are made by the auditor? Are there any unresolved findings?			
Does the Audit contain a disclosure regarding cash flow status or show any programs with a negative balance?			
Does the agency have any monitoring findings in the past year (DOC, federal agencies or other state agencies)? If yes, have the findings been corrected?			
Does the agency have any major internal control weaknesses?			
Has the agency met program objectives for the past 3 years for programs funded by our agency?			
Are the program and fiscal reports being submitted accurately and in a timely manner?			
Does the agency have in place standard financial and operating controls to protect against fraud and mismanagement of Federal funds? (ie segregation of duties, policies and procedures, conflict of interest, performance measures)			
Has the agency been involved in any type of litigation in the past three years?			
Has the agency maintained compliance with tripartite boards for the past 3 years (1/3 public officials, 1/3 low income representatives, and 1/3 private sector)?			
Does the board review revenue and expenditure reports at each meeting?			
Have there been any changes in key staff in the past 3 years (Director, Fiscal Officer, Program Managers of CSBG, Wx, HOME)?			

Sub-recipient Risk Assessment Audit and General Operations

Monitoring - Financial

General Policies

General Policies: Review Personnel Policies for consistent treatment of leave time to agency personnel (Drug Free Workplace, Smoke Free Workplace and Equal Opportunity Employer clauses). Review Fiscal Policies for internal control procedures dealing with cash receipts, disbursements by cash or check, purchase card, computer procedures for accounting department and other office functions as well as compliance with OMB Uniform Guidance: Subparts A-F, Appendix III (A-110).			
	Yes	No	Comments
Does the agency have a Personnel Policy Manual?			
Does the agency have a Fiscal Policy/Procedures Manual?			
Do the written policies and procedures clearly define duties of financial personnel and establish lines of authority for various operations?			
Are there provisions in the personnel policies to prohibit conflict of interest and nepotism?			
Is there a provision to provide equal opportunity and prohibit discrimination on the basis of race, color, religion, sex, national origin, age, handicap, political affiliation or belief?			
Does the policy manual have a provision to prohibit political activity or lobbying?			
Are fiscal procedures in place to ensure knowledge of and compliance with the current OMB Uniform Guidance: Cost Principles, Audit and Administrative Requirements for Federal Awards (A-122, A-110, A-133)?			
Are written standards of conduct maintained to govern the performance of its employees engaged in award and administration of contracts?			

Monitoring - Financial

Procurement

Procurement: Review written procurement procedures, procurement activity, office policies, and requirements of OMB Uniform Guidance: Subparts A-F, Appendix III (A-110). Review purchase orders for grant charged, items purchased, supporting documentation, signature of program administrator or other authorized individual and the cost items. Trace purchase order to disbursements ledger and segregation between purchases and receipts.

	Yes	No	Comments
Are there written procurement policies and procedures?			
Do the written procurement procedures meet <u>the</u> requirements of OMB Uniform Guidance, Subpart D, Section 200.318 – 200.326. (Sections 41-48 of OMB Circular A-110)?			
Have any sole source purchases occurred in the past year? (If so, review documentation to support the sole source purchase.)			
Are all procurement transactions conducted in a manner <u>to</u> provide, to the maximum extent practical, open and free competition?			
Is a purchase order system used?			

Monitoring - Financial

Property

<p>Property: Review agency insurance coverage for vehicles, buildings, contents and liability to determine if agency is complying with insurance requirements. Also, review inventory/office property for compliance with OMB Uniform Guidance: Subparts A-F, Appendix III (A-110 guidelines).</p>			
	Yes	No	Comments
Is there a physical inventory of equipment taken <u>and</u> reconciled with the equipment records at least once every two years?			
<p>Do the property records for equipment acquired with Federal funds and federally owned equipment include <u>all</u> of the following:</p> <ul style="list-style-type: none"> a. A description of the equipment b. A manufacturer's serial # or other ID # c. Source of funding for the property d. If recipient holds title e. Acquisition date f. Acquisition cost g. Information on percentage of Federal participation h. Location and condition of equipment i. Record of disposition 			
<u>Is</u> there a control system in place to insure adequate safeguards to prevent loss, damage or theft?			
Is there adequate insurance coverage for <u>equipment</u> purchased with Federal funds?			
Has a copy of the insurance endorsement listing the <u>State</u> of North Dakota and its agencies, officers, and employees as additional insured been filed?			

Monitoring - Financial

Procedures: Select a random sample of expenditures to review checks, authorized signatures, supporting documentation such as invoices/statements to check for allowability, purchase orders, and period of affordability (expenses occurred within the budget period). Review travel of various individuals in agency and determine if appropriate for the grant. Also review any program income received and the process of recording/expending for each program, if applicable.

Review employee time sheets for allocation of time to various programs, appropriate signatures, hours worked, leave time, plus approved wages, and trace to a payroll ledger.

Review bank statements for receipt of funds from DOC and other sources. Check balances if more than \$250,000 and if additional coverage is provided by bank. Review deposit slips and receipt ledger for internal control and allocation to the general ledger as well as how often deposits are done.

Review general journal entries that affect DOC programs such as transfers between grants for expenditures and revenue. Review supporting documentation for explanation and grants that will be affected by the entry. Trace journal entry to the general ledger.

Review reports submitted to DOC for budgeted and expended amounts and compare to the general ledger.

	Yes	No	Comments
Were expenditures incurred during the period of availability? Were they allowable, allocable and reasonable?			
Were any of the payments made to vendors which were suspended or debarred?			
Are time sheets used to allocate payroll <u>and</u> programs/funds listed separately? Are they properly approved by supervisors?			
Do the payroll records reflect the correct percentage of time charged to programs as indicated on the time sheets?			
Is there a space allocation plan approved by the Board of Directors and on file at DOC? Is there an appropriate <u>cost</u> allocation plan applied equitably to all programs?			
Are the expenditures, deposits, and journal entries supported by source documentation?			

Procedures

	Yes	No	Comments
Are bank reconciliations performed monthly? Do the bank statements reflect any negative cash balances, overdraft or finance charges?			
Are the travel policies approved by the Board of Directors being followed?			
Is approval for out-of-state travel obtained prior to incurring the costs?			
Did the travel reimbursements have the proper supporting documentation for travel expenses? Were the reimbursements paid correctly?			
Has the agency collected any type of program income? Has it been tracked and spent appropriately?			
Are the Financial Status Reports accurate and can be <u>reconciled to the subrecipient's</u> general ledger or other financial reports?			
Are financial records, supporting documentation, and all other pertinent records retained for minimum of three years from the date of the submission of the final financial report? <i>(If agency has audit findings with submission of final report, records must be retained the required number of years after the findings are cleared).</i>			
Are the staff provided with training opportunities <u>and</u> updated sources of information?			
Is there a need for technical assistance from DOC staff?			

SUMMARY: Monitoring is a comprehensive approach to provide any needed technical assistance to agencies and ensure compliance with Federal Regulations governing the CSBG, HOME, DOE, and LIHEAP Programs. I certify to the best of my knowledge and belief that the above information is true and correct.

DOC Signature	Date
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Monitoring - Financial

FINANCIAL MONITORING CHECKLIST

- ☐ Cost Allocation Plan
- ☐ Lease Agreement (if rental)
- ☐ Current Chart of Accounts (Object codes/fund codes)
- ☐ Board Minutes and Agency By-laws
- ☐ Employee Policy Manual (did all employees receive?). Are there written job descriptions for each position? Is there a policy for regular evaluation of employees each year? Whistleblower policy?
- ☐ Fiscal Policy Manual (including Procurement Info)
- ☐ Latest Audit Report
- ☐ Insurance Coverage (Liability, Inland Marine & Auto Insurance)
- ☐ Fixed Asset List
- ☐ Bank Statements with bank reconciliation information for past year
- ☐ Program Income reports, if applicable
- ☐ Deposits & General Journal Entries for the past year
- ☐ Verify Cash Requests
- ☐ Periods of Availability for Grants being reviewed in this monitoring visit:

- ☐ Financial Status Reports & General Ledger Expenditures for each program
Months Chosen:

- ☐ Payroll (Minimum of two pay periods with timesheets and payroll ledgers)
Payroll Periods & Employees Chosen:

Fiscal Monitoring Checklist

Monitoring - Technical

Preliminary Work:

How to pick jobs to look at.

Try to minimize time at the home and at the agency.

Look over client information in the software – look for anomalies or questionable entries

Job Estimate (Work Order)

Job Cost Report

Desk Review Sheet

Other information in the database – Diagnostics, measures, etc.

Monitoring - Technical

Job Estimate

Client Information

1234
Bentson, Dave
555 front st
Minot, ND 58701

Directions To Client

At the end of the road



Disclaimer

Monitoring - Technical

Measure - IA - Loose Fill Attic

Perform Measure: Yes

Est. Qty.	Material Code	Material Descr	Unit Cost	Location	Net Cost	Actual Qty	Actual Cost
10	Cellulose - Loose Fill	Cellulose - Loose Fill	\$5.90		\$59.00		\$
1	Gable Vents	Gable Vents	\$12.00		\$12.00		\$
							\$
							\$
							\$
							\$
				Material	\$71.00		\$
				Labor	\$12.25		\$
				Other	\$0.00		\$
				Sub Total	\$83.25		\$

First Year Savings = \$32.00 * Simple Payback = 2.60 yrs * S.I.R = 7.7 * Lifetime = 20.00 Pre R = 19.8 Post R = 50 Buffering = Semi Buffered

Referenced Specifications

- 4.1001 General Preparation
- 4.1006 Attic Openings
- 4.1003.1 Pitched/Vaulted/Cathedralized Ceilings-Loose Fill Over
- 4.1005.2 Accessible Floors-Loose Fill Insulation
- 4.1005.4 Accessible Floors-Loose Fill Over Existing Insulation

Comments

ATTIC - <input type="checkbox"/> N/A	
Attic Air Sealing Performed	<input checked="" type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> N/A
Attic Insulation Installed	<input checked="" type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> N/A
Insulation Certificate Posted	<input checked="" type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> N/A

Monitoring - Technical

Job Cost Report

Itemized Cost for Task IA

Bill 2	1/15/2014	<u>10.00</u>	0.00 IA	<u>\$180.00</u>
Subtotal		10.00		

Itemized Cost for Task IA

29	Cellulose - Loose Fill	\$6.50	\$188.50	29	0	1/15/2014	IA
20	Cellulose - Loose Fill	\$6.50	\$130.00	20	0	1/15/2014	IA
2	Gable Vents	\$12.00	<u>\$24.00</u>	2	0	1/15/2014	IA
Subtotal			\$342.50				

Monitoring - Technical

Desk Review Report

ND DESK REVIEW SHEET

ND DIVISION OF COMMUNITY SERVICES/DCS

SFN 59009 (7/13)

Name	Mobile/Traditional	Agency	Date
Bentson, Dave	Site Built	Region 9	9/22/2016

MVR	Pre Blower Door	Final BD	CEG Cost	Zonal Air Leakage	Pressure Pan	Duct Blaster	Room to Room	Furnace Cleaning	WCDT
1286.00	2000.00	1200.00	\$2500.00		6.00	7.00			
Measure and SIR	Begin R	End R	Materials Estimated	Materials Installed	Bags Estimated	Bags Installed	Labor Estimate	Labor Installed	Cost Per Material
IP - Perimeter - Above Ground - Exterior 8.52	1	6	\$1489.40				\$545.19		
IA-Install Attic 7.70	19.8	50	\$71.00	130.00	10	20	\$12.25	\$180.00	
W - Window Replacement 3.39	0.85	3.4	\$155.55				\$48.99		
W - Window Replacement 2.24	0.85	10	\$205.10				\$66.95		

Monitoring - Technical

Other information in the database

Diagnostics –

Do they pass the standards?

Were all the tests completed?

Any numbers that look out of place?

Fuel usages

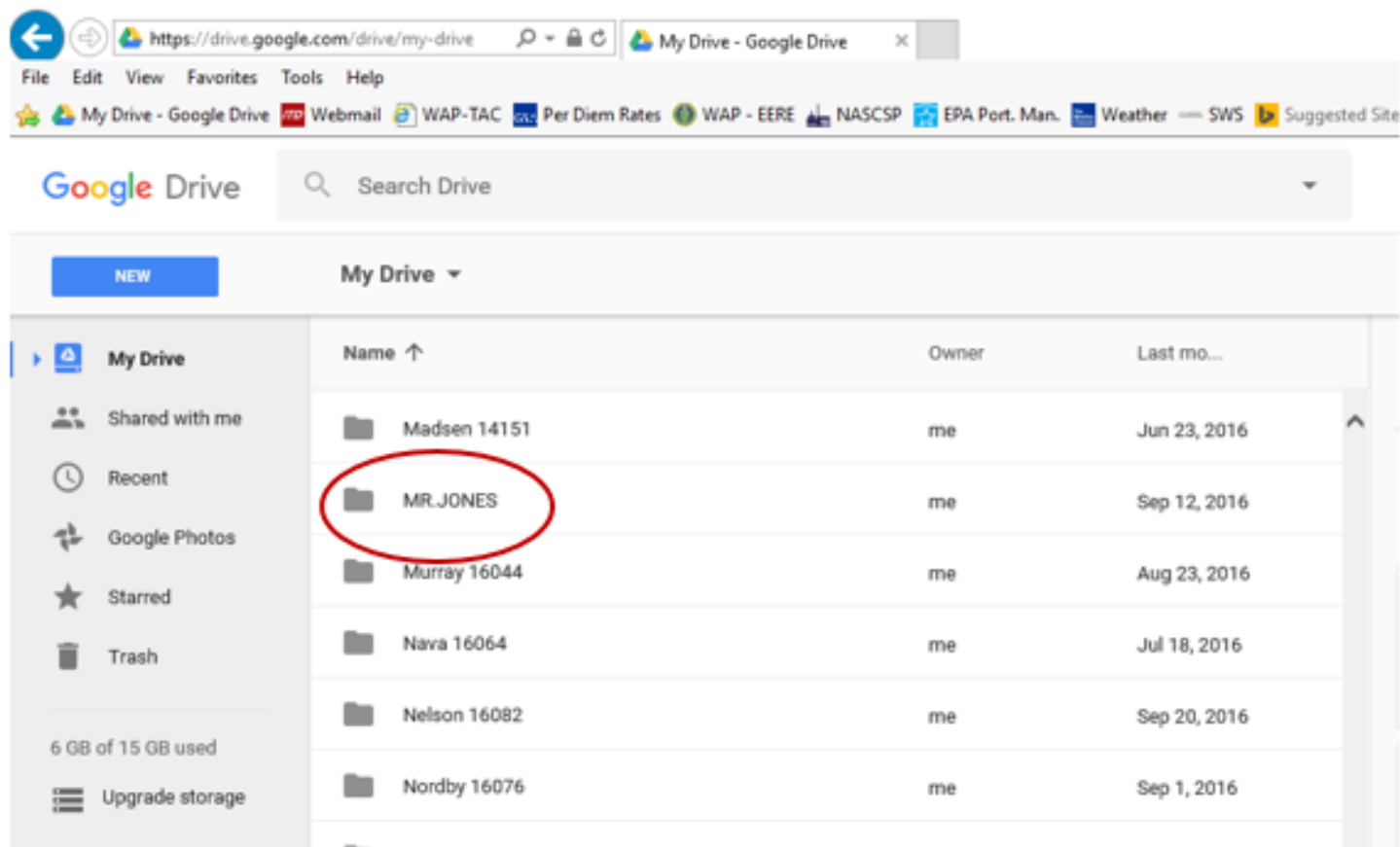
Measures

Sub-contractor costs

Monitoring - Technical

Google Drive

Look at Google Drive before going and match pictures to file review checklists and measures completed on Job Estimate and Job Cost Report

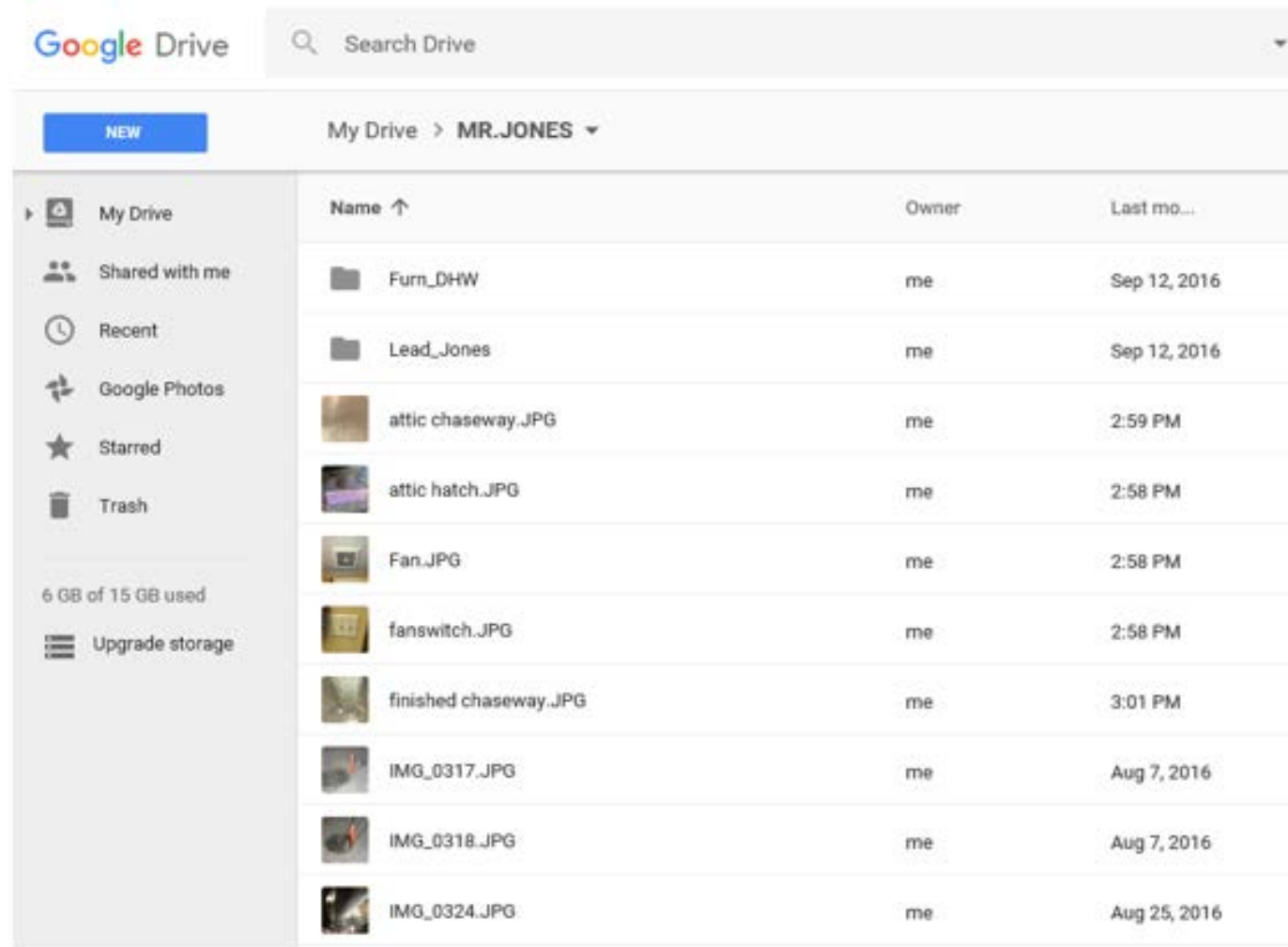


The screenshot shows a web browser window with the Google Drive interface. The address bar displays the URL <https://drive.google.com/drive/my-drive>. The browser's menu bar includes File, Edit, View, Favorites, Tools, and Help. The toolbar shows various icons for Google Drive, Webmail, WAP-TAC, Per Diem Rates, WAP - EERE, NASCSP, EPA Port. Man., Weather, SWS, and a Suggested Site. The Google Drive logo and a search bar are visible. On the left sidebar, the 'My Drive' section is expanded, showing a list of folders. The folder 'MR.JONES' is circled in red. The main content area displays a table of folders with columns for Name, Owner, and Last modified.

Name ↑	Owner	Last mo...
Madsen 14151	me	Jun 23, 2016
MR.JONES	me	Sep 12, 2016
Murray 16044	me	Aug 23, 2016
Nava 16064	me	Jul 18, 2016
Nelson 16082	me	Sep 20, 2016
Nordby 16076	me	Sep 1, 2016

Monitoring - Technical

Google Drive



The screenshot displays the Google Drive web interface. At the top, the Google Drive logo is on the left, and a search bar labeled 'Search Drive' is on the right. Below the search bar, a navigation bar shows 'My Drive' and 'MR.JONES' with a dropdown arrow. A blue 'NEW' button is located to the left of the navigation bar. On the left side, a sidebar contains navigation links: 'My Drive', 'Shared with me', 'Recent', 'Google Photos', 'Starred', and 'Trash'. Below these links, it indicates '6 GB of 15 GB used' and provides a link to 'Upgrade storage'. The main area displays a table of files and folders for 'MR.JONES'.

Name ↑	Owner	Last mo...
Furn_DHW	me	Sep 12, 2016
Lead_Jones	me	Sep 12, 2016
attic chaseway.JPG	me	2:59 PM
attic hatch.JPG	me	2:58 PM
Fan.JPG	me	2:58 PM
fanswitch.JPG	me	2:58 PM
finished chaseway.JPG	me	3:01 PM
IMG_0317.JPG	me	Aug 7, 2016
IMG_0318.JPG	me	Aug 7, 2016
IMG_0324.JPG	me	Aug 25, 2016

Monitoring - Technical

Google Drive



Monitoring - Technical

Google Drive



Monitoring - Technical

Google Drive



Monitoring - Technical

Google Drive



Monitoring - Technical

FILE REVIEW

NORTH DAKOTA DEPARTMENT OF COMMERCE
DIVISION OF COMMUNITY SERVICES
SFN 81142 (10/2016)

Agency		Coordinator	
Fund Code	Job/Identifier Number	Completed <input type="checkbox"/> Yes <input type="checkbox"/> No	Date of Completion
Name		Address	
City	State	ZIP Code	
Estimator	Agency Inspector	Crew Foreman	

File Review

Housing Type			
<input type="checkbox"/> Site Built	<input type="checkbox"/> Mobile Home	<input type="checkbox"/> Shelter	<input type="checkbox"/> Multi Family (5 or More)
Primary Fuel Type			
<input type="checkbox"/> Natural Gas	<input type="checkbox"/> Propane	<input type="checkbox"/> Electric	<input type="checkbox"/> Oil <input type="checkbox"/> Other
Combustion Appliances Present			
<input type="checkbox"/> Secondary Heat	<input type="checkbox"/> Cook Stove	<input type="checkbox"/> DHW	<input type="checkbox"/> Fireplace <input type="checkbox"/> Other

File Review

Eligibility Determination Present	<input type="checkbox"/> Yes <input type="checkbox"/> No
Proof of Ownership or Signed Rental Agreement	<input type="checkbox"/> Yes <input type="checkbox"/> No
Unit Assessed Using	<input type="checkbox"/> Energy Audit
Work Agreement/Notice to Proceed	<input type="checkbox"/> Yes <input type="checkbox"/> No
Invoices/Purchase Orders for All Materials Installed	<input type="checkbox"/> Yes <input type="checkbox"/> No
Lead-Paint Notification Documentation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A post-1978 or verified as "lead free"
Certified Renovator and Test Kit Documentation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A post-1978 or verified as "lead free"
Lead Safe Weatherization Documentation (including pictures)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A post-1978 or verified as "lead free"
Mold/Moisture and Hazard Assessment and Notification	<input type="checkbox"/> Yes <input type="checkbox"/> No
State Historic Preservation Documentation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Combustion Appliance Testing	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A Notes
Heating System/DHW Bid Sheets, Heat Loss Calculations, Vendor's Bids, and any other Documentation necessary for Repairs and Replacements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Reporting

It is important to pay attention to agencies reports – timeliness, accuracy, etc.

Go beyond the numbers – identify trends, problems, training needs, more detailed monitoring.

Use this to catch things before they become big problems.

If it is across the board and not one or two agencies, maybe something needs to be changed at the state level.

Reporting

Region Monthly								
	14-Mar	Region 2	Region 3	Region 4	Region 5	Region 6	Region 7	Region 8
Inventory		40,542.83	34,811.64	27,301.33	50,756.03	40,524.95	55,528.71	41,584.41
2012 Liheap Furnace Material Cost-Completions		28,731.12	10,705.08	3,035.88	35,423.36	11,326.15	18,219.94	49,143.30
2012 Liheap Furnace Completions		28.00	5.00	4.00	18.00	21.00	16.00	19.00
2012 Liheap Furnace Re-Weatherization Material Cost - Completions		0.00	0.00	0.00	0.00	0.00	0.00	0.00
2012 Liheap Furnace Re-Weatherization - Completions		0.00	0.00	0.00	0.00	0.00	0.00	0.00
2012 Liheap Furnace Material Cost-In Progress		48,194.75	10,943.84	62,760.93	12,908.49	2,160.51	0.00	28,862.34
2012 Liheap Furnace In Progress		29.00	8.00	31.00	8.00	15.00	0.00	12.00
Added Cost		0.00	0.00	0.00	0.00	0.00	0.00	0.00
2012 Liheap Weatherization Material Cost-Completions		6,086.43	12,336.11	3,728.26	8,382.71	9,854.00	19,524.81	12,304.99
2012 Liheap Weatherization Completions		7.00	7.00	2.00	6.00	5.00	9.00	11.00
2012 Liheap Weatherization Re-Weatherization Material Cost - Completions		0.00	0.00	0.00	3,916.98	653.44	0.00	0.00
2012 Liheap Weatherization Re-Weatherization - Completions		0.00	0.00	0.00	2.00	1.00	0.00	0.00
2012 Liheap Weatherization Material Cost-In Progress		1,969.77	2,848.75	0.00	17,909.88	19,648.78	4,207.08	15,974.12
2012 Liheap Weatherization In Progress		7.00	3.00	0.00	19.00	26.00	2.00	18.00
Added Cost		0.00	0.00	0.00	0.00	0.00	0.00	0.00
2013 Liheap Weatherization Material Cost-Completions		0.00	0.00	5,824.28	0.00	0.00	0.00	0.00
2013 Liheap Weatherization Completions		0.00	0.00	5.00	0.00	0.00	0.00	0.00
2013 Liheap Weatherization Re-Weatherization Material Cost - Completions		0.00	0.00	0.00	0.00	0.00	0.00	0.00
2013 Liheap Weatherization Re-Weatherization - Completions		0.00	0.00	0.00	0.00	0.00	0.00	0.00
2013 Liheap Weatherization Material Cost-In Progress		0.00	0.00	14,471.05	0.00	0.00	0.00	0.00
2013 Liheap Weatherization In Progress		0.00	0.00	15.00	0.00	0.00	0.00	0.00
Added Cost		0.00	0.00	0.00	0.00	0.00	0.00	0.00

Reporting

2013 LIHEAP Weatherization Assistance Program Progress Report

QUARTER 1 (10/01 - 12/31/2013)			QUARTER 2 (01/01 - 03/31/2014)			QUARTER 3 (04/01 - 06/30/2014)			QUARTER 4 (07/01 - 09/30/2014)			Fiscal Year Totals			
November	December		January	February	March	April	May	June	July	August	September	2011	2012	2013	2014
3,588.84	4,791.82	12,587.20	4,873.36	4,438.95	4,415.88	13,727.88	0.00	0.00	0.00	0.00	0.00	0.00	32,472.78	28,314.26	0.00
4,152.18	85.28	5,359.00	5,884.35	3,845.34	1,499.35	9,888.84	0.00	0.00	0.00	0.00	0.00	0.00	7,722.74	14,988.84	0.00
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
7,741.02	4,837.10	17,946.20	9,937.71	7,483.39	5,915.90	23,336.99	0.00	0.00	0.00	0.00	0.00	0.00	40,195.52	41,282.30	0.00
8,985.18	5,700.82	28,337.21	4,819.37	5,782.48	15,884.34	25,448.17	0.00	0.00	0.00	0.00	0.00	0.00	80,729.53	51,783.38	0.00
14,281.88	11,273.29	28,118.89	12,881.21	12,121.96	13,589.29	38,543.46	0.00	0.00	0.00	0.00	0.00	0.00	78,198.43	88,881.46	0.00
5,181.27	7,741.84	18,701.82	2,820.17	5,718.58	5,874.57	14,213.30	0.00	0.00	0.00	0.00	0.00	0.00	38,873.22	32,815.22	0.00
17,818.18	21,702.82	80,287.54	17,888.81	18,888.77	21,181.27	58,894.85	0.00	0.00	0.00	0.00	0.00	0.00	129,188.83	118,392.38	0.00
174.48	2,478.98	3,857.83	4,188.88	5,819.59	5,881.38	15,878.89	0.00	0.00	0.00	0.00	0.00	0.00	8,841.25	18,798.72	0.00
285.34	777.41	1,445.88	285.88	58.55	1,382.17	1,728.41	0.00	0.00	0.00	0.00	0.00	0.00	5,485.53	3,172.89	0.00
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
1,538.33	1,848.07	5,879.89	2,238.83	1,958.94	2,888.33	8,988.89	0.00	0.00	0.00	0.00	0.00	0.00	12,583.28	12,877.99	0.00
47,881.84	51,818.33	144,237.27	44,889.88	49,847.83	83,844.27	188,181.88	0.00	0.00	0.00	0.00	0.00	0.00	381,197.38	384,338.25	0.00
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
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0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Reporting

		WEATHERIZATION	
MATERIALS AVAILABLE			
Purchases		170,290.88	
Office Labor Percentage		20.18%	
MATERIALS ACCT'D FOR			
Current Material Inventory		50,756.03	
Material Cost for Current Units in Progress		17,909.88	
Material Cost for Units Completed		94,531.38	
Material Cost for Re-Work Units		7,095.20	
Inventory Adjustment		0.00	
Total Materials Acct'd For		170,292.49	
VARIANCE AMOUNT		-1.61	
VARIANCE PERCENTAGE		0.00%	
UNITS COMPLETED		92.00	
COST PER UNIT		5849.934239	

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Reporting

		WEATHERIZATION	
MATERIALS AVAILABLE			
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Office Labor Percentage		20.18%	
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UNITS COMPLETED		92.00	
COST PER UNIT		5849.934239	

Quality Assurance-Area of Focus

Key steps in the delivery of services are often overlooked in QA processes

Area	What	Tools	
		Prevention	Inspection
Audit quality	Quality, accuracy and effectiveness of the audit	Certifications, training	Audit data review Audit / audit
Bid/Procurement quality	Bids reasonable and consistent with program requirements	Bid data requirements	Bid review
Measure installation	Verify measures	Standards, training	Test-out audit
Scope of work review	Measures recommended reasonably and to spec	Standard, training	Scope of work review
Health and safety	Health and safety considerations addressed	Standards, training	Audit review (H+S addressed) and QA inspection
Process quality	Timeline of project delivery Coordination of service (hand-offs)	Service expectations , process manuals, customer support	Project management systems and software, customer surveys, customer tracking and follow-up
Customer experience	Customer satisfaction with audit, contractor, program	Complaint systems , customer support	Participant and partial participant surveys
Contractor experience	Contractor support and value-added for them	Contractor training, needs assessment	Contractor surveys
Data quality	Data accuracy and collecting needed data	Monthly or other reporting, data sharing with contractors	Invoice and data quality reviews

Evaluating Monitoring Results

High Risk Criteria Triggers ‘Watch Process’

- **Indicators of agency risk**

High staff turnover and/or lack of required training

- Spend pace substantially ahead of production
- Number of monitoring findings including fiscal, administrative and/or technical
- Not maintaining required insurance

Missing data reporting deadlines and grant closeout activities

- Does agency routinely miss the following?
 - ✓ Monthly reporting due dates
 - ✓ Grant closeout by 45 days after close of grant period
 - ✓ Timely and complete responses to monitoring/inspection findings
 - ✓ Timely and complete submission of Monitoring Questionnaire

Accountability – Risk Assessment

Criteria	No Risk/Low Risk (Y/N)			Medium Risk (Y/N)			High Risk (Y/N)		
1. Financial Audit, Fiscal Monitoring & Financial Reporting:									
a. Financial Audit									
a.1. Financial Statements	Sub-grantee has had no Findings for the most recent Financial Audit.	y	0	Subgrantee has had at least one Significant Deficiency Finding for the most recent Financial Audit.	n	0	Subgrantee has had at least one Material Weakness/Material Noncompliance Finding for the most recent Financial Audit.	n	0
a.2. Federal Award	Subgrantee has had no Findings for the most recent Financial Audit.	y	0	Sub-grantee has had at least one Significant Deficiency Finding for the most recent Financial Audit.	n	0	Subgrantee has had at least one Material Weakness/Material Noncompliance Finding for the most recent Financial Audit.	n	0
a.3. Low-Risk Auditee	Is the Sub-grantte listed as "low-risk"?	y	0						
b. Fiscal Monitoring	Subgrantee had no findings or comments on the fiscal monitoring report.	y	0	Sub-grantee had at least one findings or comments on the fiscal monitoring report.	n	0	Subgrantee had more than one finding or comments on the fiscal monitoring report.	n	0
c. Financial Reporting									
c.1.. DOE WAP Expenditures	Subgrantee expended 100% or more of its allocation during current year	y	0	Sub-grantee expended between 90% and 99% of its allocation during FY13.	n	0	Sub-grantee expended less than 90% of its allocation during FY13.	n	0
c.2. Financial Reporting (all WX programs)	Financial Status Reports are routinely submitted accurately and on time.	n	1	Financial Status Reports were submitted late or inaccurate up to 25% of the time.	n	0	Financial Status Reports were submitted late or inaccurate greater than 25% of the time.	y	3

Accountability – Risk Assessment

2. Administrative Monitoring:

a. Client File Documentation									
a.1. Energy Audit	Client file documentation was consistently and correctly collected on homes monitored with at most 2 exceptions.	y	0	Client file documentation was consistently and correctly collected on homes monitored with 3 - 7 exceptions.	n	0	Client file documentation was not consistently and correctly collected on homes monitored.	n	0
a.2. H&S Forms	Client file documentation was consistently and correctly collected on homes monitored with at most 2 exceptions.	y	0	Client file documentation was consistently and correctly collected on homes monitored with 3 - 7 exceptions.	n	0	Client file documentation was not consistently and correctly collected on homes monitored.	n	0
a.3. Documentation/Pictures/Change Orders etc.	Client file documentation was consistently and correctly collected on homes monitored with at most 2 exceptions.	y	0	Client file documentation was consistently and correctly collected on homes monitored with 3 - 7 exceptions.	n	0	Client file documentation was not consistently and correctly collected on homes monitored.	n	0
a.3. Bidding Procedures	Client file documentation was consistently and correctly collected on homes monitored with at most 2 exceptions.	y	0	Client file documentation was consistently and correctly collected on homes monitored with 3 - 7 exceptions.	n	0	Client file documentation was not consistently and correctly collected on homes monitored.	n	0
a.4. QCI Forms	Client file documentation was consistently and correctly collected on homes monitored with at most 2 exceptions.	y	0	Client file documentation was consistently and correctly collected on homes monitored with 3 - 7 exceptions.	n	0	Client file documentation was not consistently and correctly collected on homes monitored.	n	0

Accountability – Risk Assessment

b. Subcontractor Administration									
b.1. Contractor Registration	Subcontractor files documented contractor registration consistently and correctly.	y	0	Subcontractor files documented contractor registration consistently and correctly with at most 2 exceptions.	n	0	Subcontractor files did not document contractor registration consistently and correctly.	n	0
b.2. SAM Search	Subcontractor files documentation was consistently and correctly collected.	y	0	Subcontractor files documentation was consistently and correctly with at most 2 exceptions.	n	0	Subcontractor files documentation was not consistently and correctly collected.	n	0
b.3. Proper Licensing/ Insurance	Subcontractor files documentation was consistently and correctly collected with at most 1 exceptions.	y	0	Subcontractor files documentation was consistently and correctly collected with 2 - 3 exceptions.	n	0	Subcontractor files documentation was not consistently and correctly collected.	n	0
b.4. Required Trainings	Subcontractor files documentation was consistently and correctly collected with at most 1 exceptions.	y	0	Subcontractor files documentation was consistently and correctly collected with 2 - 3 exceptions.	n	0	Subcontractor files documentation was not consistently and correctly collected.	n	0
b.5. Contracting Requirements	Contracts contain all proper documentation and required language.	y	0	Contracts contain all proper documentation and required language with at most 1 exception	n	0	Contracts do not contain all proper documentation and required language	n	0
c. Staff Training									
c.1. Auditor Training	Auditor has completed all DCAA required training	y	0						
c.2. QCI Training	Subgrantee has at least 1 QCI certified inspector	y	0						
c.3. Crew Training	Crew members have required training	na	0						

Accountability – Risk Assessment

3. Technical Monitoring (QCI):

a. Initial Energy Audit	Initial energy audits were consistently and correctly performed on homes monitored with at most 2 exceptions.	n	1	Initial energy audits were consistently and correctly performed on homes monitored with 3 - 7 exceptions.	y	2	Initial energy audits were not consistently and correctly performed on homes monitored.	n	0
b. NEAT/MHEA Audits	Computerized audit was completed correctly using information from Initial Energy Audit with at most 1 exception	y	0	Computerized audit was completed correctly using information from Initial Energy Audit with at most 2 - 3 exceptions	n	0	Computerized audit was not completed correctly using information from Initial Energy Audit.	n	0
c. Health & Safety	Health and Safety was properly administered on homes monitored with at most one exception.	n	1	Health and Safety was properly administered on homes monitored with 2 - 5 exceptions.	y	2	Health and Safety was not properly administered on homes monitored.	n	0
d. WAMS Reporting	Reporting was accurate on homes monitored with at most one exception.	y	0	Reporting was accurate on homes monitored with 2 - 5 exception.	n	0	Reporting was accurate on homes monitored with more than 5 exceptions.	n	0
e. Work Orders	Work orders consistently followed the NEAT/MHEA Audit recommendations with at most one exception	y	0	Work orders consistently followed the NEAT/MHEA Audit recommendations with at most 2 - 4 exception	n	0	Work orders did not consistently followed the NEAT/MHEA Audit recommendations	n	0
e. Final Inspections	Final inspections were consistently and correctly performed on homes monitored with at most 2 exceptions.	n	1	Final inspections were consistently and correctly performed on homes monitored with 3 - 7 exceptions.	y	2	Final inspections were not consistently and correctly performed on homes monitored.	n	0
f. Subcontractor/Crew Oversight	Subcontractors received proper oversight and review on homes monitored with at most 2 exceptions.	n	1	Subcontractors received proper oversight and review on homes monitored with 3 - 7 exceptions.	y	2	Subcontractors did not received proper oversight and review on homes monitored.	n	0

Accountability – Risk Assessment

4. Key Staff Experience:

a. Key Staff	Executive Director has three or more years of experience in that position.	y	0	Executive Director has between one and two years of experience in that position.	n	0	Executive Director has less than one year of experience, is Acting/Interim in the position, or is Vacant.	n	0
b. Key Staff	Fiscal Director has three or more years of experience in the position.	y	0	Fiscal Director has between one and two years of experience in the position.	n	0	Financial Director has less than one year of experience, is Acting/Interim in the position, or is Vacant.	n	0
d. Key Staff	Program Coordinator has three or more years of experience in the position.	n	1	Program Coordinator has between one and two years of experience in the position.	y	2	Program Coordinator has less than one year of experience, is Acting/Interim in the position, or is Vacant.	n	0

5. Additional Risk Factors

					Y/N	Score
Has Sub-grantee reviewed or updated Personnel Policies & Procedures/Employee Handbook in last 5 years?					y	0
Has Sub-grantee reviewed or updated Financial Procedures manual in last 2 years?					y	0
Has Sub-grantee reviewed or updated Procurement Policy manual in last 5 years?					y	0
Has the Subgrantee changed financial auditors once in the past 6 years?					n	3
Score Key:				Audit & Performance Score:		4
Low Risk = 0 - 29				Administrative Monitoring		0
Medium Risk = 30 - 69				Technical Monitoring		12
High Risk = 70 and above				Key Staff Score:		3
				Additional Risk Factors:		3
				Cumulative Risk Score:		22
				Risk Level:		Low

Accountability – Risk Assessment

So you know the sub-grantees' risk level – what do you do with it?

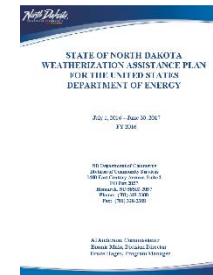
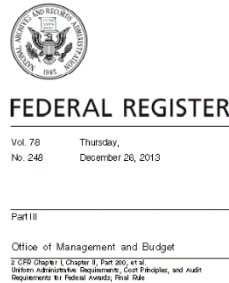
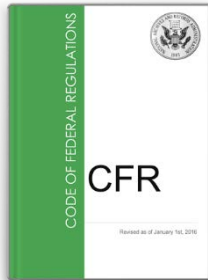
- Analyze all areas of risk
 - Is there a pattern across sub-grantees?
 - Is it isolated to one or two sub-grantees?
- Develop T&TA plan
 - Technical training – standards, policies, cost limits
 - Administrative training – policies, contracting, reporting
- Develop Monitoring plan
 - Monitor higher risk sub-grantees more often
 - Develop corrective action plans
 - Change monitoring tools – more in-depth for high risk agencies

All this information goes into developing the next state plan!

Grantee & Sub-grantee Relationships

Regulations, Policies, Contracts and Guide Documents

How do we keep all this straight?



PART III - PROGRAMMATIC TERMS AND CONDITIONS (Weatherization Assistance Program - DOE) Updated 9/9/16	
Definitions:	
Dwelling Unit:	Dwelling unit is a house (including a stationary mobile home), an apartment, a group of rooms, or a single room occupied as a separate living quarter which is the dwelling of a family unit.
Eligible Occupant:	An eligible occupant is defined as a head of household who is either currently a client of the Low Income Home Energy Assistance Program (LIHEAP) as defined in the current North Dakota LIHEAP State Plan or has a household income below 200% of the poverty level as published annually in the Federal Register.
Grantor:	Is the State of North Dakota Division of Community Services (DCS).
Recipient:	The organization receiving Weatherization Assistance funds as specified in Part I of this financial award.
Production Funds:	Production funds are defined as those funds used in the weatherization process for payment of labor costs, material costs, and weatherization support costs.
Weatherization	

STATE OF NORTH DAKOTA WEATHERIZATION ASSISTANCE PROGRAM

DOE Policy and Procedures Manual
2016

North Dakota Department of Commerce
Division of Community Services

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May 2015

Retrofitting North Dakota



Standard Work Specifications
Field Guide for

Single-Family Homes

created by

North Dakota Department of Commerce



The best time to go through all this is when working on the state plan.

- **Changes in the plan will probably trigger changes in the other documents.**
- **Have the documents ready for the public hearings and PAC meetings.**

Regulations, Policies, Contracts and Guide Documents

Changes that are made to documents during the year must be communicated clearly to your network.

- **Policy changes, new WPN's, SWS Variances, H&S procedure changes, contract amendments**
- **RECOMMENDED – verify receipt of the new information from recipients**
 - **Meeting minutes**
 - **Sign off sheets**
 - **Email receipts or response**

Questions?

Thank You!

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