



WV WAP – Programmatic Monitoring: Effectively Communicating Results and Achieving Accountability

MARK ADAMS | WEST VIRGINIA DEVELOPMENT OFFICE

ARKANSAS



ANNUAL TRAINING
CONFERENCE

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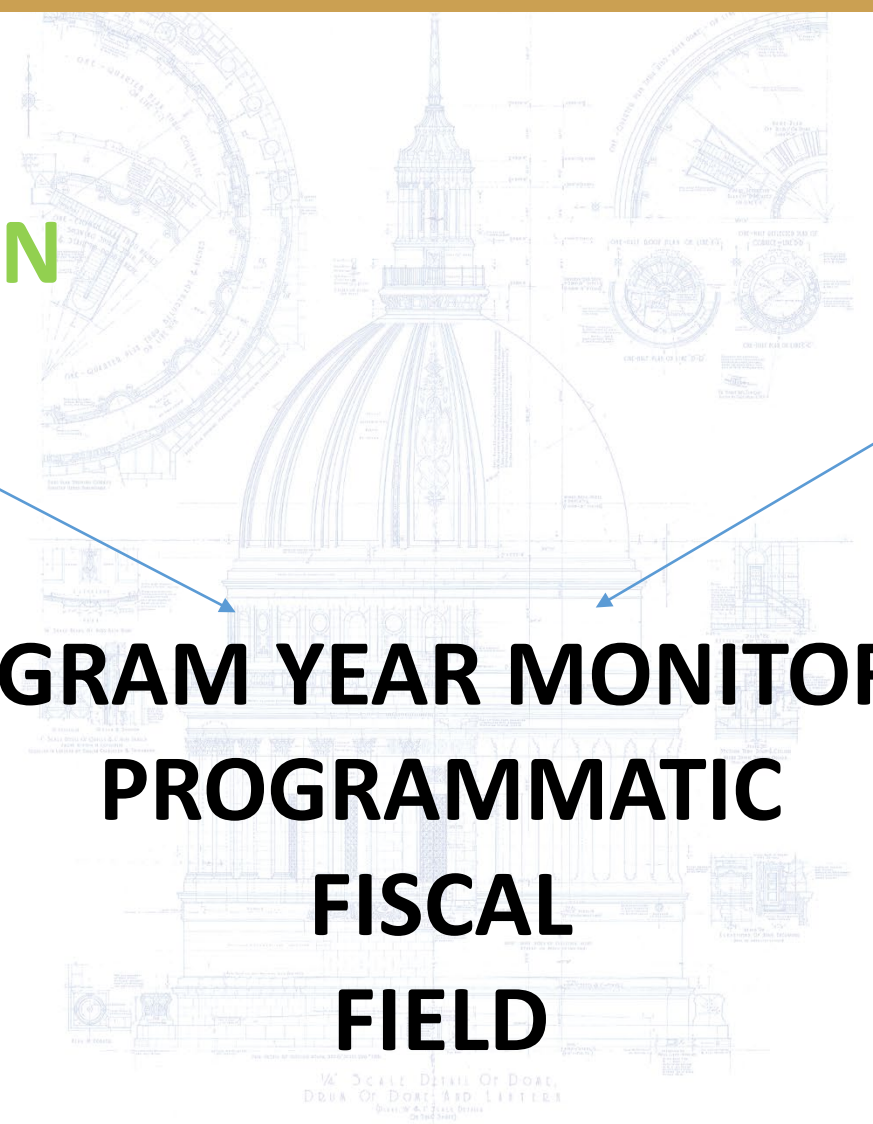
Mark Adams, Weatherization Manager

TEAMWORK – 2 UNITS – 1 TEAM



WEATHERIZATION

COMPLIANCE

A detailed architectural drawing of a building dome, showing various structural elements and annotations. The drawing is rendered in a light blue color and serves as a background for the central text.

**PROGRAM YEAR MONITORING
PROGRAMMATIC
FISCAL
FIELD**

COMMUNICATING from the START



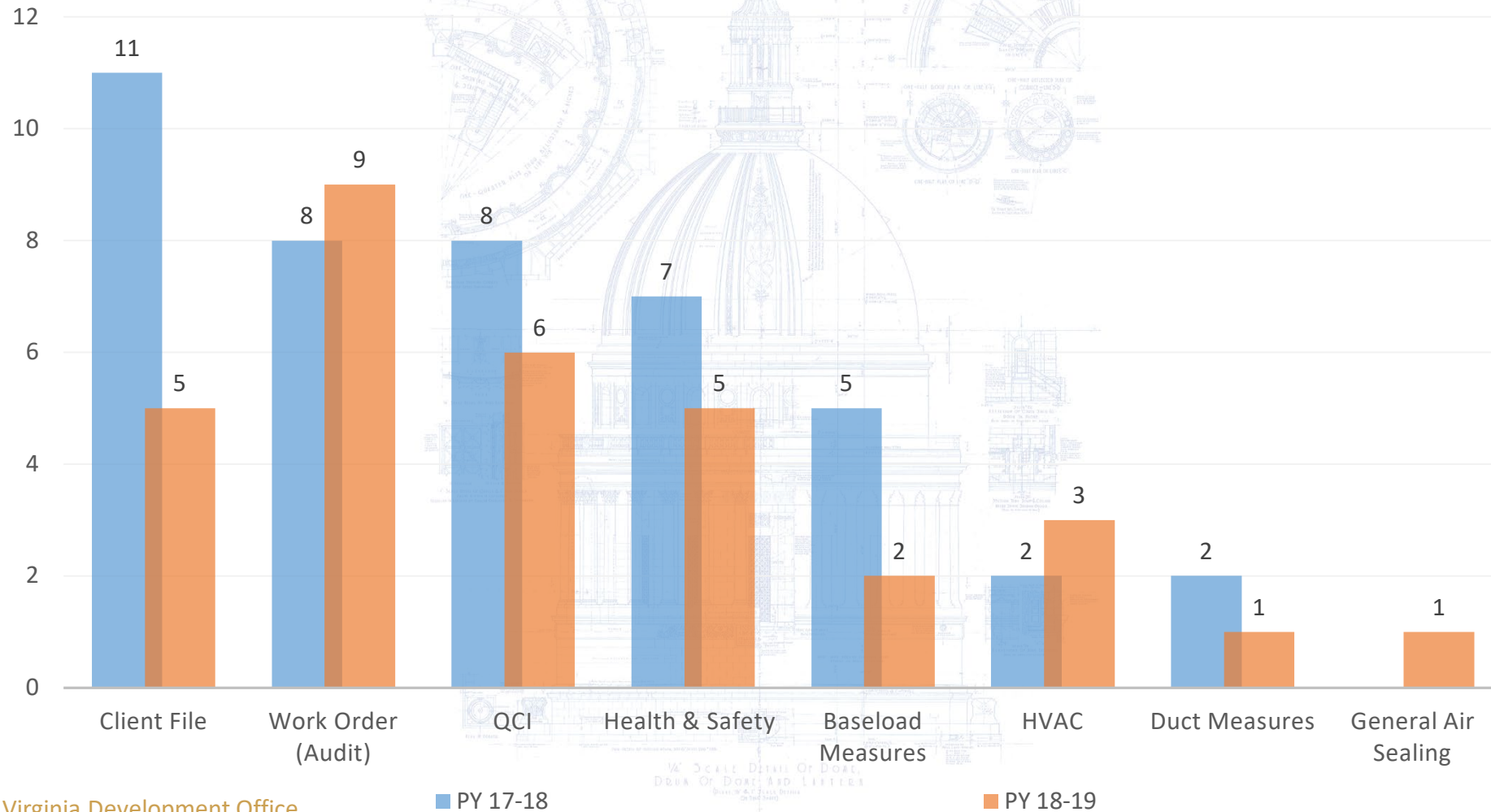
- WV WAP State Plan
- Annual Weatherization & Compliance Meeting
 - WV WAP Monitoring Policy
 - Field & Administration Guide

*****STRESS SHARED RESPONSIBILITY*****

2017/2018 VS 2018/2019



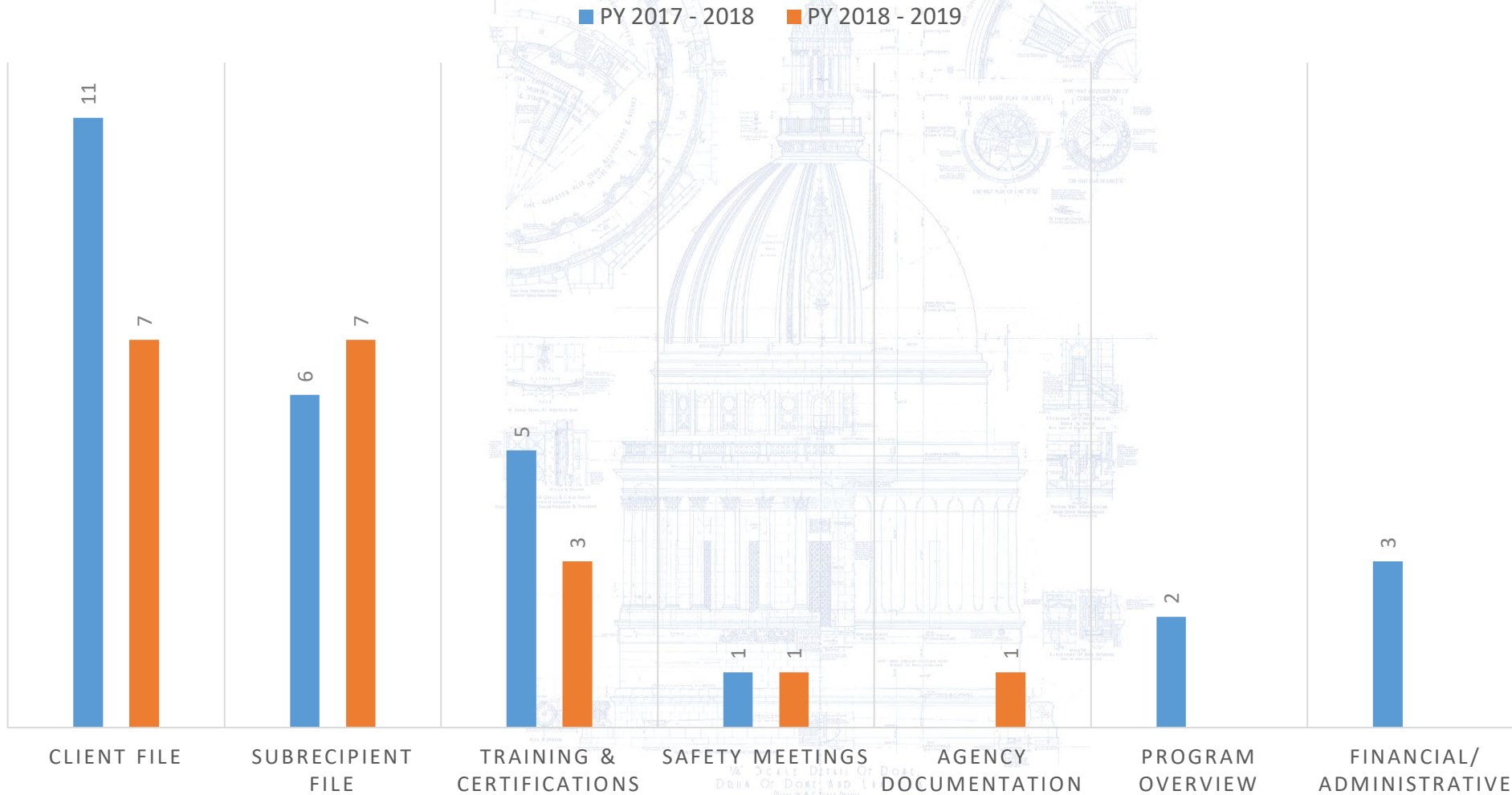
WAP Field Deficiency Comparison



2017 /2018 VS 2018/2019



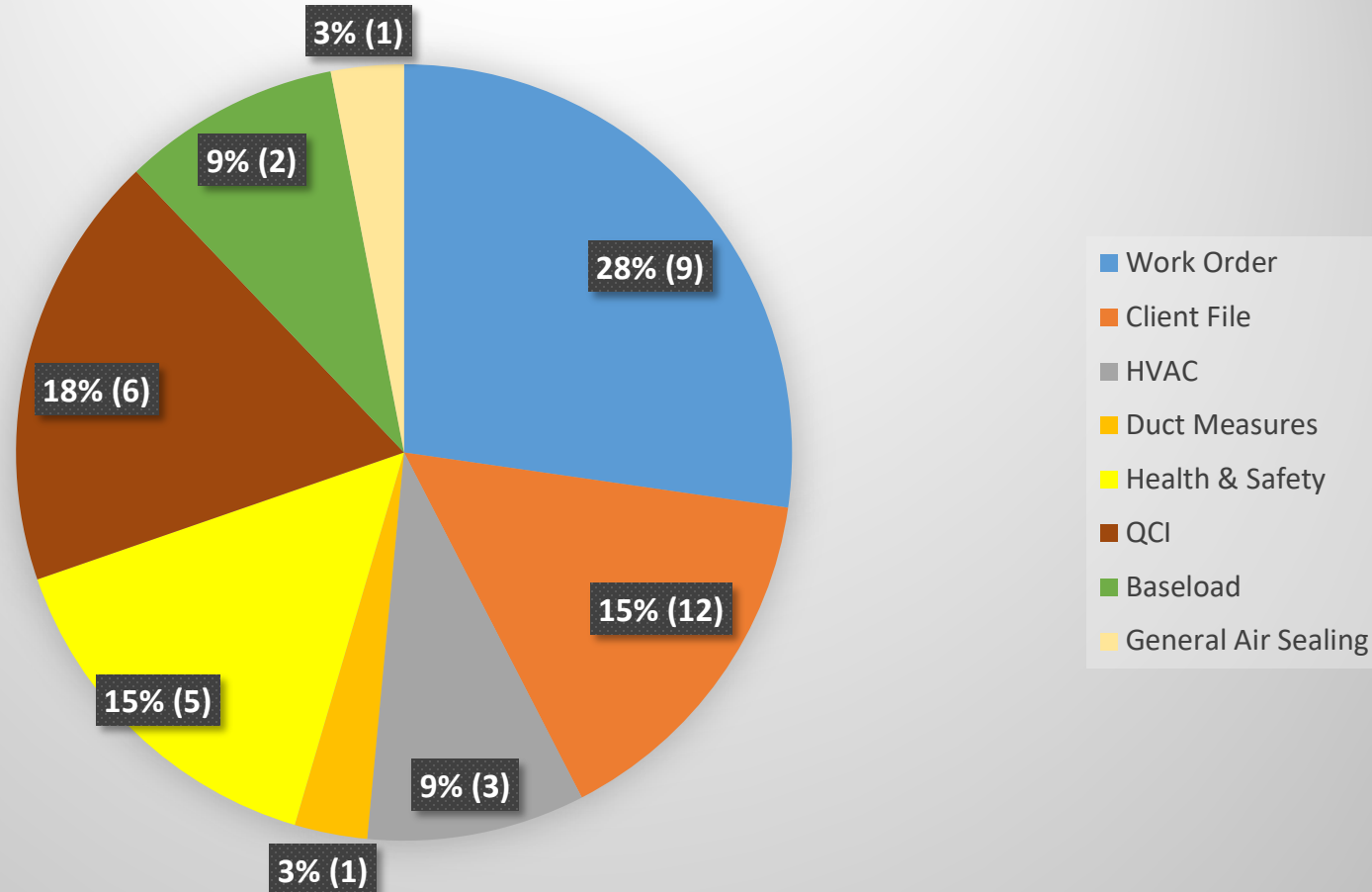
WAP PROGRAMMATIC DEFICIENCY COMPARISON



Statewide Deficiencies 2018 - 2019



PY 18/19 Field Deficiencies



Deficiencies for the 2018 - 2019 Year

Field Total : 33

- Average of 3 per Agency

Programmatic Total : 19

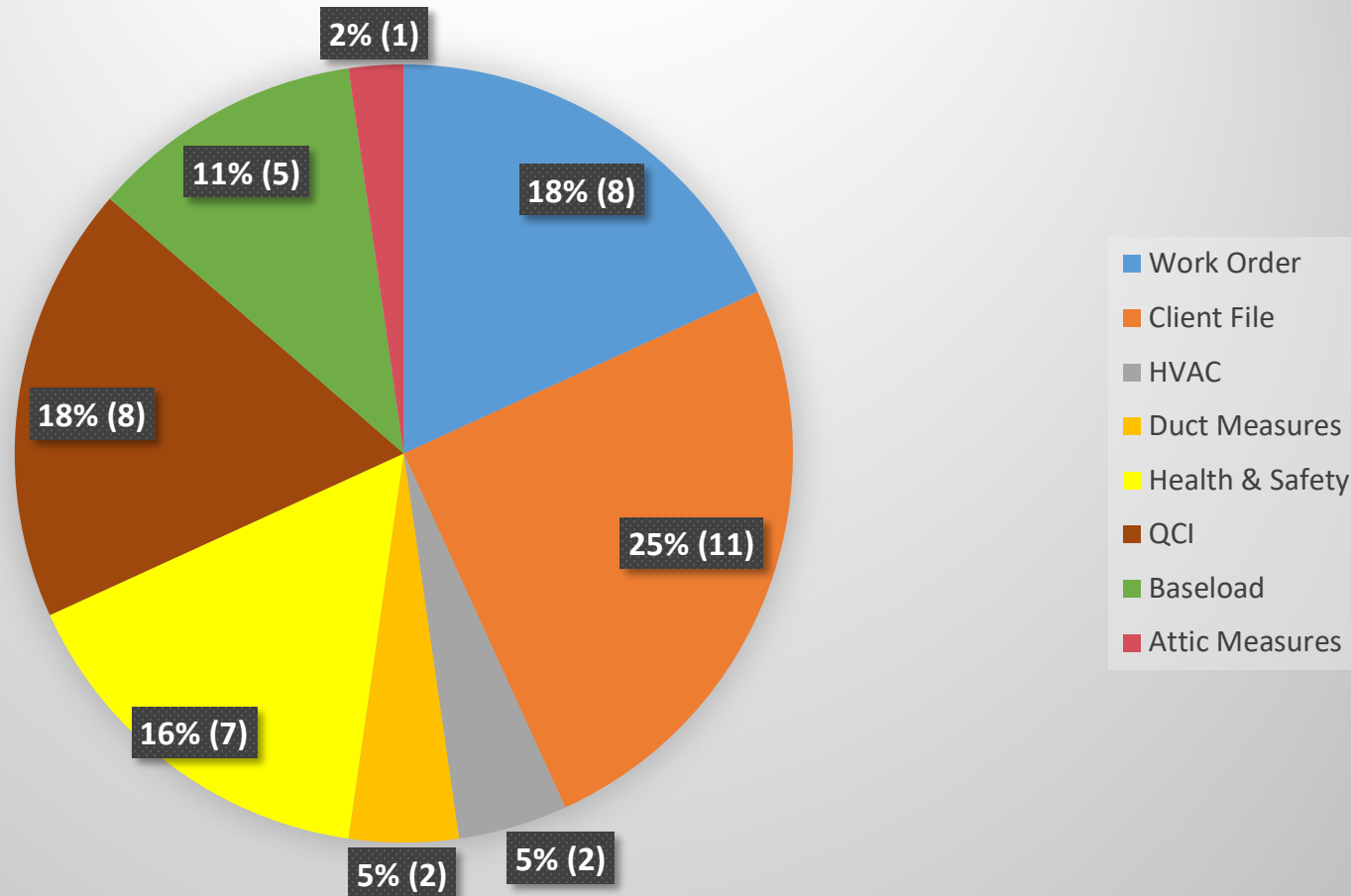
- Average of 1.9 per Agency

Fiscal Total : 0

Statewide Deficiencies 2017 - 2018



PY 17/18 Field Deficiencies



Deficiencies for the 2017 - 2018 Year

Field Total : 44

- Average of 4 per Agency

Programmatic Total : 27

- Average of 2 per Agency

Fiscal Total : 0

Monitoring Information

Subrecipient
 Dates: _____
 Type: _____

Subrecipient Staff:
 Monitor: _____

I. Weatherization Files

A. Client Files

_____ Subrecipient Sampling % (from risk assessment)
 _____ Anticipated Completed Units (enter highest number from DOE or DHHR)
 _____ # of files to review

#	Question	Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
1	Were the client files for completed dwelling units reviewed complete?	DBA FACs Pro Client File Checklist	WAP Bulletin 15-19				
2	Was the information contained in client files accurate?	Client File Documentation	DOE Grant Agreement VI.A.2				
3	Was income verified in the appropriate timeframe? (Before the audit is completed if six months has elapsed from the initial income verification)	Client File Documentation	WV State Plan; DOE Grant Agreement II.C.2				
4	Was income adequately documented and properly calculated (annualized and included appropriate additions and exclusions)?	Client File Documentation	U.S. DOE WPN 16-3				
5	Were zero income affidavits notarized?	Client File Documentation	WV WPN 13-5				
6	Was SSI and Social Security Income properly classified?	Income Verification documentation; Client intake	WV WPN 13-5; 10 CFR 440.22				
7	Was the file complete before submitting the job for completion?	Wx Pro Documents Tab >Upload Date	U.S. DOE WPN 15-4; WV QCI Form				
8	Were any of the client files reviewed subject to the preferential treatment policy?	DBA Demographics Tab	WV WPN 13-13				
9	If yes, did the subrecipient follow WV WPN 13-13?	Client File Documentation	WV WPN 13-13				
10	Were client demographics accurately entered, especially those demographics that add priority points?	DBA Demographics Tab	WV WPN 13-10				
11	Did the sample of client files reviewed adhere to WV WAP historic preservation policy?	Wx Pro Documents Tab	Wx Bulletin 11-63; 12-11; DOE Grant Agreement II.C.2				
12	Is the subrecipient adhering to the WV WAP tagging procedure?	Client File Documentation	Wx Bulletin 11-46				

**SUBRECIPIENT
DATES OF MONITORING
PROGRAM YEARS**

A. Client Files (Continued)		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
13	If the subrecipient adhering to the WV WAP Re-weatherization Verification Policy? Verify that clients from sample do not exist in old data module.	Client File Documentation; Old Weatherization Data module	WV WPN 13-4				
14	Were a sample of deferral files documented completely and accurately?	DBA FACS Pro deferral queue	WV WAP Deferral Policy				
B. Subrecipient Files		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
15	Were all required subrecipient files uploaded to DBA FACS Pro?	DBA System Admin > Agency > Documents	Wx Bulletin 15-19				
16	Were all uploaded documents current and unexpired?	DBA System Admin > Agency > Documents	Wx Bulletin 15-19; DOE Grant Agreement II.B.1				
II. Program Overview							
A. General		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
17	Does the subrecipient have copies or have access to the following:	Subrecipient inquiry	DOE Grant Agreement XI. B. 1				
18	Current grant agreement?	Subrecipient inquiry	DOE Grant Agreement XI. B.1.a				
19	Most recent programmatic monitoring report?	Subrecipient inquiry	Best practice				
20	WV WAP Policies; U.S. DOE guidance; applicable Federal regulations; applicable State regulations (building codes, etc.)?	Subrecipient inquiry	DOE Grant Agreement XI. B.1.c				
21	Current WV WAP State Plan?	Subrecipient inquiry	DOE Grant Agreement XI. B.1.b				
22	WV WAP SWSs?	Subrecipient inquiry	U.S. DOE WPN 16-4				
23	Does the subrecipient have any uncorrected issues identified during desktop monitoring	DBA FACS Pro > Monitoring Module	WV WPN 16-4				
B. Prioritization/ Queue Management		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
24	Have any customers been in the application (30 days), scheduling (90 days), workplan (6 mos), or deferred (1 yr) queue longer than allowable?	DBA FACS Pro queues	WV WPN 13-9				
25	If customers are in the workplan queue, does it appear that audits have been completed for those jobs?	DBA FACS Pro queues; subrecipient inquiry	WV WPN 13-10				
26	Was a sample of deferral files documented completely and accurately?	DBA FACS Pro deferral queue	WV WAP Deferral Policy				
27	Was a sample of ineligible files documented completely and accurately?	DBA FACS Pro ineligible queue	WV WPN 13-10				
28	What percentage of clients in the waitlist queue applied over one year ago?	DBA FACS Pro waitlist queue					
29	What is the priority points break-out for the subrecipient's waitlisted queue?	DBA FACS Pro waitlist queue					

**SUBRECIPIENT
DATES OF MONITORING
PROGRAM YEARS**

C. Weatherization of Rental Units and Multi-Dwelling Units							
30	Has the subrecipient completed weatherization services for any multi-dwelling units since the last programmatic monitoring?	WV WAP Dashboard	U.S. DOE WPN 16-5				
31	If yes, did the subrecipient follow WV WAP established procedure?	DBA FACS Pro client files	U.S. DOE WPN 16-5				
32	Rental release and agreement attached?	West Virginia Multi-Family Owner Agreement V11.2013	U.S. DOE WPN 16-5				
33	Has the subrecipient completed weatherization services for any rental units since the last programmatic monitoring?	Rental Release and Agreement	U.S. DOE WPN 16-6				
34	If yes, did the subrecipient follow WV WAP established procedure?	DBA FACS Pro client files	U.S. DOE WPN 16-6				
35	Rental release and agreement attached?	Weatherization Assistance Program Rental Release and Agreement V.11.2013	U.S. DOE WPN 16-6				
III. Financial/Administrative							
A. Reporting		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
36	Have all Monthly Programmatic Progress Reports been received by the 5th of the month for the current program year?	WVOEO MAC Form	DOE Grant Agreement XI.C.2				
37	Have all Monthly Funding Requests and Expense Reports been received by the 8th of the month for the current program year?	WVOEO MAC Form	DOE Grant Agreement XI.C.3				
38	Has subrecipient submitted notification of any situations requiring <u>prior</u> notice? Have any situations requiring prior notice occurred during the program year?	Subrecipient inquiry	DOE Grant Agreement II.C.18				
39	Has subrecipient submitted notification of any situations requiring <u>immediate</u> notice? Have any situations requiring immediate notice occurred during the program year?	Subrecipient inquiry	DOE Grant Agreement II.C.19				
40	Has the subrecipient submitted notification of any situations requiring notification? Have any situations requiring notice occurred during the program year?	Subrecipient inquiry	DOE Grant Agreement II.C.20				
B. Payments to Contractors		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
41	Does the subrecipient utilize contractors in the completion of Weatherization services?	Most recent application	DOE Grant Agreement XI.F.2				
42	If yes, does the subrecipient have a contract in place that includes all required provisions?	Contracts	DOE Grant Agreement XI.F.2				
C. Reporting Completions							
43	Subrecipient is properly using DBA FACS Pro system to report completed dwelling units?	DBA FACS Pro, Monthly Reports	DOE Grant Agreement II.C.10				
44	Are jobs reported in the month they are inspected by a certified QCI?	DBA FACS Pro, Monthly Reports	DOE Grant Agreement II. C.10				

**SUBRECIPIENT
DATES OF MONITORING
PROGRAM YEARS**

IV. Production Analysis		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
45	Is the subrecipient on schedule to reach completion goals by program year end?	Agstat, Dashboard	DOE Grant Agreement II.C.3; VI.A.3				
46	If not, has the subrecipient submitted a plan to do so?	Agstat, Dashboard	DOE Grant Agreement II.C.3; VI.A.3				
47	Is the subrecipient on schedule to spend their allotment of funds by program year end?	Agstat, Dashboard	DOE Grant Agreement II.C.3; VI.A.3				
48	If not, has the subrecipient submitted a plan to do so?	Agstat, Dashboard	DOE Grant Agreement II.C.3; VI.A.3				
V. Warehousing		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
49	Right-to-know station up to date and in a central location?	On-site observation	WV WPN 16-1				
50	SDS up to date and in a central location?	On-site observation	WV WPN 16-1				
51	Are fire extinguishers current, locations marked, easily accessible, and easy to locate?	On-site observation	WV WPN 16-1				
52	Are first aid kits well stocked, locations marked, easily accessible, and easy to locate?	On-site observation	WV WPN 16-1				
53	Is eye wash expired?	On-site observation	WV WPN 16-1				
54	Are materials subject to damage as a result of freezing temperatures stored in an appropriate location in the warehouse?	On-site observation	WV WPN 16-1				
55	Are materials and equipment stored in such a way that they do not impede access:	On-site observation	WV WPN 16-1				
	Entrances/exits?	On-site observation	WV WPN 16-1				
	Fire extinguishers?	On-site observation	WV WPN 16-1				
	Eye wash stations?	On-site observation	WV WPN 16-1				
	First aid kits?	On-site observation	WV WPN 16-1				
56	Are materials organized to facilitate "first-in, first-out" inventory system?	On-site observation	WV WPN 16-1				
VI. Inventory & Equipment		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
57	Is material inventory being reconciled each month?	Inventory records	WV WPN 16-3				
58	Do physical counts match inventory records?	On-site observation	WV WPN 16-3				
59	Is the tool & equipment inventory checked quarterly as required?	Inventory records	DOE Grant Agreement XI.E.3				
60	Are all items of non-expendable property marked with permanent subrecipient identification?	On-site observation	WV WPN 16-2				
61	Is property vulnerable to theft, not secured or not protected in some other manner?	On-site observation; inquiry	2 CFR §200.313.d.3				

**SUBRECIPIENT
DATES OF MONITORING
PROGRAM YEARS**

VI. Inventory & Equipment (Continued)		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
62	Are property records maintained in accordance with applicable Federal regulations?	Property records	2 CFR §200.313.d.1				
	Description of property?	Property records	2 CFR §200.313.d.1				
	Serial or ID Number	Property records	2 CFR §200.313.d.1				
	Source of funding (including FAIN)	Property records	2 CFR §200.313.d.1				
	Who holds the title	Property records	2 CFR §200.313.d.1				
	Acquisition Date	Property records	2 CFR §200.313.d.1				
	Acquisition Cost	Property records	2 CFR §200.313.d.1				
	Federal Participation Percentage	Property records	2 CFR §200.313.d.1				
	Location	Property records	2 CFR §200.313.d.1				
	Use	Property records	2 CFR §200.313.d.1				
	Condition	Property records	2 CFR §200.313.d.1				
	Disposition date and sale price, if applicable	Property records	2 CFR §200.313.d.1				
63	Is equipment being used primarily for Weatherization purposes?	Subrecipient inquiry	WV WPN 16-2				
64	If the subrecipient has disposed of property since the last monitoring review, were appropriate disposal methods followed?	Property records; subrecipient inquiry	WV WPN 16-2; 16-3				
65	If the subrecipient has been authorized to sale Federally-funded equipment, were sales procedures established to ensure maximum return?	Property records; subrecipient communications	2 CFR §200.313.d.5				
66	Was the Federal government compensated for the appropriate proportion of the sales proceeds based upon original participation in the purchase?	Property records; subrecipient communications	2 CFR §200.313.d.5				
VII. Health & Safety		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
67	Are LSW practices being followed?	DBA FACS Pro client files	DOE Grant Agreement II.C.12				
68	Is the subrecipient a Certified Firm?	DBA FACS Pro subrecipient files	EPA 745.89				
69	Does the subrecipient have Lead Safe Renovators?	DBA FACS Pro employee certifications					
70	Does the subrecipient conduct safety meetings every 2 months?	DBA FACS Pro	Best practice				
71	Is the DOE Health & Safety percent 15% or lower?	Agstat, Dashboard	DOE Grant Agreement II.C.4				
72	Is the DHHR Health & Safety percent 25% or lower?	Agstat, Dashboard	DHHR Grant Agreement II.C.4				

**SUBRECIPIENT
DATES OF MONITORING
PROGRAM YEARS**

VIII. Rolling Stock		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
73	Do all weatherization vehicles currently in use have the required subrecipient identification?	On-site observation	WV WPN 16-2				
74	Does the subrecipient have maintenance procedures and records to keep vehicles in good condition?	On-site observation; maintenance records	WV WPN 16-2				
IX. Energy Audits		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
75	Is the subrecipient utilizing Weatherization Assistant v.8.9 for energy audits as required.	DBA FACS Pro client files	DOE Grant Agreement II.C.8				
76	Is the associated documentation uploaded into DBA as required?	DBA FACS Pro client files	Wx Bulletin 15-19				
X. Qualifications and Training		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
77	Are subrecipient staff certified in their respective areas?	DBA FACS Pro employee certifications	Multiple				
78	Lead Safe Renovator	DBA FACS Pro employee certifications	WV WPN 13-6				
79	Energy Auditor	DBA FACS Pro employee certifications	N/A @ this time				
80	Electrical License - Single Family Dwelling	DBA FACS Pro employee certifications	W. Va. Code '29-3B-5				
81	West Virginia HVAC Technician License	DBA FACS Pro employee certifications	W. Va. Code §21-16-5				
82	EPA Section 608 Refrigerant	DBA FACS Pro employee certifications	40 CFR Part 82, Subpart F) under Section 608 of the Clean Air Act				
83	Quality Control Inspector Certification	DBA FACS Pro employee certifications	U.S. DOE WPN 15-4				
84	Client Education	DBA FACS Pro employee certifications	DOE Grant Agreement II.C.1.i				
85	In general, does the subrecipient attend training requested?						
XI. Weatherization of Units		Source:	Authority:	Yes	No	N/A	Answer/Additional Information:
86	Does the subrecipient have systems in place to reduce deficiencies?	Subrecipient inquiry					

Quality Improvement Process



west virginia
CaD

Dear Executive Director XXXX,

I hope all is well with you and your agency. I am sending this multiple grant monitoring report on behalf of ESG Program Manager (Name), CSBG Manager (Name) and Weatherization Manager Mark Adams. Please find attached the final ***PY 2018 WAP Field and Programmatic, ESG Programmatic and ESG / WAP / CSBG Fiscal Monitoring Reports and Quality Improvement Plans*** from the monitoring that took place (**Dates**). WVCAD appreciates the hospitality and cooperation of your staff as we completed the monitoring of various components for three (3) WVCAD administered programs.

The monitoring covered the following grants and components:

- Programmatic, Field, and Fiscal Monitoring for the Weatherization Assistance Program (WAP) in accordance with Department of Energy (DOE) WPN 16-1 and WPN 16-4;
- Department of Health and Human Resources (DHHR) Low-Income Home Energy Assistance Program (LIHEAP) Weatherization monitoring as per 45 CFR 75.352;
- Community Service Block Grant (CSBG) Fiscal review as per 42 USC 9914-Sec. 6788;
- Emergency Solutions Grant (ESG) Fiscal review as per Section 426 of the HEARTH Act (42 U.S.C. 11386); and
- Emergency Solutions Grant (ESG) Programmatic review as per Federal awards regulations found at 2 CFR 200.331.d.

The attached monitoring report includes **Two (2)** deficiencies which require a response from your agency. ***The response is due no later than (Day, Month, Year)***. There were **Two (2)** deficiencies; **one (1)** ESG Programmatic deficiency and **one (1)** WAP Programmatic deficiencies. There were **zero (0)** ESG/WAP/CSBG Fiscal deficiencies and **zero (0)** WAP Field deficiencies for which your agency should be commended. WVCAD's field monitors also noted **Zero (0)** Call Backs during this monitoring.

For deficiencies that require a response, please see the attached Quality Improvement Plan (QIP) PDF that should be completed to provide your planned corrective actions; ***Please note that the QIP is now a fillable PDF that must be completed and signed electronically.*** Please indicate if your agency will need training or technical assistance in order to correct any deficiencies. Also, please contact WVCAD if you have any questions about our expectations of corrective actions or if your agency is uncertain how to address a particular issue. WVCAD wants to be a supportive partner in the improvement process and will assist in any way we are able.

Many thanks for all you do to assist those in your community who need your agency's services the most. WVCAD appreciates all of the hard work you and your agency put into all of your programs, including the WAP and CSBG programs. We look forward to the opportunity to continue to work with your agency in the future.

Thanks,

Quality Improvement Plan (QIP)

State of West Virginia
Development Office

Subrecipient Monitored:

Monitoring Type:

Monitoring Dates: -

QIP CERTIFICATION

Each deficiency listed below requires corrective action(s) including specific steps to be taken by the organization in order to meet the intended requirements. The attached Quality Improvement Plan includes the following deficiencies:

Deficiency #1	<input type="text"/>
Deficiency #2	<input type="text"/>
Deficiency #3	<input type="text"/>
Deficiency #4	<input type="text"/>

After reviewing the Monitoring Report and each page of this workbook, please sign below. Your signature indicates you have reviewed the Monitoring Report and the Quality Improvement Plan. You are also agreeing to take responsibility for ensuring your organization complies with the corrective action(s) within the timeline provided.

Executive Director Signature

Date

WVDO QIP Closeout

**Root Cause Analysis (Deficiencies)
PY 2018-2019**

WEATHERIZATION PROGRAMMATIC MONITORING												
Subrecipient	Client Files	Subrecipient Files	Program Overview	Financial Administrative	Production Analysis	Warehousing	Inventory	H & S	Rolling Stock	Energy Audits	Qualifications & Training	Wx of Units
Sub 1												
Sub 2												
Sub 3												
Sub 4												
Sub 5												
Sub 6												
Sub 7												
Sub 8												
Sub 9												
Sub 10												
Sub 11												
	0	0	0	0	0	0	0	0	0	0	0	0

WEATHERIZATION FISCAL MONITORING												
Subrecipient	General	Policies Procedures	Cash	Receivables	Assets	Procurement	Payables	Grant Expenditures	Cost Allocation	Internal Control	Single Audit	Utilities
Sub 1												
Sub 2												
Sub 3												
Sub 4												
Sub 5												
Sub 6												
Sub 7												
Sub 8												
Sub 9												
Sub 10												
Sub 11												
	0	0	0	0	0	0	0	0	0	0	0	0

WEATHERIZATION FIELD MONITORING												
Subrecipient	Audit	Client File	HVAC Systems	Duct Measures	Attic Measures	Wall Measures	Floor/Belly Measures	Foundation Measures	Baseload Measures	Air Sealing	Client ED	H & S
Sub 1												
Sub 2												
Sub 3												
Sub 4												
Sub 5												
Sub 6												
Sub 7												
Sub 8												
Sub 9												
Sub 10												
Sub 11												
	0	0	0	0	0	0	0	0	0	0	0	0

Questions

