



NATIONAL ASSOCIATION FOR STATE COMMUNITY SERVICES PROGRAMS

Welcome!

- ▶ Thank you for being here!
- ▶ Thank you for what you do everyday!
- ▶ Housekeeping
- ▶ Presenters
 - ▶ Troy Cucchiara, New Mexico
 - ▶ Scott Kashuba, Ohio
 - ▶ Ray Judy, NASCSP

REMINDER OF WHAT THE WAP IS



Department of Energy



Grantees (States, Territories & Tribes)



Local Providers (Sub-grantees)



Low Income Households

- **Mission Statement of the Weatherization Assistance Program (WAP)**
 - “To reduce energy costs for low-income families, particularly for the elderly, people with disabilities, and children, by improving the energy efficiency of their homes while ensuring their health and safety.”
- **40 Year Record of Success**
 - Operating since 1976
 - Over 7.4 million homes weatherized
 - Saves low-income families an average of \$250 to \$450 per year
 - Provides for the Health & Safety of the households

Why is Monitoring Important?



From Your Perspective

- ▶ What is the purpose of monitoring related to the Weatherization Assistance Program [WAP]?
- ▶ What does effective monitoring look like?
- ▶ What do you see as the two most important aspects of your role as a monitor?
- ▶ What qualities should a monitor possess?

What is the Purpose of Monitoring?

- ▶ Analyze whether best possible program services are being delivered to low-income population
- ▶ Determine program compliance and accountability
- ▶ Analyze program performance
- ▶ Analyze quality of work

What is the Purpose of Monitoring?

- ▶ Identify problems, deficiencies, and areas that need improvement and advise on how to correct
- ▶ Assist agencies in their program operations and compliance with DOE and State regulations
- ▶ Assess T&TA needs
- ▶ Be a major tool for program improvement

DOE's Expectations

- ▶ Guidance & Expectation set forth in WPN 16-4
 - ▶ DOE strives to maintain the highest levels of performance through a monitoring process that has the following goals:
 - ▶ To ensure proper and timely use of funds and realization of expected benefits.
 - ▶ To provide transparency and accountability.
 - ▶ To provide quality control.
 - ▶ To provide technical assistance and training.

DOE's Expectations

- ▶ Guidance & Expectations set forth in WPN 16-4
 - ▶ GUIDANCE: DOE considers monitoring a necessary element to properly oversee the Program at all levels of implementation - DOE (Federal), the Grantee (State), and the Sub-grantee (Local). This Guidance outlines the expectation for monitoring at all levels.

DOE's Expectations

- ▶ Guidance & Expectations set forth in WPN 16-4
 - ▶ In accordance with 10 CFR 440, the Grantee has the responsibility to perform monitoring and oversight of the program implementation and work performed by all its Sub-grantees. Grantees must include a description of their monitoring plan (Plan) and other required processes (e.g. monitoring schedule, number of units to be monitored, etc.) within their State Plan in Section V.8.3 of the Master File to ensure their Sub-grantees' quality of work and that adequate financial management controls are sufficient to meet DOE and Grantee requirements.

DOE's Expectations

- ▶ Guidance & Expectations set forth in WPN 16-4
 - ▶ Approach. The Grantee must conduct *comprehensive* monitoring of each Sub-grantee at least once a year, provide a written report to the Sub-grantee and maintain a file related to monitoring which is accessible by DOE during its monitoring visits.

Comprehensive

- ▶ of large scope; covering or involving much; inclusive
- ▶ Comprehending or thoroughly understanding with one's mind; having an extensive mental range or grasp, as of a particular subject or many subjects
- ▶ complete; including all or nearly all elements or aspects of something
- ▶ Terms to note: large, much, thoroughly, extensive, complete

Preparing to Monitor

- ▶ Where do you begin?
 - ▶ How much notice to sub-grantee?
 - ▶ How do you choose the files?
 - ▶ How do you choose the homes?
 - ▶ What tools do you available to select homes or files to review?
 - ▶ What information do you review ahead of time?

Preparing to Monitor

- ▶ Where do you begin?
 - ▶ Do you send pre-visit information on what you will be monitoring?
 - ▶ Advantages?
 - ▶ Disadvantages?
 - ▶ Entrance Interview
 - ▶ Who is present?
 - ▶ What do you need to cover?

What is the Big Picture?

- ▶ Is the grantee complying with all federal statutes?
- ▶ Is the grantee complying with full terms of award?
- ▶ How are performance goals?
 - ▶ Production goals
 - ▶ Expenditures
 - ▶ Providing quality workmanship
- ▶ Is the grantee fiscally sound?

Guides to Effective Monitoring

- ▶ Intended to be constructive process, conducted with consistency, fairness, respect, and timeliness
- ▶ Foster positive, open, and constructive working relationships
- ▶ Two-way process to promote interaction, feedback, and improvements to Grantee and Sub-grantee

Guides to Effective Monitoring

- ▶ Understanding that Grantee and Sub-grantee share the same goals of program effectiveness and improvement
- ▶ Promote improvement by providing technical assistance, reinforcing strengths, and sharing successes, innovations, and practices seen at other agencies
- ▶ Reports will be based on established policies, procedures and standards

Monitoring As A Fail-Safe

- ▶ Fail-safe
 - ▶ Eliminating danger by compensating automatically for a failure or malfunction; "a fail-safe device in a nuclear weapon to deactivate it automatically in the event of accident"
- ▶ How does this definition fit monitoring?
 - ▶ For DOE?
 - ▶ For the Grantee?
 - ▶ For the Sub-Grantee?
 - ▶ For the low-income households we serve?

The Mind of A Monitor

- ▶ What terminology would you use to describe the “Mind of A Monitor”?
- ▶ What is the most rewarding or your favorite part of being a monitor?
- ▶ What is the most difficult part of being a monitor?
- ▶ What flags a house for monitoring?
- ▶ What flags a file for monitoring?

The Mind of A Monitor

- ▶ What flags a grantee for additional monitoring?
 - ▶ Experience
 - ▶ Prior audits or findings
 - ▶ Financial Systems
 - ▶ Prior monitoring problems
 - ▶ Prone to other problems
 - ▶ Turnover
 - ▶ News items
 - ▶ Citizen complaints

Completing the Monitoring Visit

- ▶ Compiling the notes and information
- ▶ When do you determine findings & concerns?
- ▶ Documentation
 - ▶ Why is this important?
 - ▶ How much documentation is needed?
 - ▶ Why do you need extremely thorough notes?
- ▶ Exit Interview
 - ▶ Who present?
 - ▶ How much detail do you go into?
 - ▶ How much time should be spent?
 - ▶ Why is an exit interview important?

Writing the Report

- ▶ What are the necessary elements of the report?
 - ▶ Timeliness
 - ▶ Who will be reading the report?
 - ▶ Will an Executive Director understand the issues at hand?
 - ▶ Will the report reflect what was discussed during the monitoring visit?
 - ▶ Where do the regulations come into play?
 - ▶ What is the difference between a finding and concern?
 - ▶ Do you have a good definition?
 - ▶ How do you make the determination between the two?

Writing the Report

- ▶ Documentation
 - ▶ What is included and appropriate?
 - ▶ Can there be too much?
 - ▶ What type of supporting documentation do you provide?
 - ▶ Why is documentation necessary?

Risk Analysis

- ▶ What are your individual methods
- ▶ Is risk high/medium/low
- ▶ Do you provide the following:
 - ▶ Recommendation(s)
 - ▶ Action Plan developed by the grantee
 - ▶ Timeline
 - ▶ Future monitoring
 - ▶ Training and technical assistance
 - ▶ Follow-up

What is a Monitor to do?



What is a Monitor to do?



What is a Monitor to do?



How Does Monitoring Get This Result?



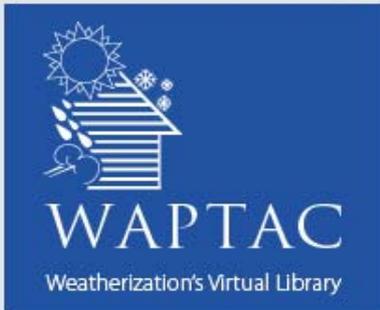
Gas Water Heater Vent



Stay in Touch with NASCSP

▶ Information Sharing

- ▶ Nascsp.org
- ▶ Tweets by @NASCSP
- ▶ WAP E-News
- ▶ rjudy@nascsp.org
- ▶ ebehna@nascsp.org



Thank you!

